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FCG Sweden

Evaluation of the Council for the Development of Social Science Research in Africa (CODESRIA) 2017–2021

Final Report



Evaluation of the Council for the Development of Social Science Research in Africa (CODESRIA) 2017–2021

**Final Report
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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

ACBF	Africa Capacity Building Foundation
AU	Africa Union
CCNY	Carnegie Corporation of New York
CODESRIA	Council for the Development of Social Science Research in Africa
CODICE	CODESRIA Documentation and Information Centre
CRASC	Centre de Recherches Antropologiques, Sociale et Culturelle
CRN	Comparative Research Network
HSS	Humanities and Social Science
MWG	Multinational Working Group
Norad	Norwegian Agency for Development Cooperation
NWG	National Working Group
OSF	Open Society Foundations
RFGI	Responsive Forest Governance Initiative
Sida	Swedish International Development Cooperation Agency
STEM	Science, Technology, Engineering and Mathematics
SP	Strategic Plan
SSH	Social Sciences and Humanities
ToC	Theory of Change

Preface

This evaluation was contracted by the Sida Support unit for Justice and Peace, Department for Africa through the Sida Framework Agreement for Evaluation Services, and conducted by FCG Swedish Development AB.

The Evaluation Team consisted of Stein-Erik Kruse, Inge Tvedten, Fredrik Åstrøm and Sylvain Faye. The Final Report was quality assured by Florence Etta, whose work was independent of the evaluation team. Annefried Muller provided project management support.

The team would like to thank Sida and the Executive Secretary of CODESRIA and his staff for excellent cooperation.

Executive Summary

Purpose and methods

The Council for Development of Social Science Research in Africa (CODESRIA) is a Pan-African research council established in 1973. It has a mandate to promote social science and humanities (SSH) research in Africa and its Diaspora that can enhance the understanding of structural transformation and social dynamics on African terms. Sida has supported CODESRIA since the 1970s and the collaboration is one of the longest in Sida's research portfolio.

The overall objective of CODESRIA's strategy 2017-2021 is: *“To increase the production of high-quality social sciences and humanities research addressing the priority development challenges of Africa and enhance engagement with such research”*.

CODESRIA's key activities include (i) research, (ii) research training and capacity enhancement, (iii) publication and dissemination, (iv) communication and public and policy engagement, and (v) institutional development. There are three broad research themes and six cross-cutting issues.

The purpose of the evaluation is twofold: (a) to provide critical and constructive input to the CODESRIA management towards the design of a new strategic plan and (b) to provide Sida and other partners with input on how to best support CODESRIA in the next strategic plan phase (2022-2026).

Due to the COVID-19 pandemic, work has been carried out as a remote evaluation without options for personal interaction with CODESRIA staff and direct exposure to partner institutions/programmes.

The team has used the following methods to support triangulation and validity during data collection: (a) Document review (b) Interviews, (c) Electronic survey, (d) Case-studies of universities, (e) Case studies of research projects, (f) Network analysis and (g) Bibliometric analysis.

Key findings

Context: CODESRIA works within an African continent experiencing multiple transformations including poverty, insecurity, over-exploitation of natural resources and human rights violations, but that is also experiencing improvements in the performance of many economies, improved health/mortality rates and an upsurge of struggles for rights and democracy particularly among youth. All this calls for a central role of social science and humanities, for relevant SSH research that matters and for the dissemination of research results to wider audiences.

CODESRIA's work is impeded by limited political space for critical social science research in many countries, and a weak and under-funded university sector focussing on the instrumental value of higher education/research at the expense of social sciences in many countries. A particularly critical factor is access to resources for doing post-graduate training and research. As argued by CODESRIA, social science and humanities research on Africa is dominated by Western/post-colonial modes of thought underlining the importance of African epistemologies and methodologies.

Relevance: CODESRIA is highly relevant for Africa at a time when critical social science research is under attack/pressure from governments and donors alike. With CODESRIA's emphasis on basic research and more limited focus on disseminating SSH research outside of academic circles, it is less relevant for the general public/policy makers which is part of CODESRIA's mandate.

CODESRIA is also highly relevant as an alternative institution for training, research and research dissemination in a university context that is generally weak in these areas particularly for younger/early career researchers and researchers without an international networks and funding opportunities. CODESRIA has more limited relevance for the best/most productive African SSH researchers on the continent and in the diaspora, who now seem to have found other platforms/channels for publishing their work.

CODESRIA has limited relevance for universities as institutions. Its main approach has been to work with individual researchers/research groups who can potentially influence the universities as 'agents of change'. With the number of senior researchers in management and other leading positions with a CODESRIA history there may well be an indirect relevance – but this is difficult to verify.

CODESRIA is relevant for Sida as a central donor in higher education and research. The organisation fulfils an important role as an alternative academic voice in a sector dominated by weak universities and a weak position and role of social science/humanities. However, CODESRIA's direct relevance for the donor objective of 'poverty reduction and sustainable development' is not equally clear due to the organisations limited focus on research dissemination beyond academia.

Coherence: African universities are key partners to CODESRIA: They engage with their students, academic staff and (albeit to a limited extent) their managements. While the number of institutional partners is high, most of them are engaged in specific CODESRIA events rather than long-term strategic partnerships to enhance the visibility of and engagement with African SSH research outside academia.

CODESRIA as an organisation used to work in silos with few and weak links between 'departments' – i.e. research training, research vehicles and publication of research outputs. There have been significant improvements in the cross-departmental collaboration between the various parts of CODESRIA, but challenges remain such as gaps in professional and administrative capacity in the Secretariat and in the implementation of the dissemination/publication objectives.

Effectiveness: The evaluation of the effectiveness of CODESRIA in reaching its objectives has been negatively affected by the absence of clear and measurable baseline data and targets and an effective M&E system during the SP period.

Specific objective 1: The production of high quality SSH research addressing priority research areas has been positively affected by the strategic change from a comprehensive approach in terms of publication channels and themes to a narrower approach focussing on the Meaning Making Research Initiative. This has led to a reduction in total number of publications, but a more effective publication process for those being published. Standard bibliometric indicators of quality are of limited use as few CODESRIA publications are registered in global search engines. Interviewees generally consider the quality to be high, even though some find publications to be overly theoretical and others consider them to be too ‘empirical’ – probably reflecting the readers’ own position in relation to these issues.

Specific objective 2: The main channel for increasing the visibility of social science and humanities research produced by African scholars and enhance the engagement with such research is the CODESRIA website. Figures on publication downloads are relatively constant and good in relation to the size of its primary target group (African SSH researchers). Activities for engagement outside academia, such as policy briefs and encounters with non-academic organisations, are limited – reflecting CODESRIA’s de facto perception of itself as a basic rather than applied research organisation.

Specific objective 3: CODESRIA’s work to strengthen good governance and enable improvement in the performance of African universities in the (new) public management sense of the word is limited, and mainly done indirectly through support to individuals and groups. CODESRIA’s original emphasis in Specific Objective 3 on academic freedom has been reduced during the SP period due to funding constraints and challenges in finding relevant partners.

Specific objective 4: CODESRIA seeks to increase the quantity and improve the quality of knowledge produced by emerging social science researchers in Africa by training individual young scholars. The wide range of training facilities and post-graduate courses – such as the College of Mentors and various workshops – fill an important gap at African universities and receives many applications, but resource constraints and the COVID-19 pandemic have limited the number of events/participants in the final phase of the Strategy period.

Specific objective 6: CODESRIA has continued a process of high women representation. While still a minority among CODESRIA’s senior staff, women now represent the majority in the Executive Council and the Scientific Committee. Women representation is also high among the body of scholars supported. The implications of this for the work being produced is difficult to assess, but according to CODESRIA ‘gender’ is the most common cross-cutting issue of the seven cross-cutting issues defined in the Strategic Plan.

Efficiency: CODESRIA's two most important managerial constraints are: (a) Continued delays in publications and (b) vacant positions for senior staff. The allocation of resources is also out of balance. It is on the low side for a research organisation to spend only 14% of total funds on research grants and 10% on training. Using 60% of all funds on internal costs (all salaries for technical work and administrative costs) is on the high side, but partly a reflection of a low budget.

The allocation to the objective of increased visibility and engagement or 'outreach' is marginal. The same is true for improved governance and performance of African universities. CODESRIA remains primarily a support organisation for individual scholars – marginally for African universities – or at least only indirectly – by supporting academic staff working for those universities.

Impact: CODESRIA has a considerable impact on the awareness of the role/importance of the social sciences and humanities in Africa due to its long history, unique role as a pan-African research council and mere existence. At the level of the academic and non-academic partner institutions, the network is wide, but without longer-term and focused programmes strong enough to make an institutional impact on central partners.

The impact is strong at the individual level of younger/early career SSH academics who – coming from universities where teaching in theory, methodology and writing skills are often weak – clearly improve their research capacity and production. More experienced researchers seem to have a decreasing direct engagement with the CODESRIA but are important as mentors and in other support functions.

The broader impact of CODESRIA's work on research quantity/quality in Africa beyond the immediate outputs from their programmes in the form of academic careers, publications, teaching etc. is difficult to assess, but a large number of African scholars have related to CODESRIA in one way or the other. The impact on policies and public discourses on development issues in Africa is impeded by the limited direct engagement with non-academic institutions, but scholars with a CODESRIA history are engaged in such endeavours.

Sustainability: CODESRIA is financially vulnerable and heavily dependent on Sida as the core donor providing nearly 2/3 of all funds. The internal revenue is minimal and income from other donors on the decline during the SP period. If ongoing fundraising is successful, the financial prospects will improve and CODESRIA's potential possible to fulfil. While the top management is very able, several senior staff have left/will leave the organisation making staff recruitment an urgent issue for CODESRIA.

Gender mainstreaming and environment: Women have a high representation in CODESRIA's governing bodies and among the researchers involved in the Council's activities. There are also special events on gender issues, and gender is the most prevalent of the six cross-cutting issues identified for the current SP period in key CODESRIA publications.

CODESRIA is organising several pan-African events in different parts of Africa, which leaves carbon footprints. The number has been reduced and/or substituted by web-based meetings during the pandemic.

Recommendations

The overall assessment of CODESRIA during the strategic period under evaluation is positive. Still, CODESRIA is facing some basic dilemmas in terms of how the organisation is to relate to and become more relevant for its overarching goal. There is scope for short-term change and improvements, but – more importantly – CODESRIA should consider alternative strategic options and make careful decisions in the new Strategic Plan.

Strategic recommendations

1. The broad research themes should be kept – but should be organised around sub-programmes where the thematic focus becomes more explicit both in research calls and publications.
2. The focus on students/early career researchers should be kept – but the sub-programme for senior researchers should be further developed to secure higher quality/visibility.
3. The grant system should be kept – but should be more clearly divided between smaller ‘start-up-grants’ for students/early career researchers and ‘research grants’ for older/experienced researchers.
4. The current focus on basic research should be kept – but more emphasis should be given to an effective diffusion of that research in non-academic channels of communication.
5. Research dissemination through the website should be continued – but the public and policy communities should be more strategically targeted through adapted and interactive communication.
6. Individual researchers/research groups should still be the entry point for university development initiatives and not universities as such – but more attention should be given to individual researchers/research groups as ‘agents of change’.
7. The emphasis on African researchers and an African intellectual agenda should continue, but more emphasis should be given to include international collaboration and global modes of thought.
8. The future focus should be on social sciences. The future role of humanities should be explained in the next Strategic Plan.
9. The current focus on external partnerships should be kept, but with a more limited number of institutional partnerships with longer term and stronger commitments.

Short-term recommendations

1. Write a new Strategic Plan that gives primary emphasis to the strategy.
2. Prepare a human resource plan.
3. Consolidate and diversify donor funding.
4. Develop an effective monitoring and evaluation system.

5. Improve the publication process through the web-site and other forms of engagement.
6. Improve gender equality by recruiting women to CODESRIA's senior management.
7. Assess web-solutions to training activities in order to reduce CODESRIA's carbon footprints.

Recommendation to Sida and donors

1. African social science- and humanities research is key for the ability of governments/aid organisations to contribute to sustainable development and poverty reduction.
2. To maintain its relative independence, CODESRIA will need core funding at a level that makes it possible for the Secretariate to carry out its core activities.
3. In addition, donors should fund more explicit project interventions that directly support the CODESRIA's strategic priorities.
4. Donors should improve the coordination of their support to CODESRIA, both to make it more effective and to reduce the work/reporting burden on CODESRIA.

1 Introduction

1.1 BACKGROUND, PURPOSE AND OBJECTIVES

The Council for Development of Social Science Research in Africa (CODESRIA) is a Pan-African research council established in 1973. It has a mandate to promote social science and humanities (SSH) research in Africa and its Diaspora that can enhance the understanding of structural transformation and social dynamics on African terms.

CODESRIA's key activities include (i) research, (ii) research training and capacity enhancement, (iii) publication and dissemination, (iv) communication and public and policy engagement, and (v) institutional development.¹ Since 2007 CODESRIA has been guided by three strategic plans. The first ran from 2007-2011, the second from 2012-2016 and the third for the period 2017-2021.

Sida has supported CODESRIA since the 1970s and the collaboration is one of the longest in Sida's research portfolio. Sida's current agreements with CODESRIA on core funding is to support the programme cycle 2017-2021 "*New Frontiers in Social Research and Knowledge Production for African Transformation and Development*".²

The **purpose** of the evaluation is twofold: (a) to provide critical and constructive input to the CODESRIA management towards the design of a new strategic plan and (b) to provide Sida and other partners with input on how to best support CODESRIA in the next strategic plan phase (2022-2026).

The primary **intended users** of the evaluation are the CODESRIA Secretariat, Executive and Scientific committees and CODESRIA's partners (e.g., Sida, Carnegie Corporation of New York, Ford Foundation, Open Society Foundation, and any other existing and potential partners).

The **objective** is to evaluate the implementation of CODESRIA's Strategic Plan for 2017–2021 and the extent to which progress has been achieved particularly in relation to the goals and objectives set out in the Strategic Plan and to formulate recommendations on future direction that CODESRIA could take in 2022-2026.

1.2 EVALUATION OBJECT AND SCOPE

The **overall objective** of CODESRIA's strategy 2017-2021 is: "*To increase the production of high-quality social sciences and humanities research addressing the*

¹ The list of Key Activities is taken from the Strategic Plan 2017-2021 (p. 12). The Tor (p.3) operate with a list of 3 key activity areas (Research, Research Training and Capacity Enhancement, and Publication and Dissemination). The team has used the former.

² Sida was also to sign a project agreement with CODESRIA in April 2021 to contribute to the project "*Re-imagining the Sahel through the Humanities: Researching Evolving Spaces and Actors*" of 38 M SEK (19 MSEK for CODESRIA and 19 MSEK for the Arab Council for the Social Sciences), but the decision has been postponed.

priority development challenges of Africa and enhance engagement with such research”.

Out of this, CODESRIA pursues six specific objectives:

1. To increase the production of high-quality social science and humanities research addressing the priority research areas of the 2017-2021 plan and enhance engagement with such research.
2. To increase the visibility of social science research produced by African researchers and enhance engagement with such research.
3. To expand academic freedom, strengthen good governance and to enable improvement in the performance of African universities.
4. To increase the quantity and improve the quality of the research outputs of emerging social science researchers in Africa³.
5. To increase the effectiveness and funding of CODESRIA.
6. To enhance the consideration of gender in the life and work of CODESRIA

The expected budget for the implementation of the strategic plan 2017-2021 was \$45.064.673. The actual income was much lower – so far (until July 2021) total income has been 12,649 M USD (28% of expected budget) and the amount spent during the total period was \$11.995.166 excluding 2021.

1.3 EVALUATION QUESTIONS

The overall evaluation questions are organised by the OECD/DAC evaluation criteria, and are further developed and specified in the Evaluation Matrix (Annex 5) with sources and methods of data collection.

Relevance: Is CODESRIA doing the right thing?

- How relevant and strategically important have the thematic research areas identified in the Strategic Plan for 2017-2021 been for targeting the problem summary?
- To what extent has the Strategic Plan for 2017-2021 objectives and design responded to beneficiaries’ (the research community) needs, policies, and priorities?
- To what extent have lessons learned from what works well and less well been used to improve and adjust implementation of the Strategic Plan 2017-2021?

Coherence: How well does the CODESRIA’s Strategic Plan 2017-2021 fit?

- How compatible has the Strategic Plan 2017-2021 been with other [similar] interventions in the region where it is being implemented?

Effectiveness: Is CODESRIA achieving its objectives?

³ This objective is similar to objective 2, but in the Annual Reports it is specified as: “To increase the quantity and improve the quality of knowledge produced by emerging social science researchers in Africa by training individual young scholars”.

- To what extent has CODESRIA achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Efficiency: How well are resources being used?

- To what extent has CODESRIA delivered, or is likely to deliver, results in an economic and timely way?

Impact: What difference does CODESRIA make?

- To what extent has the implementation of the Strategic Plan 2017-2021 generated, or is expected to generate, significant positive or negative, intended or unintended effects?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the intervention continue, or are likely to continue?

Gender mainstreaming and effects on **the environment** should also be assessed.

1.4 METHODS AND TOOLS FOR DATA COLLECTION

Due to the COVID-19 pandemic, this task has been carried out as a remote evaluation without options for personal interaction with CODESRIA staff and direct exposure to partner institutions/programmes. The team has used the following methods to support triangulation and validity during data collection:

(a) Document review

In the Inception phase, the existing documentation available on www.codesria.org and documents made available from Sida and the CODESRIA Secretariat were reviewed, as well as wider literature on research capacity strengthening and networks in Africa (see Annex 2 List of References).

(b) Interviews

The interviews were based on questions in the Evaluation Matrix and Interview Guide (Annex 4). Interviews were semi-structured and summarised in an internal team document for cross-referencing. (For a list of interviewees, see Annex 3).

(c) Electronic survey

To reach a larger number of grant beneficiaries (researchers) than those interviewed, the team used a short and targeted electronic survey (See Annex 4). The survey was sent to 48 researchers included in the two MRI call for proposals. Only 22 researchers responded after two reminders. (The survey questions can be found in Annex 4.)

(d) Case-studies universities

Three case-studies of countries/universities were selected in order to assess the position and role of the social sciences and humanities – with reference to the fact that the quality of SSH at universities is key to understand the quality of CODESRIA’s work as a research council.

(e) Case-studies research

Three case-studies of individual/group research projects were selected for closer assessment. This has included issues of medium- and long-term outcomes and impact both academically and in terms of how the projects have related to development challenges and engaged with policy communities.

(f) Network analysis

CODESRIA is committed to producing Pan-African research, with the aim to link and network African communities of scholarship, build partnerships, and reach out to policy communities. Out of CODESRIA’s 42 partner institutions, three were selected for closer scrutiny to assess the extent to which CODESRIA has developed relevant networks and communities.

(g) Bibliometric analysis

A bibliometric analysis was carried out on the distribution and quality of publications in the social sciences and humanities in Africa during the current Strategy period 2017-2021, using objective academic indices based on sources such as Elsevier’s Scopus and ISI Web of Science. An analysis of the readership and use of working papers, policy briefs and other non-academic channels of communication was also carried out (see Annex 7).

1.5 LIMITATIONS

The evaluation has primarily been based on existing documents and Skype/Zoom interviews with a relatively small sample of stakeholders. Hence, it has at times been challenging to verify and supplement findings in evaluations and progress reports, gain sufficient in depth understanding of partner realities and generalise findings and conclusions. The response rate to the survey was relatively low and some people were not available for interviews. The CODESRIA Secretariate has been very helpful in supplying the information requested by the team, but clear baseline/target indicators have not been available.

Some of the challenges are also related to the type of work CODESRIA is doing – research, research networking, research dissemination, capacity development and advocacy. It is difficult if not impossible to accurately attribute the outcome of such activities and interventions to a particular organisation since much of its success or failure may be due to the presence or absence of spill overs from other areas and actors.

We have not been able to overcome all the limitations mentioned here and fill the gaps within the limited scope and time available for this evaluation, but have tried to optimise the possibility of producing the most robust, evidence-based and unbiased assessments by: (a) Using mixed methods and triangulate and (b) Using data collection methods and analyses that explicitly considers alternative explanations.

2 The CODESRIA Strategy

This chapter assesses aspects of quality and relevance of the CODESRIA Strategic Plan (SP) and Theory of Change (ToC). It serves as a background for and feeds into the next chapter on Findings.

2.1 STRATEGIC PLAN 2017-2021

The strategy “Reaching New Frontiers in Social Science Research and Knowledge Production for African Transformation” has guided CODESRIA’s work for the period 2017 to 2021.⁴ What does a good Strategy look like? There are many aspects to examine, but common elements include (a) the process to create the strategy, (b) the substantive content of the Strategy, (c) the clarity of strategic purpose, (d) the delimitations of the Strategy, (e) the measurability of results, and (f) layout and communication.

(a) The process to create the strategy

According to CODESRIA, the Plan was developed following a comprehensive review of its intellectual agenda, membership and governance and management. It is also mentioned in the Plan (p.10) that “*To ensure the relevance of its strategic priorities to the most important issues affecting Africa, CODESRIA undertook a wide-ranging multi-stage process of consultations and debates within the social science community. A final Strategic Planning Workshop that involved members of CODESRIA Executive and Scientific Committee*”. In sum, the level of participation in the design of the strategy seems satisfactory.

(b) Strategy content

The strategy has three thematic priorities – (a) Democratic processes, governance, citizenship and security in Africa, (b) Ecologies, economies and societies in Africa and (c) Higher education dynamics in a changing Africa – and the five cross-cutting issues Gender, Generations, Memory and history, Futures and alternatives and Inequality. This is followed by six operational strategies: (a) Research, (b) Training/capacity development, (c) Publication/dissemination, (d) Communication/outreach, (e) Institutional development and (f) Outreach (see Annex 9 for an overview/more details)⁵.

⁴ A summary of the Strategy can be found in Annex 9.

⁵ The strategic implications of external conditions are discussed in Chapter 3 and its internal characteristics in Chapter 2.2.

(c) Clarity and focus

Albeit slimmed down since the previous Strategic Period (Pain et al., 2017), CODESRIA's "intellectual agenda" is still extremely broad. The three themes and six cross-cutting issues cover broad and inclusive concepts. There are arguments for keeping such a broad research agenda – to stimulate creativity and provide researchers with freedom and flexibility, but it will be difficult for any CODESRIA research to be off-target and to establish a distinguishable profile.

The content of CODESRIA's research, research training, publication and dissemination plans are clearly explained in the Strategy, but three areas are less well accounted for:

- The overall objective – *“to increase the production of and enhance the engagement with research”* – does not provide a clear higher- level goal for CODESRIA. It could be interpreted as an increase in research outputs – not a contribution to any long-term objective.
- CODESRIA has chosen to promote basic research on the assumption that *“basic research is invaluable to the process of policy making and implementation as well as struggles for positive grass-root changes in Africa.”* (p.13). At the same time, the SP argues strongly for the importance of *policy relevance and engagement with policy communities and civil society*” (p.1). The relation – and possible contradiction – between them is not well articulated.
- While the relevance of capacity enhancement/training of individual researchers is well explained, the implications of university capacity enhancement or *“interventions to rebuild/recreate scholarly infrastructures and academic communities in the HSS”* (p.17) are less well accounted for.

(d) Delimitations

Setting boundaries for what an organisation should do and not do (in time and space) is an important function for a strategy. CODESRIA covers both social sciences and humanities, but with limited attention to humanities.⁶ The name CODESRIA refers exclusively to development of social science research and the Strategic Plan starts with the statement: *“CODESRIA's mandate is to promote social science research in Africa”* (p.3). There is no justification/explanation of why social science and humanities are combined, and the humanities are inconsistently referred to in programme plans and reports.⁷ It is a matter of discussion to what extent all the disciplines in social science and humanities share similar philosophical and methodological “affinities” as argued by CODESRIA. Even if there are political and tactical reasons to combine social sciences and humanities under the CODESRIA umbrella, it represents a substantial

⁶ The Secretariat admits that CODESRIA is primarily a social science organisation, but “The humanities have been implicated in CODESRIA's programming by default and perhaps based on the seamless affinities they share philosophically and methodologically. This is largely because the Council, from the outset, deliberately decided to be an interdisciplinary space. As such, no deliberate distinctions were made between Social Sciences and Humanities in the selection of persons who applied to CODESRIA's activities”.

⁷ E.g. humanities are not mentioned/included such as in the last Sida evaluation from 2017 – covering only social science research.

expansion of CODESRIA's intellectual mandate and would require a justification/explanation in the next strategy.⁸

(e) *The measurability of results*

In a good strategic plan, it should be possible to measure to what extent strategic objectives are being achieved – that results are monitored and assessed (in numbers and narrative) and reported on. To measure results, each of the objectives needs indicators and targets – in other words targets for how much the production of high-quality research is expected to increase, what it means to increase the visibility and enhance engagement with research, increase the numbers of researchers trained etc.

Without a baseline and targets, it is not possible to judge if the numbers are high, medium, or low. It is also stated in the SP that “*The work produced by the Council has had significant influence on scholarly work and policy making, as well as policy practice in Africa*”, but such important statements about the effects and impact of research need to be supported by empirical evidence and/or discussed through case studies etc.

There is no M&E plan attached to the SP – with a presentation of results and tools for collecting data and information on progress and achievements⁹. The previous evaluation (Pain et al., 2017) pointed to the lack of “formal documentation” of results and an information management system for capturing results. This is still true. The narrative Annual Reports – in particular the last two from 2019 and 2020 – are informative, self-reflective and in many ways good reads, but are not based on an agreed M&E system.

(f) *Layout and communication*

The Plan consists of 26 pages of text with an outline of the actual strategy starting from page 10. It is a long document – not a short and concise strategic plan. The strategic content comes late - at the end after a long introduction and extensive background information. Explaining its intellectual roots and discussing contextual challenges are relevant, but a Strategic Plan would in our view be more useful if it started with and focused on the Strategy as such. The current document is more a broad reflection/policy document than a sharp and concise strategy providing clear direction.

⁸ There are also other relevant/comparable institutions focusing on the humanities in Africa, including the African Humanities Institute, the National Institute for the Humanities and Social Sciences and The Institute for Humanities in Africa (see Ki-Zerbo [2021] for a more detailed discussion of the humanities on the continent).

⁹ There is a “*CODESRIA Results Based Management Logical Framework for 2017-2020*” (Revision December 6, 2016), but it appears as a framework prepared for Sida and Norad. There is no evidence that the framework with its outputs, outcomes and performance indicators are used for regular collection of data and for reporting. Key RBM terms are neither defined nor used correctly (e.g. “steps to arrive at priority themes taken” is defined as an output and «Priority themes established» as an outcome) and expected key outputs and outcomes are missing). It is also a question to what extent the suggested complex framework is appropriate and useful for CODESRIA. CODESRIA may have been better served with a few core performance indicators for each strategic objective – a simpler and more realistic framework with less details.

Concluding remarks

The Strategic Plan 2017-2021 is an interesting and well-written document, but more a broad reflection/policy document than a sharp and concise strategy. The level of participation in the design of the strategy was satisfactory. Thematic priorities are reduced from five to three from the previous SP (2016-2020), but CODESRIA’s “intellectual agenda” is still extremely broad. CODESRIA sets out to cover both social sciences and humanities, but with limited attention to humanities.

The overall objective – “to increase the production of and enhance the engagement with research” – does not provide a clear higher- level goal for CODESRIA. CODESRIA has chosen to promote basic research based on the argument that “basic research is invaluable to the process of policy making and implementation as well as struggles for positive grass-root changes in Africa”, but such a statement needs to be better accounted for and followed up in practice. The objective of strengthening African universities is not sufficiently defined and followed up.

There is no M&E plan as part of the Strategy – with an explanation of what CODESRIA expects to achieve and the tools for collecting data and information on progress and achievements. The narrative Annual Reports are informative, self-reflective and in many ways good reads, but are not based on an explicit M&E structure.

2.2 THEORY OF CHANGE

A strong recommendation from the previous evaluation (Pain et al., 2017) was for CODESRIA to develop a Theory of Change (ToC). A ToC is a description and illustration of how and why a desired change is expected to happen in a particular context. It is focused on mapping out or “filling in” what has been described as the “missing middle” between what a programme or change initiative does (its activities or interventions) and how these lead to desired goals being achieved.

The new Strategic Plan 2017-2021 does not include any explicit ToC, but the team was told that it was also finalised before the evaluation report was available. There are elements of an implicit change theory in the document – in the formulation of objectives (p.10). As understood by the evaluation team, the implicit ToC for CODESRIA’s strategic plan period 2017-2021 would read something like the following:

Figure 1 - Implicit ToC Strategic Plan 2017-2021

If the continent/ country and institutional context is receptive to high quality research in the social sciences/ humanities...	... and there is a critical mass of qualified researchers in these disciplines working within supportive universities... and these have sufficient resources and networks to be sustainable and enhance the role of social sciences/ humanities....	... then “high-quality research that addresses the priority development challenges in Africa and engagement with such research” will follow.
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Source: Evaluation Team

The implicit ToC is based on assumptions that the strategies will contribute to the long-term objective, but a more careful discussion of the underlying assumptions would have been useful in the Strategic Plan. While the SP contains good analyses of the constraints and opportunities related to each item in the figure above, there is no systematic attempt to understand where the most effective interventions will be in order to reach the ultimate objective in the figure.

The interactions or causal pathways between providing research grants, training and publications on the one hand and quality research and effective policy making on the other are complex. If research is going to be “engaged” and “useful” much more attention must be given to what such “engagement” actually entails and how it can be followed up/monitored. Even high-quality research is not automatically used for policy- and other practical purposes. A certain volume of high-quality research is required for increased visibility and impact. For CODESRIA numbers are low – only 45 grants are awarded in the five-year period for all of Africa which so far has resulted in 15 publications.¹⁰

A comprehensive and complex Theory of Change with many boxes and arrows showing causal pathways and a log frame with numerous indicators and targets may not necessarily be helpful – unless the ToC is defined and understood as a practical and pedagogical tool to answer four questions: (a) What is it that CODESRIA wants to achieve? (b) How do they want to achieve the objectives? (c) What is the likelihood that they will achieve them (explaining the “missing middle”)? (d) and finally – how will results be measured/assessed? We will return to this in the Chapter 5 Conclusions and Recommendations.

2.3 CONCLUDING REMARKS

There are elements of an implicit change theory in the Strategic Plan in the formulation of objectives, but a complete Theory of Change has not been developed. Neither is there a results-based framework attached to the Strategic Plan with measurable objectives, expected targets and indicators.

The ultimate long-term goal and impact is not entirely clear. CODESRIA effectively prioritises basic research and believes that such research is a prerequisite for high quality and engaged research. This builds on the assumption that quality research will eventually be used by policy makers and influence policy decisions – but this rests on a number of assumptions that are problematic and not sufficiently articulated. The causal pathways between quality research and effective policy development/public engagement are complex and require more attention

¹⁰ An alternative interpretation of the notion of ‘engagement’ – i.e. to use research actively to communicate with and inform the general public about key political and social processes which would be a ‘democratisation’ argument – is not explicit in the Strategic Plan and would require alternative modes of communication.

3 The African Research Context

3.1 THE HIGHER EDUCATION INSTITUTIONAL LANDSCAPE

The quality of African universities (as institutions, in teaching, in research) has a large and direct bearing on what CODESRIA can accomplish.

“The results of CODESRIA depend on the quality of the universities: The best trained will have the best projects.” – CODESRIA staff member

The African university sector, that is CODESRIA’ s primary institutional focus, is changing and complex:

The number of universities is small in a global context, but has increased considerably the past few years. Based on global comparative bibliometric data, the quality of African universities is relatively limited. Within the continent, the best universities are concentrated in a restricted number of countries (South Africa, Nigeria, Ghana). Most countries have one main public university, but there is a rapidly growing number of public/private universities albeit usually without post-graduate programmes. And there is a continued ‘brain drain’ in that the best students/researchers tend to go abroad for further studies/work (the African academic diaspora)¹¹.

CODESRIA works within an institutional landscape of higher education and research that is challenging:

The political environment is generally not favourable to university-based social science research, with some authorities seeing it as a threat and others as irrelevant. The universities are generally underfunded, with particular challenges for the social sciences and humanities and post-graduate (PhD) studies. There is an increasing emphasis on the STEM disciplines, agriculture and health and the instrumental value of higher education. And competing organisations, such as private universities, independent research centres/think tanks and research NGOs drain research staff and resources from the public universities.

Universities in Africa differ in their organisation and the space for research, but some common denominators can be identified:

Most universities are still predominantly training institutions, with academic staff spending a large part/most of their time on teaching and administration. Promotion (to different management/ academic levels) is still often based on seniority, but universities

¹¹ See: https://www.webometrics.info/en/Ranking_africa ; <https://www.4icu.org/top-universities-africa/> ; <https://www.timeshighereducation.com/student/best-universities/best-universities-africa>

are giving increasing attention to academic credentials including publications. The publication focus is on quality as well as quantity, which – with the dearth of available publications channels for African researchers – has led to an upsurge in the use of predatory outlets. And basic research usually depends on funding from donors or donor-funded African institutions (such as CODESRIA), while governments, the private sector and civil society tend to focus on funding applied/commissioned research.

Case Study: The Position and Role of SSH at African Universities

Looking more closely at the position and role of the social sciences and humanities at universities on the African continent, the team has selected the three case-studies UEM/Mozambique, UR/Rwanda and Yaoundé 1/Cameroon as representative cases. In summary, the following main issues have been identified:

The importance of the political context and space for SSH research: Post-colonial Mozambique has been a relatively open society with free media and room for critique (despite recent relapses), the social sciences have a number of well-known/influential alumni, and the labour market for social scientists has been relatively good. In Rwanda, the SSH have been affected by an authoritative state, limited academic freedom, and an active promotion of the STEM sciences, agriculture and medicine at the expense of the social sciences. This is also the case for Cameroon, even though the cap on academic freedom is less direct and relations with authorities more ‘conflictual’.

The position of the social sciences within the universities. The Faculty of Social Sciences and Humanities at Eduardo Mondlane University is the largest in terms of academic staff as well as students at the university. It also boasts Africa’s largest Department of Anthropology, and the leading Centro de Estudos Africanos. At the University of Rwanda, a deliberate side-lining of the SSH and the promotion of STEM sciences has been pursued through a removal of the College of Arts and Social Sciences from the capital/main campus and the blocking of vital government scholarships for SSH students. Also at Yaounde1, there are more severe budget cuts for the SSH than for other disciplines – but small/strong research milieus persist against many odds.

Research and dissemination of research results. Research at UEM is characterised by high level of collaboration with the Global North, limited engagement with African research networks much due to the language issue, and a strong focus on research relevance/applicability. Bibliometric data show that the publications rate/quality is relatively low compared to other disciplines. At UR, the publication rate/quality is relatively high but declining for the SSH with only 6.6 percent of total UR publications. At Yaounde1, French-speaking channels of publication are difficult to access and have low visibility, making CODESRIA particularly important for SSH researchers there.

3.2 ISSUES OF CONCERN AND TRENDS IN AFRICAN SOCIAL SCIENCE RESEARCH

The Strategic Plan 2017-2021 contains a good and relevant analysis of the political economy/ socio-economic trends in Africa:

The Strategy outlines how CODESRIA is working within a continent experiencing multiple transformations including poverty, insecurity, over-exploitation of natural resources and human-rights violations, but also improvements in the performance of many economies, advances in health and mortality rates and an upsurge of struggles for rights and democracy particularly among the youth.

However, in arguing for the important role of social science research in addressing such issues (“*These transformations at once pose policy challenges and offer an embarrassingly rich array of epistemological puzzles for scholarship in the humanities and social sciences*”- SP 2017-2021:5), it should also be acknowledged that understanding and relating to these issues require multiple approaches including the STEM sciences, agriculture and medicine.

In fact, a major thrust in international research on development related issues is the importance of multi-disciplinary research and the way the social sciences and humanities have an important role in contributing to/contextualising such cross-disciplinary research efforts. There are also strong voices insisting that research can be ‘useful’ and ‘engaged’ without thereby making it less ‘scientific’.

The Plan also emphasises the global aspect of African SSH studies, with ‘epistemic hierarchies’ and ‘global divides’ in knowledge production.

The dominance of Western thought has the effect of “*framing Africa as a policy problem to be solved rather than a reality to be understood*” (SP 2017-2021: 4). This leads – still according to the SP – to a need for an agenda that is designed to address global development challenges from an African perspective. CODESRIA’s theoretical/epistemological approach has roots in the early critical approaches of post-independence African researchers and has been described by some as a ‘radical paradigm of resistance’. At the same time, some would argue that SSH research in Africa should be global and comparative in its approach to maximise quality, insights, learning and relevance for the rest of the international SSH research community.¹²

¹² There are voices arguing that CODESRIA has taken its ‘de-colonising’ stand too far and thereby excluded itself from effective participation in ongoing global ‘post-colonial’ debates about this issue (see below).

African Social Sciences and Humanities research output

A key indicator of the quality of African social science and humanities research – and hence of CODESRIA’s success in supporting institutional development, training, and research – is the number and quality of publications (see Annex 7 for more details).

Looking more closely at standard bibliometric indicators,¹³ the number of African social science publications 2011-2020 in SciVal is 15.6% of the total of African SciVal-indexed publications in the same time interval; and the corresponding numbers for African humanities publications 2011-2020 is 3.6% of the total African research output.

The increase in publications on a yearly basis for the social sciences is substantial: from less than 7,000 publications per year in 2011 to more than 20,000 publications in 2020. For the humanities, the development is not as steep as in the social sciences; but the increase is still notable, from 1,800-2,800 in the years 2011-2013, to above 3,500 2019-2020.

To investigate the impact of African SSH research 2011-2020, the percentage of the African publications among the 10% most cited publications globally is used. African humanities research performs above the global benchmark with 11.9% of the publications being among the 10% most cited publications globally, whereas African social sciences are slightly below the expected share, with 9.7%.

The degree of ‘internationalisation’ or share of internationally co-authored articles shows that international co-authorship in the humanities has increased from 15% (2011) to 25% (2020) and in the social sciences from 32% to 42%. This can be compared to African research in general, where the overall share of internationally co-authored articles is 53% (2020).

In terms of distribution of publications per research field, the two top categories in the social sciences are the non-specific General Social Sciences, and Geography, Planning and Development followed by Education, Management, Sociology and Political Science and Economics. The top humanities publications are the non-specific categories General Arts and Humanities, followed by “Religious studies”, “Language and Linguistics”, “Literature and Literary Theory” and “Philosophy”.

Publications in the SSH per country reveal that for the social sciences, South Africa contributes with 44 percent of all publications followed by Nigeria (10%), and Ghana, Tunisia, and Egypt with between 5-10 percent each. In the humanities, 60% of the

¹³ From an African perspective there are several challenges related to Scopus/SciVal as the most common search engines for bibliometric analyses. One is that they primarily index publications from international scholarly journals and are not covering several African publication outlets and books (thereby excluding many SSH publications). And a second is that the engines primarily cover publications in English – thereby excluding publications from Francophone and Lusophone Africa.

publications come from South Africa, while Nigeria contributes with more than 10% and Egypt with more than 5%.

To counteract what CODESRIA argues are important challenges with standard bibliometric indicators, an initiative was taken at the beginning of the current Strategic Period to develop a separate “Africa Citation Index”, but this has so far not been implemented.

3.3 CONCLUDING REMARKS

The content of CODESRIA’s Strategic Plan and the organisation’s ability to implement it is strongly affected by Africa’s political economies and space for doing social science research; the nature of the development challenges on the continent; and the quality of the universities and researchers as their main partners of cooperation. CODESRIA seems to read this context well, and it represents clear sets of constraints and opportunities on what CODESRIA can accomplish. The strategic implications of this for CODESRIA’s work should be better accounted for in the upcoming Strategic Plan.

4 Findings

4.1 RELEVANCE: IS CODESRIA DOING THE RIGHT THINGS?

An apparent problem with the use of relevance as a criterion is that evaluations almost always find that interventions in development cooperation are relevant (Samoff, 2021). The general feedback from interviews and survey confirmed that what CODESRIA does is found to be relevant, but to widen the discussion four different aspects of relevance are discussed.

4.1.1 Relevance for the African political/economic context

Africa is facing several challenges of a political, economic, environmental and social nature, and research is broadly seen as a condition for relating to and dealing with them in an efficient way. While governments and donors increasingly emphasise the role of the STEM sciences, medicine and agriculture for development, social sciences/humanities are crucial for understanding context and analysing relevant historical and social processes.

The social sciences/humanities are central for conducting critical analyses of African development trends and crucial turns of events – and presenting these to the public is a condition for healthy democracies. 83% of the 48 survey respondents agreed fully and 17% agreed that *“CODESRIA is truly Pan-African and has a broad outreach both to research institutions and individual researchers.”*

“Research in Africa is now measured in terms of your relationship with CODESRIA.” – MMI researcher.

CODESRIA is an exceptional research organisation in the African context with its focus on SSH. It is highly relevant at a time when critical social science research is under increasing attack/pressure from governments and donors alike. Almost 90% of the respondents to the survey agreed that CODESRIA is working on a continent where the position and role of the social sciences and humanities is under increasing attack from political authorities.

With its emphasis on basic research and more limited focus on disseminating SSH research outside of academic circles, CODESRIA is less relevant in its role and responsibilities for disseminating research findings outside academia. Almost 60% of the respondents to the survey disagreed/fully disagreed with the statement: *“The role of CODESRIA is mainly to promote basic social science research to an academic*

audience, rather than contribute to the application of social science and humanities research to inform policies for development”.

“CODESRIA needs to invest more in advocacy for better political commitment in using research results.” – MMI researcher

4.1.2 Relevance for the universities and social sciences/humanities

The universities in general and their social science/humanities departments in particular are under considerable economic pressure and generally weak. There are challenges in the quality and relevance of basic social science theory and methods and accessible channels of publication. 70% of the respondents to the survey agreed that *“CODESRIA is working with a university sector where the social sciences and humanities are given decreasing attention by university managements”*.

As one of the very few institutions in Africa outside the universities that offer basic training, research networks and options for publication CODESRIA is relevant particularly for younger/upcoming researchers and researchers without an international network/in the diaspora.

With a few noticeable exceptions most universities do not have the necessary critical mass of researchers to form dynamic ‘research communities. This makes networking and meeting-places such as research groups and conferences among colleagues/peers vital, and CODESRIA’s emphasis on linking researchers and research communities is highly relevant.

The survey found that nearly 100% of the respondents found that they had *“gained professionally from being a member of the CODESRIA research network”*, while 78% agreed that the *“network has allowed me/my institution to expand the network of research partners.”*

CODESRIA has become less relevant for the most senior/productive African SSH researchers. From a time when all or most senior African researchers were heavily involved in CODESRIA activities (research, publications), the most senior/productive researchers now seem to have found other platforms/channels for their work mainly through international networks and channels or in the diaspora¹⁴ – even though they do maintain a role as mentors and in other support functions.

“The best African minds do not see the Council as their home [any more]. It will take time for people to come back.” – CODESRIA senior staff

CODESRIA has limited direct relevance for universities as institutions (Specific Objective 3), as they are not involved in ‘institutional development’ in the classical/new public management sense. Still, with the large number of senior researchers often in

¹⁴ Among the 10,000 most cited SSH articles by African researchers in the period 2011-2020 recorded in Scopus (see Annex 7), only one is published by CODESRIA’s Africa Development – which is the only CODESRIA journal listed.

management positions who have benefitted from CODESRIA programmes, there is likely to be an indirect relevance even though this is not monitored and documented. Only 30% of the respondents to the survey agreed that *“the support from CODESRIA has greatly benefited my home university/institution”*.

4.1.3 Relevance for Sida

The overall goal of Sida’s support to higher education and research in the Global South is to *“contribute to strengthened research of high quality and of relevance to poverty reduction and sustainable development, with a primary focus on low-income countries and regions”* (MFA, 2015:1).

While CODESRIA is clearly relevant for strengthening research of high quality, CODESRIA’s relevance for ‘poverty reduction and sustainable development’ is not equally clear due to the organisation’s focus on basic research and limited engagement with the general public/policy makers (see Sida, n.d. for an alternative view on this issue).

Sida also argues that core- (rather than project based) support is vital to counteract current trends of steering/controlling research among many donors and hence make it possible for CODESRIA to set their own research agenda. They also point to CODESRIA’s important contributions to the issues of academic freedom through their critical inquiries to basic development issues.

At present, Sida is vital for the continued existence of CODESRIA as the only donor contributing to core support (the support from Carnegie and Open Society as the other main donors is mainly project-based). The funding of CODESRIA is an important supplement to the support to bilateral cooperation between Swedish universities and (currently) six universities in Africa.

4.1.4 Concluding remarks

CODESRIA performs an important function in promoting SSH research at a time of fundamental change on the African continent. CODESRIA would be even more relevant if it was better at disseminating its basic research results to decision-makers and the general public.

CODESRIA is an important alternative institution for training and research dissemination at a time when African universities (and the SSH in particular) are under pressure and see quality deteriorate in many instances.

CODESRIA is relevant particularly for younger/upcoming researchers and researchers without an international network/in the diaspora, but has become less relevant for most senior/productive African SSH researchers.

Sida has supported CODESRIA for more than four decades. The support relates well to MFA/ Sida’s Strategy for Research Cooperation and Research in in Development Cooperation (MFA, 2015) and fulfils an important role as an alternative critical voice

in a context where higher education is becoming increasingly instrumental – even though CODESRIA’s direct relevance for the key Sida objectives of ‘sustainable development’ and ‘poverty reduction’ is less evident.

4.2 COHERENCE: HOW WELL DOES THE STRATEGIC PLAN FIT?

The analysis of coherence focuses on two questions¹⁵: (a) How well the CODESRIA intervention fit with other actors’ interventions in the same context – including complementarity and coordination with other research centres and universities (external coherence) and (b) the synergies and interlinkages between the various interventions (research/ training/ documentation/ outreach) carried out by CODESRIA (internal coherence).

4.2.1 External coherence/networks

The Strategic Plan emphasises that CODESRIA will respect the principles of complementarity with African universities, with the Council intervening only in areas that add value to the work of these institutions.

African universities are key partners to CODESRIA: They engage with their students, academic staff through research and teaching and (albeit to a limited extent) their managements. As we shall return to, one important function is the support to networks among SSH researchers through joint training facilities and conferences. Most universities do not have resources and contact networks to do this on their own, and CODESRIA’s activities in this area are hence complementary.

A second function is the training activities on theory, method, writing etc. for students and early career researchers. This is ‘complementary’ in the sense that many universities do not have adequate courses in these areas for social scientists. There is no evidence on the extent to which these researchers use this knowledge for the benefit of the university at large e.g. in teaching, but this is likely to happen.

As regards coordination with other research-related institutions, CODESRIA has 46 ‘partner institutions’ during the SP 2017-2021 period (see Annex 10). These primarily include universities and other research institutions as ‘ad-hoc’ partners for specific ‘ad-hoc’ activities such as doctoral schools, workshops, dissemination events, etc., but very few being longer-term strategic partnerships with universities. Of the total number of 46 registered partners, the large majority are universities with which CODESRIA collaborates. Others include research councils, UN commissions and publishers. Nine of the partner institutions are non-African. Five of the partnerships are described by CODESRIA as ‘permanent’ (see Table 1).

¹⁵ Only external coherence was covered by Terms of Reference, but the internal dimensions were included in the Inception report.

Table 1: Permanent CODESRIA partnerships

Partner	Collaborations
African Books Collective (ABC)	Collaboration for the dissemination of CODESRIA publications mainly in Europe and North America
African Union Commission (AU)	MOU on observer status in order to strengthen cooperation between CODESRIA and AU.
Arab Council for Social Sciences (ACSS)	Collaboration in order to jointly mobilise SSH researchers in North Africa.
Human Science Research Council (HSRC)	Partnership intended to advance social research in Africa and apply this to the continent's development.
Latin American Council for Social Sciences (CLACSO)	Collaboration going back to 2005, currently with a focus on a project on the Right to Education

Case-Study: CODESRIA Partnerships

Looking more closely at three partnerships with different objectives, the following experiences emerge:

The CODESRIA partnership with **UNESCO** has four different pillars. The first has focused on the Sahel with a youth engagement project. The second involved the participation of UNESCO in the 15th CODESRIA General Assembly in December 2018. The third involved the CODESRIA partnership with UNESCO in the Forum for African Humanities. And finally, a separate but more recent engagement is with the Research, Policy and Foresight Section of the Social and Human Sciences in UNESCO in order to produce a report on Scientific Freedom in 2022.

CLACSO is the Latin American equivalent of CODESRIA in Africa. The two organisations have nurtured a partnership for decades. During the 2017-2021 Strategic Planning cycle, CODESRIA engaged CLACSO in an Open Access programme in 2017, in a joint meeting in honour of Boaventura de Sousa Santos in Portugal in 2018 and through the Right to Education project currently funded by Open Society. However, in more recent times the two organisations have gone through internal changes and re-organisation due to funding challenges and the Council has been unable to pursue the line of partnership to its logical conclusion.

The partnership with **CROP** (Comparative Research Programme on Poverty) in Norway has involved a 4-year cooperative project from 2017-2020 between CROP, the University of Kwazulu-Natal in South Africa, and CODESRIA. The aim of the partnership was to establish activities to consolidate an international community in the field of sustainable development and poverty reduction, and the inclusion of CODESRIA as a network partner was intended to provide opportunity for greater

participation of students and researchers from Africa. However, the participation of researchers/ students from the wider African region depended on CODESRIA raising funding from other sources which turned out to be difficult.

Institutional partners are important for CODESRIA for networking and impact. Most of the current partnerships are ‘ad-hoc’ and established for specific purposes. There is room for more long-term partnerships that can benefit CODESRIA’s own research activities as well as the visibility of and engagement with African SSH research. The case-studies above indicate that this will require more strategic approaches and concentration of funding. While universities will continue to be key partners for ‘ad-hoc’ research activities, the strategic partnerships could focus on the public/policy engagement with such research.

4.2.2 Internal coherence

In interviews with senior staff, it was mentioned that CODESRIA used to work in silos with few and weak links and synergies between research training, research vehicles and publication of research outputs.

“There is a coherence problem between management, research and publications coordination.” – MMI researcher

The previous evaluation found that *“there have been disconnects between the research training, research vehicles and publications, in part reflecting the absence of a joined-up information management system.”* (Pain et al., 2019).

CODESRIA initiated several reforms to increase coherence and synergies revealing a high-level of internal reflection and learning from past experience, such as:

- Reduce the number of research vehicles and number of grants for reducing transaction costs.
- Increase the financial support either by increasing the grant and/or providing greater support through workshops, mentoring and so forth.
- Restrict the timing of calls to the first three years of the five-year programme cycle to allow timely completion of research grants, publications and dissemination activities.
- Contract formal peer support for each research grant for its duration as well as strengthening monitoring processes within CODESRIA.
- Involving the Publications Programme from the outset of the research grant process so that they are actively involved in the quality review process during the grant period.

There have been significant improvements in the coordination and cross-departmental collaboration between the various parts of CODESRIA, but challenges remain:

- The capacity to facilitate and support coordination is weakened by the absence of a Deputy Director.

- Three heads of Departments (Publication/Finance/CODICE) are still acting reducing managerial and professional ability/capacity.
- Most staff are overstretched. The staffing of the Secretariat is weighted towards administrative and not academic capacity. Training opportunities for staff are not provided.
- Challenges continued to face the Publication and Dissemination Programme to disseminate and bring visibility to the research (Annual Report 2020, p. 3), but the situation has improved.¹⁶

4.2.3 Concluding remarks

African universities are key partners to CODESRIA: They engage with their students, academic staff and (albeit to a limited extent) their managements. The interactions with and investments in strengthening African universities as institutions have been limited during the strategy period.

While the number of institutional partners is high, most of them relate to specific CODESRIA events rather than strategic partnerships to enhance the visibility of and engagement with African social science research outside academia for a longer term.

There have been significant improvements in the cross-departmental collaboration between the various parts of CODESRIA, but challenges remain such as gaps in professional and administrative capacity in the Secretariat and in the implementation of the dissemination/publication objectives.

4.3 EFFECTIVENESS: IS CODESRIA ACHIEVING ITS OBJECTIVES

The narrative nature of the Annual Reports as well as the lack of clear baseline and other data and measurable targets (i.e. M&E system) has been a challenge. The effectiveness of fulfilling CODESRIA's Strategic Plan 2017-2021 will be assessed with reference to the six objectives:

Specific Objective 1: To increase the production of high-quality social science and humanities research addressing the priority research areas of the 2017-2021 plan and enhance engagement with such research.

Publications

During the current Strategic Period, the number of CODESRIA publications has been trimmed from 11 to 7 (see Table 2). The discontinued journals were not CODESRIA's responsibility but were supported financially by the Council.

¹⁶ The key challenge in 2021 was that disbursement was suspended mid-year affecting level of publication and dissemination.

Table 2: CODESRIA Publications 2017-2021

CODESRIA Publication	2017 ¹	2018	2019	2020	2021	Total	Total Downloads	Downloads per publication
Africa Development	4	3	4	4	3	18	54,660	3,416
Africa Sociological Review	2	1	2	1	1	7	52,115	8,685
Journal of Higher Education Africa	2	2	2 ²	2	0	8	198,015	28,288
Africa Zamani	1	1	1	³		3	8,130	2,710
Identity Culture and Politics	2	2				4	23,730	5,933
Africa Review of Books	2	2				4	5,050	1,263
Journal of African Transformation	2					2	28,480	12,240
Books/Monographs	18	2	0 ⁴	5	3	28	49,776	1,844
Bulletins	4	4	4	6	4	22	370,000	16,818
Working papers	18	8	0	1	0	27	39,875	1,477
Policy Briefs	4	5	0	0	0	9	11,255	1,251
Total	59	30	13	19	11⁵	132	841,086	7,630

Source: CODESRIA/<https://codesria.org/> ¹ Double issues are counted as 2. ² One double issue (No. 1&2 2019) is downloaded 125.492 times. ³ Journal discontinued. ⁴ No publication(s) the relevant year. ⁵ Available as of 01.12.2021

The remaining three journals (Africa Development, Africa Sociological Review, Journal of Higher Education Africa) are all ‘inhouse’ with a long and established history; the book series focuses on CODESRIA initiated research rather than unsolicited manuscripts as has been the case previously; the Working papers are meant as an easier/intermediate step for research dissemination; the Bulletins are meant to stimulate discussion, exchange information and encourage research cooperation among African researchers; and the Policy briefs are meant to make knowledge produced by CODESRIA more accessible to a policy audience. The Strategy also contains plans for a Reflections on Policy Series by subjecting policy-processes to study, but this has not been accomplished.¹⁷

The reduction in number and focus on the publication outlets make good sense, but has also come with a price: A decision was made by the Executive Committee in 2016/17 not to publish a large part of the backlog. Despite efforts to publish several backlogged manuscripts at the beginning of the SP period (18 books and 18 working papers were published in 2017), non-published manuscripts are one of the most frequent complaints by the researchers interviewed for this evaluation. Also, several book manuscripts were published as Working Papers to get them out, but these tend to have a more limited impact and are less prestigious.

The number of publications has decreased during the SP period from 59 in 2017 to 19 in 2020 and an expected 14 in 2021. This is primarily explained by the efforts to publish the backlog in 2017, the discontinuation of four journals and the COVID-19 pandemic that has hampered the research process leading up to manuscripts. According to CODESRIA, they have also reduced the number of un-solicited publications that they

¹⁷ Some work in this area was done in collaboration with the SARCHI chair in Social policy and UNRISD at an annual conference in 2021.

accept to avoid a new situation of backlogs and focus their publication efforts on the new Meaning-Making Research Initiative, MRI.¹⁸

The MRI represent one of the most important changes for the current strategic period, linking research activities and publications into one programme. This was combined with clearer (and less ambitious) expectations in terms of outputs than previous programmes (see Pain et al., 2016): Rather than one book or three articles for individual as well as group grants, the expectation in the current strategic period has been one article for individual and two articles for group grants. The grants have also increased in size, to 10 to 15,000 USD for individual and 25 to 30,000 USD for group grants.¹⁹

The result has been encouraging for what has come to be CODESRIA's main research outlet: Of the 15 MRI research projects funded in 2017, 13 completed their work, resulting in 24 papers, 16 of which have been published as articles in CODESRIA's own peer-reviewed journals (see Annex 6). Of the 30 projects funded in 2018/2019 29 are completed, resulting in 49 manuscripts, 38 of which have been accepted for publication by CODESRIA and are in the publication process. 8 of these papers will be published in *Africa Development*, vol. 46, No 4, 2021 and the rest are already scheduled for publication in 2022. The successful 2018-2019 MRI papers on higher education are set to be published in *Journal of Higher Education in Africa* vol. 19, No. 2, 2021.

Case study: MRI Research Projects

Three MRI research projects were selected in order to understand the opportunities and challenges that these projects represent for the researchers/research groups that have successfully applied. One is a research group project implemented by early career social scientists; a second is a multi-disciplinary research project implemented by more senior researchers; and the third is an individual project done by a seasoned researcher working in a university environment with very limited opportunities for doing social science research. The following lessons stand out:

The application process: There is a joint appreciation of the opportunity that the CODESRIA (MRI) funding represents, and the funding was vital for all three grantees to be able to carry out their projects. For two of the projects, the application process was experienced as long and testing with the first attempt being unsuccessful. However, feedback and continuous communication with CODESRIA led to rewriting of proposals and eventual acceptance in the second round. All projects experienced delays in receiving funds.

¹⁸ See Murunga, Onoma and Ogachi (2020): CODESRIA's Meaning-making Research Initiatives (MRI): A Note in: *Africa Development*, Vol. XLV, No.4, for further details.

¹⁹ Three special individual senior research grants were awarded as part of the 2018/2019 MRI call, meant exclusively for very advanced scholars for the production of one book per grantee instead of articles. Also, unlike the other MRI grants, emphasis is on building on years of research to offer new theoretical insights. All three are in the process of finalisation/publication.

The research process. The research process was facilitated by courses in theory/methodology and other CODESRIA events that helped reorient project approaches and create important networks with other researchers in the region/on the continent. Otherwise, the research process was largely left to the researchers/research groups in accordance with CODESRIA policy, but CODESRIA was approachable in cases of particular needs: Both research groups experienced internal challenges and reconstitutions due to professional disagreements and/or issues of funding that were eventually solved.

The publication process. The most conflictual part of the research process has been that of getting the research published. According to CODESRIA, they have a good system of peer-reviewing but challenges with getting the researchers to accept the guidance given particularly on issues of theory and methodology. The research groups experienced that the review process took a long time, and that reviews were difficult to relate to and formulated in what one called an ‘aggressive style’. One of the research projects have been published, while two have had their manuscripts accepted and scheduled for publication. All projects have been presented for ‘non-academic’ audiences including policy makers and media outlets.

“CODESRIA’s great contribution is empowerment and self-esteem of African researchers” (MMI Grantee)

Quality

The issue of quality of the research and research outputs is difficult to assess in ‘objective’ terms. Only one of the publications (Africa Development) is indexed in the most common international data bases (Scopus/SciVal), and as noted these do not adequately capture publications in French and Portuguese. In Annex 7, the indexed publications are assessed with reference to bibliometric standards for quality, impact, international collaboration etc. with links to CODESRIA-related publications – where “CODESRIA” could be found in either author address, funding information, or titles/abstracts/keywords where performed.

This effort resulted in 250 SSH publications from the year 1980. Most of these publications (67%) were found with the term CODESRIA in the funding information, whereas CODESRIA as part of the affiliation name were found in 21% of the publications. The remaining 12% of the publications were brought into the publication set through CODESRIA appearing in titles, abstracts, or keywords. The overall findings are that:

- The number of indexed publications (250) is relatively modest albeit with an upsurge in the period 2017-2020 with publication frequencies ranging between 20-40 publications per year.
- The share of CODESRIA publications among the 10% most cited publications globally is 13.5%, which is 3.5 percentage points more than the global baseline of 10%.

- 27% of the publications were internationally co-authored between researchers from African countries as well as from African and non-African countries which is lower than normal.
- The distribution of publications per country shows that the two dominating countries are South Africa (29% of the publications) and Senegal (21%). Nigeria, Ghana, Cameroon, and Kenya also contribute with 5-15% of the publications.
- Of the 15 MMR 2017 manuscripts published in Africa Development, only one is cited (Scopus).²⁰

Our own findings from interviews suggest that perceptions of quality and relevance of CODESRIA's publications vary considerably – from 'very good' to 'poor'. Even though CODESRIA emphasises theory and method in its training and reviews of submitted articles/books, several interlocutors see the publications as overly 'descriptive'. Others see the empirical evidence presented as a strength that separates many African researchers from their international peers. Some also call for a stronger 'rigor' in the relation between hypotheses, analysis and evidence – even though the latter is a problematic concept in the social sciences. Research questions/themes are generally seen to be good and relevant, which may reflect the closeness African SSH researchers have to the topics explored.

In addition to quality per se, interviewees seem to disagree about the merits of what they see as the strong focus on 'theorisation' favoured by CODESRIA and the continued insistence on de-colonised 'critical inquiries' – rather than what they see as more contemporary or 'global' theoretical frameworks, post-colonial debates and a stronger reliance on mixed (including qual-quant) methodologies.²¹ Others read CODESRIA publications as reflecting the differences (or 'schisms') between the British and French intellectual traditions.

“This ideology born of a colonial dispute, faced with the encounter between a hegemonic West and a dominated Africa must be overcome by trying to find the right balance. [...] CODESRIA should, in its agenda, allow African researchers not only to have a local reference base but also an openness to the international because it allows them to fit into global research.” – Survey participant

In any case, it is generally considered easier by our interviewees to get their work accepted for publication by CODESRIA than in international journals/publishing houses that may give more credit. This does not necessarily reflect quality per se, but could also reflect different 'styles of writing' in an industry with very strong biases about what is academically acceptable and limited room for alternative modes of writing.

²⁰ Nhamo A. Mhiripiri, Oswelled Ureke & Mercy M. Mubayiwa: "The Discursive Dynamics of Action-Research and Zimbabwean San People's Production of Audio-Visual Stories" in "Africa Development/Afrique et Développement" Vol. 45, No. 4, 2021.

²¹ The debate is global and distinguishes between a form of 'postcolonial universalism' in which one tries to relate also to Western epistemology (Mbembe etc), and a 'decolonial particularism' in which one cultivates ideas of particularity (Mignolo, Ndlovu-Gatsheni, Sithole) and a fracture logic – with CODESRIA arguably finding itself in the latter group (Sindre Bangstad pers.com. See also Mbembe 2016).

For CODESRIA, their approach is based on their strategic emphasis on defining an intellectual agenda specifically for Africa and by Africans – referring to their ranking in the “Global Go To Think Tank Index” as an indication of their quality and relevance where they are listed as number 5 among the 94 African Think Tanks in the 2020 report (www.gotothinktank.com/global-goto-think-tank-index).

Priority Themes

CODESRIA’s publications are meant to address the three priority themes and the cross-cutting issues identified in the Strategic Plan. The first two themes (“Democracy, governance citizenship, security” and “Ecological transitions, economies, society”) are in the outset broad and all-inclusive in nature while the third (“Higher education dynamics in Africa”) is more specialised.

There are apparently no strong expectations of grant applicants and other authors to strictly adhere to the themes/sub-themes and no systematic follow-up of the thematic focus in the publications that eventually come out. The only themes mentioned by our interviewees that they argue fall outside are health and migration. Taking the MRI initiative as an example, CODESRIA’s own subjective categorisation of the distribution of themes among the 45 projects/articles appears in Table 3.

Table 3: Characteristics of MMR projects

Item	MRI 2017 & 2018/19
Number of projects	45
Main theme	
Democracy, governance, citizenship, security	22
Ecological transitions, economies, society	15
Higher education dynamics in Africa	7
Other	0

Source: Own assessment CODESRIA

As the team understands it, very few (if any) research application/manuscripts have been turned down with the argument that they fall outside of CODESRIA’s priority areas which reflects their broad/all-inclusive nature.

With such a broad approach, the question can be raised about the purpose of having SSH ‘priority themes’ at all – with the alternative being a narrowing down of themes and sub-themes to make CODESRIA more focused and recognisable.

Specific objective 2: To increase the visibility of social science research produced by African researchers and enhance engagement with such research.

CODESRIA seeks to bring the work it supports to a wide scholarly as well as policy/popular audience – particularly in Africa. There is little doubt that CODESRIA is a household name in academic circles – both among older academics who have lived

with it for a long time and among younger academics who know it as one of few options for access to publications and grants. It is less evident that CODESRIA is known to broader audiences outside academia, due to limited engagement with non-academic channels of communication.

“CODESRIA needs to invest more in advocacy to commit politicians to use the research.” – MRI Grantee

A key component of CODESRIA’s communication/dissemination is the website, which is outdated and currently under (re)construction. The expressed purpose of the website is to facilitate online dissemination of research outputs and other activities. However, as has been pointed out (see e.g., Pain et al., 2016), the site is difficult to use and contains much outdated information. The (re)construction has taken a long time, but according to CODESRIA the new one is now ‘90 percent complete’ (planned to be launched 15th December 2021). CODESRIA also has a Facebook page that is actively used (<https://www.facebook.com/CodesriaPage>), and operates active and verified Twitter and Instagram accounts. It has a mailing list of over 6000 users.

Looking at the effectiveness of the website for visibility/engagement (see Table 4), there has been a total number of 841,086 downloads during the SP period with an average of 7,630 per publication, with an equal number per year. It is of course difficult to know the extent to which the downloaded documents have been read/had an impact and assess whether the number is good or not, but in a context where access to academic publications is very difficult for most African researchers due to poor library facilities, paywalls etc., CODESRIA clearly fulfils a demand. The web-site has primarily been a ‘passive’ source of information/documentation rather than a site for ‘interactive’ communication through web-based presentations, seminars etc., but this may change.

A second channel of wider engagement is The Bulletin and Policy Briefs. While the former reaches a wide academic audience and is extensively read, the Policy Briefs and Working Papers have not become an integrated part of CODESRIA’s work/profile and have few publications/readers despite an active promotion towards grantees/authors about the importance of such means of research dissemination (see Table 2). One relevant channel for the popular dissemination of research supported by CODESRIA is The Conversation Africa, which “*connects universities and the research sector in Africa to a broader public*”. Since launching in 2015, TC-Africa has published more than 7000 articles from academics, researchers, and scientists, and attracts 900,000 to 1.2 million readers every month. Researchers get support from the editors to popularise their findings.²²

²² CODESRIA has published one article in the Conversation (May 2016) which has garnered over 3000 reads) <https://theconversation.com/how-political-interference-keeps-hurting-africas-universities-58387>).

The number of individual physical ‘outreach engagements’ recorded in the Annual Reports is: 5 in 2020, 5 in 2019, 11 in 2018 and none in 2017. A major part of the engagement is in the form of participation of the Executive Secretary in different academic and policy-related events, with heads of departments (mainly for research and publications) taking part in more specialised events. The events include:

Table 4: Outreach Engagement 2017-2020 (Examples)

Event	
Presentation at the High-Level panel of African ambassadors on “Winning the fights against corruption in Africa” (2018)	Executive Secretary
Panel participation at the African Studies Association UK conference (Birmingham, 2018)	Head of Publications
Partnering with the Nordic Africa Institute on the conference “Political Science Disciplines in Africa: Freedom, Relevance and Impact” (Accra, 2019)	CODESRIA
Participation in two panels on Research and Academic Freedom at the Sida Science days (Stockholm 2019)	Executive Secretary
Extended interview with The Elephant on COVID-19 (via web, 2020)	Executive Secretary
Speaker at Emerging African Scholar’s Virtual PhD Workshop for the Association for Research on Civil Society in Africa (via web, 2020)	Executive Secretary

Source: CODESRIA

Finally, the visibility of social science research and enhanced engagement with such research is supported through CODESRIA’s elaborate system of partnerships discussed in Chapter 4.2.1.

Specific objective 3: To expand academic freedom, strengthen good governance and to enable improvement in the performance of African universities.

According to CODESRIA, this objective is pursued by combining a focus on individual researchers (training, publications etc.) and reinforcing the institutional basis of African universities with a particular focus on sections involved in graduate training and research.

There is little evidence of CODESRIA supporting good governance and institutional development in the classic/traditional (new) public management sense, and few examples of good governance/ institutional development being explicit objectives of CODESRIA’s research programmes and cooperation with African universities.

“CODESRIA’s low contribution to the institutional development of African universities is due to their culture of autonomy and the rigidity of their mode of operation.” – Member, CODESRIA Committee

Rather, CODESRIA mainly pursues this task through support to individual researchers/research groups, with the argument that by enhancing the research capacity of university staff CODESRIA will indirectly support institutional development. Among the activities listed by CODESRIA in its annual reports for the fulfilment of this objective are:

- Award grants to faculties/doctoral schools to facilitate them to organise institution-based activities
- Award grants to senior fellowships in the humanities to enable senior academics to produce ground-breaking theoretical and conceptual work that would guide younger researchers
- Award diaspora visiting fellowships to facilitate diaspora academics to stay at African universities for two-three weeks to support teaching and research.
- Support doctoral students enrolled at African universities through the CODESRIA College of Mentors.
- Grants to develop profiles of past higher education leaders in Africa, with the objective to contribute to the literature in ways that would inform policy making (Carnegie/HEPI).
- Grants to doctoral programmes to bolster interventions that aid curriculum reform, doctoral student supervision and mentoring and encourage the strengthening of faculty seminars workshops, journal, and conferences (Andrew Mellon Foundation).

There are good arguments for seeing institutional development primarily as a social process and focus on research leadership, research groups, research networks and individual researchers as ‘agents of change (see Tvedten et al., 2021), but this has not been elaborated into any strategic thinking by CODESRIA.

CODESRIA’s Academic Freedom Programme has suffered from budget cuts during the current SP period. It was originally part of Objective 4 (see SP 2017-2021), but is not included in the headings or text of any of the following Annual Reports (2017, 2018, 2019 and 2020) where it is rephrased “*To enhance the capacity for good governance and performance at African Universities*”.

There are two events reported for the period that explicitly deal with academic freedom: the conference “The political Science Discipline in Africa: freedom, relevance, Impact” in cooperation with the Nordic Africa Institute and the African Association of Universities) and a conference organised with UNESCO on the theme “The current state of academic freedoms: setbacks and advances.

At the same time, it may be argued that CODESRIA’s critical approach in its own work and the predominantly critical inquiry in the research it supports contributes to academic freedom by challenging authorities and conventional wisdom. There have also been a few instances where the Council has intervened – “without going too public” – on behalf of colleagues whose freedom has been abused.

Academic freedom is key to the development and future of SSH research in Africa, affects the work of many of the young as well as more experienced CODESRIA researchers and is vital for the ability to have impact on development.

Specific objective 4: “To increase the quantity and improve the quality of knowledge produced by emerging social science researchers in Africa by training individual young scholars”.

CODESRIA’s training/network activities have become increasingly integrated with research outputs in the form of publications during the current strategic period – from a situation where a major part of CODESRIA’s manuscripts and publications were unsolicited/ submitted by external researchers to a situation where grants increasingly involve both training and publications (the MRI).

The Strategic Period has seen altogether 15 different types of training/network activities (Table 5, where ‘A’ signifies activity/resource utilisation). The three ‘flagships’ are the Democratic Governance Institute, the Gender Institute and the Summer Schools. They have a long history, are most consistent and draw the largest number of applications. According to CODESRIA, all activities are considered ‘active’ and will continue, even though some (the Child and Youth Institute, the Economic Justice Institute, Designing Interdisciplinarity and Publication and Dissemination Workshop) have only been active in one of the five years covered by strategic period under evaluation.

Table 5: CODESRIA Training Activities 2017-2021

Type of Activity	Years of Activity (A)					Number Applicants	Number Selected	Male	Female
	2017	2018	2019	2020	2021				
Democratic Governance Institute	A	A	A		A	214	81	54	27
Gender Institute		A	A		A	374	70	41	29
Child and Youth Institute	A					28	10	5	5
Economic Justice Institute	A					111	29	13	16
Summer School		A			A	402	121	85	37
College of Mentors ¹	A		A			175	90	47	43
Support to Doctoral Schools		A		A		107	28	- ²	-
HEPI Institute		A	A			45	36	24	12
HEPI Profiling		A				23	7	5	2
Designing Interdisciplinarity		A				9	2	1	1
Humanities Institute	A		A		A	84	66	41	25
Advanced Humanities Fellowship				A		77	6	2	4
Visiting Fellowships ¹			A		A	66	28	23	5
Research Methodology Workshops		A	A			167	167	86	81
Publication Workshop			A			23	23	17	6
Total	5	8	8	2	5	1905	764	444	293

Source: CODESRIA. ¹ The College of Mentors and the Visiting fellowships are activities under the African Diaspora Fellowship programme ²Gender not recorded.

With reference to the large number of social science students and researchers in Africa and the poor state universities and SSH departments in most countries (see Chapter 3.1), the total number of 1905 applications and 764 selected participants may be seen

as relatively limited for such a broad training programme. The number is largely the outcome of limited human/financial resources at CODESRIA, with external meetings being time-consuming and costly. The drop from the relatively high activity levels in 2018 and 2019 with eight events each year to two events in 2020 is related to the pandemic.

The overall assessment among our interviewees of the training institutes and other training activities is that they are very useful and fill important gaps in their home universities. There are issues of late acceptance letters (60 percent of applications are rejected), practical/logistic challenges in getting to the Institute events (they are organised in different places on the continent), challenging review processes, delays in funding/ reimbursements etc., but most interlocutors argue that this has improved during the current period.

There is also broad agreement that an important additional component to the training is the networks established at these events with colleagues working with/interested in the same intellectual/thematic issues – among researchers who often have few peers at their home universities. A backdrop to this is, again, the fact that many of the most senior/experienced African researchers do not see CODESRIA as a natural home for research/publication anymore, even though this is partly offset by their continued role as mentors and in support functions e.g. through the African College of Mentors and Visiting Fellowship Programme).

The frequent references among our interviewees to skewed regional participation in CODESRIA activities between Anglophone and Francophone Africa is not born out in the data: West-Africa has the largest number of participants, followed by Central Africa, East Africa, and Southern Africa. The larger number of English than French-speaking projects – despite the dominance of French speaking countries – reflect the fact that many French-speaking researchers work/write in English. On the other hand, the marginal position of Portuguese and Arab speaking students/researchers is confirmed.

Table 6: Characteristics of Training Participants

Region	Southern Africa	East Africa	Central Africa	West-Africa	Other
	324	293	345	776	55
Language	English	French	Portuguese	Arab	
	1301	592	11	1	

Source: CODESRIA

According to CODESRIA and other interviewees, the participation by women has been given considerable attention and seen a positive trend. This is reflected in the data, with the total number of male participants being 444 and female participants being 293. Still, women represent the majority in only two activities (the Economic Justice Institute and the Advanced Humanities Fellowship Programme). Interestingly, men also represent the majority of participants in the Gender Institute. At the same time, several of the female interviewees underline that it is still a long way to go – even though they sense a stronger gender awareness at CODESRIA than at their home universities.

Specific objective 5: To increase the effectiveness and funding of CODESRIA.

See Chapter 4.4.

Specific objective 6: To enhance the consideration of gender in the life and work of CODESRIA

According to the SP 2017-2021, the objective of enhancing the consideration of gender should have implications both for the composition of the Council's organs, the body of scholars it supports and the substance of the work it produces.

The current President of CODESRIA is a woman – as has been the case for four of the previous five presidents. According to her, the presence of women in leading positions has been vital for the attention given to gender issues in the organisation. The Executive Committee, as CODESRIA's highest governance organ in between the General Assembly meetings, consist of six women and four men, and in the Scientific Committee (as reconstituted in 2019) six of 12 members are women scholars.

Of the Secretariat's total number of 36 employees 19 (53%) are women while the senior staff is still primarily constituted by men. According to the Executive Secretary, the high female representation in CODESRIA's governing bodies has positive implications for the overall focus on gender issues.

Efforts have been made during the SP period to attract women scholars in the Council's grant programmes. 24 of the 53 MRI projects (45%) are coordinated by women scholars and 82 of the 163 researchers (50 %) involved in the projects are women. The Council argues that it does consider the inclusion of gender issues in their assessment of grant applications. According to CODESRIA's own assessment, gender is the most frequent cross cutting issue among the 45 MRI grantees (Table 7).

Table 7: Frequency/Importance of Cross-Cutting Issues

Cross-cutting issue	Frequency/Importance MRI 2017 & 2018/19
Gender	10
Generations	7
Futures and Alternatives	6
Rurality and Urbanity	6
Inequality	7
Memory and history	6
Epistemology and methodology	0

Source: Own assessment CODESRIA

In addition, the following gender-related activities have been reported during the Strategic Period (see Annual Reports):

- The Council has published a book, two issues of Africa Development (Vol. 42, No. 3 and 4 2017) and one issue of the Journal of Higher Education in Africa (Vol. 15, No. 1 2017) on gender and sexualities.
- The Gender Institute had 3 convenings during the SP period with a total of 81 participants, of which 41 were males.
- The “Project on African Women and Girls in a Shrinking Civic Space” has been followed up, with three State-of-the-Art Monographs/Policy briefs completed and awaiting publication in final format.²³

Concluding remarks

CODESRIA has a large publication portfolio. The number of outlets/publications has been reduced during the SP period, which has made the publication process more effective for those remaining. The quality of the publications is difficult to assess by formal bibliometric criteria, but are generally considered to be high and within CODESRIA’s thematic priority areas. Effectiveness: High.

CODESRIA is essentially a research Council promoting academic research/publications by African researchers. While the visibility of that research is promoted through their website, publications and academic meetings, the emphasis on research dissemination to non-academic audiences /policy makers and applied research has been limited during the Strategic Period. Effectiveness: Medium.

The objective of improving governance and the performance of African universities is primarily sought achieved through support to individual researchers/research groups, but without any expressed strategy for how the latter will lead to the former. The important issue of academic freedom has been pursued indirectly by publishing

²³ A proposal submitted to the Oumou from mid-2019 to support the annual convening of a Gender Symposium is still under consideration.

academic work that challenges accepted standards/boundaries among authorities, but with few examples of explicit interventions of support. Effectiveness: Low.

For individual young scholars, the CODESRIA training facilities are very valuable as they fill parts of the research process that are often deficient at their home universities. For younger as well as more experienced researchers, the meeting venues are also valuable for establishing networks with other researchers/institutions. The number and frequency of venues were planned to be higher but have been affected by limited resources and the COVID-19 pandemic. Effectiveness: High.

Compared to the gender bias in favour of men at African universities, the position of women at CODESRIA and the inclusion of women in its scholarly work is good. It is difficult to assess the extent to which gender issues are included in publications, but according to CODESRIA it is the most frequent/important of the cross-cutting issues defined by the organisation. Effectiveness: High.

4.4 EFFICIENCY: HOW WELL ARE RESOURCES BEING USED?

The question is to what extent CODESRIA has delivered, or is likely to deliver, results in an economic and timely way?

The Review of the management system and the internal control mechanism of CODESRIA (Ernst and Young 2019) rated overall risk for: (a) Management and Organisation, (b) Anti-corruption and Sub-granting as Medium while (c) Risk management and Audit, Procurement and Financial management as High.²⁴ CODESRIA provided a comprehensive response to the report where most issues were resolved. Another similar exercise was carried out last year, but the report was not available for this evaluation.

The Annual Reports discuss bottlenecks and inefficiencies: The progress with the MRIs have experienced delays, but CODESRIA has made efforts to complete projects on time and improve the quality of manuscripts produced. 42 out of 45 projects have now been completed. 62 manuscripts out of the 73 peer-reviewed have been accepted for publication. The quality of manuscripts has improved, but the question of quality is said to persist in some cases. Several researchers complained about weaknesses in procedures, communication and follow up of payments:²⁵

“It is said [about CODESRIA] that they never pay the last installment.”

– MMI Researcher

²⁴ The main objective of the assessment was to evaluate whether CODESRIA has reliable and relevant routines and adequate resources and competencies to manage future contributions from Sida.

²⁵ CODESRIA comment that the 3rd instalment of all 2017 MRIs whose papers were accepted for publication and the 3rd instalment of many 2018/2019 MRIs whose papers were accepted for publication have been paid. For papers not accepted, the contractual obligation is incomplete. At the moment, any outstanding payments for the MRI in the current SP is due to the halting of further disbursement of funds by Sida.

The Annual Report 2020 states that: “*Significant challenges continue to face the Publication and Dissemination Programme and its mission to disseminate and bring visibility to African and Africa-centric knowledge*”, but backlogs are cleared, and the level publishing increased while the underlying problems are not yet fully resolved.

Another outstanding constraint is the fact that key vacant positions are not filled such as a Deputy Director, Heads of Publications and CODICE (the Head of Training is the acting Head for both Publications and CODICE) and Head of Finance. In other words, CODESRIA does not have adequate staff in leading positions. The second term for the Head of Research expires early next year and Head of Training will leave the organisation – creating a major challenge for the organisation and underlining the urgency recruitments.

Finally, CODESRIA faces the problem of ensuring efficient and effective presence across Africa and across the diverse communities of scholars. The Lusophone and Arab language communities are less present than the Anglophone and Francophone. Increasingly, senior academics are absent in the work of the Council.

Allocation of resources to objectives

This section assesses the allocation of resources to the six strategic objectives for the period 2017 to 2021²⁶. There are several important figures and percentages influencing efficiency and effectiveness in achieving the objectives (see Table 8):

- 60% of total funding goes to CODESRIA internal costs– salaries, seminars, Executive Committee, fund raising, etc. It is important to emphasise that this is not the same as overhead. It includes professional/technical work (salaries) with research management, training and publications within CODESRIA.
- 40% goes to activities outside the organisation such as research grants, training and documentation. This includes the following allocations:
- 14% is allocated to research – 1.9 M USD for five years including MRI individual and group grants, Senior and Diaspora research grants. In 2018, the cost of the 15th General Assembly was covered by the research allocation absorbing nearly 70% of what is defined as research.
- The average allocation for each of the 15 2017 MRI grants were 27 300 USD and 26 110 USD for the 30 grants agreed to in 2018-2019. The cost of the MRI scholars amounts to 1.193.010 USD (of the total allocation 1.9 M USD to research in the period). The diaspora grants were at the same level, while the grants for “Women and girls in shrinking civic space” were 10 000 USD.
- 10% is spent on training – such as methodology workshops, Institutes for senior researchers, College of mentors including a considerable amount for the Visiting Diaspora professors (funded by the CARNEGIE Foundation).
- 7% is allocated to documentation/dissemination including ICT infrastructure and library acquisitions and increased engagement with research. The engagement is

²⁶ The six objectives used in the tables showing expenditure are for some reasons numbered differently from the Strategic Plan.

budgeted as policy convenings and outreach, but the total amount spent is marginal – only 2137 USD in five years and nothing in 2017 and 2019.

- 6% is used for increasing the consideration of gender/women in CODESRIA covering a Gender Institute, individual grants for women, etc.
- 3% goes to increasing good governance and strengthening African universities. Total support allocated to Institutional support amounts to 10391 USD (only in 2017 and 2018).

Table 8: CODESRIA Expenditures 2017-2021

CODESRIA expenditure 2017-2021							
Objectives:	2017	2018	2019	2020	2021	Total	%
1. To increase the production of research	\$415 783	\$968 263	\$262 562	\$185 769	\$73 350	\$1 905 727	14 %
2. To increase the visibility and engagement with such research.	\$333 267	\$182 405	\$217 926	\$134 802	\$91 374	\$959 774	7
3. To increase consideration of women/gender.	\$340 784	\$72 607	\$236 334	\$145 424	\$47 237	\$842 386	6
4. To increase good governance/improve African universities.	\$144 183	\$64 778	\$33 519	\$6 956	\$0	\$249 436	3
5. To increase scope and level of training.	\$178 714	\$150 293	\$793 111	\$63 762	\$123 517	\$1 309 397	10
6. To increase funding/effectiveness of CODESRIA.	\$1 661 499	\$2 108 842	\$1 995 306	\$1 335 787	\$799 006	\$7 900 440	60
Total	\$3 074 230	\$3 547 188	\$3 538 758	\$1 872 500	\$1 134 484	\$13 167 160	100

Concluding remarks

CODESRIA has initiated several reforms to improve organisational efficiency. The two most important remaining managerial weaknesses are: (a) Delays in publications despite recent improvements and (b) Vacant positions not filled – gaps in senior staff capacity.

Budget allocations are a cause of concern. It is on the low side for a research organisation to spend only 14% on grants to research and 10% on research training. Using 60% of all funds on CODESRIA’s internal costs is on the high side – even though the high proportion reflects a low overall budget.

To increase the visibility of and engagement with social science research is a strategic objective, but expenditure is marginal – for what is called “outreach”. The same is true for objective 4: To increase good governance and improve the performance of African universities.

CODESRIA remains basically a support organisation for individual scholars – marginally for African universities – or at least only indirectly – by supporting academic staff working for those universities.

4.5 IMPACT: WHAT DIFFERENCE DOES CODESRIA MAKE?

The issue of impact can be measured at several levels of influence and degrees of precision. There is little doubt that CODESRIA has a considerable impact on the awareness of the role/importance of the social sciences and humanities in Africa due to its long history, unique role as a pan-African research Council, wide-ranging publication programme and mere existence.

At the level of the academic and non-academic partner institutions, the network is wide, but without longer-term and focused programmes strong enough to make an impact on central partner institutions per se. The impact is primarily indirect and through individual researchers who have been affiliated to CODESRIA and its programmes, with several such people having leading positions in politics, society, and academia.

The impact is strongest at the individual level of younger/early career SSH academics and more experienced researchers, even though the latter seem to have a decreasing engagement with the organisation. For many researchers, the support received at critical stages of their academic careers have proven indispensable.

The broader impact of CODESRIA's work on the quantity and quality of SSH research in Africa is difficult to assess. While only a fraction of the SSH research published in Africa may have been directly affected by CODESRIA, the organisation's indirect impact on research themes, approaches and methodologies may have been substantial, but this is difficult to verify.

The impact on policies and public discourses on development issues in Africa is impeded by the limited extent of engagement with relevant institutions/channels of communication in a language accessible to the public. Despite CODESRIA's emphasis on critical inquiry, the evaluation team is not aware of any example where that research has been used actively for popular mobilisation during the SP period.

4.6 SUSTAINABILITY: WILL THE BENEFITS LAST?

The question is: to what extent can the benefits or results created by CODESRIA be sustained? Having argued for the relevance and need of an organisation like CODESRIA in the African context, two critical issues can impact sustainability: (a) the issue of predictable and flexible funding, and (b) retention of high-quality staff able to deliver on the wide spectrum of activities.

4.6.1 Predictable and flexible funding

The table below shows all income and expenditure for CODESRIA for 2017 to 2021 – with a total of 12.6 M USD as income and 13.2 M USD as expenditure.²⁷

²⁷ CODESRIA informed that total expenditures are higher than the total income because some expenditures from previous years was made in the subsequent year so funds were not fully expended in the year they are received, but carried over. The overall balance is positive.

- The original budget for the period was 45 M USD while the total income was only 12.6 M USD (28%), but it is not clear how the original budget was cut for adjusting to actual income.
- Annual income has hovered around 2.5 M USD except for 2018 when it almost doubled due to higher grants from both Sida and Carnegie Foundation.
- CODESRIA has benefited from support from eight different donors²⁸ during the period. However, total income from “other external donors” in the table (including the eight) is radically reduced from 620 577 USD in 2017 to 17 901 USD in 2021.
- Sida has been the only core donor – providing unearmarked support to the Strategic Plan while the others have provided specific time-limited project grants.
- Sida has also been the dominant donor throughout the period (63% of all income).
- CODESRIA’s internal revenue – funds generated through sales of books and membership fees comes to 2% of total income.

In conclusion, CODESRIA is extremely dependent on Sida as the core donor providing nearly 2/3 of all funds. The internal revenue has been marginal. However, Open Society and CARNEGIE will continue to consider funding (based on interviews). CODESRIA was also invited by Norad to apply for a competitive grant (amounting to 2 M USD per year for 4 years) to be decided later this year. If successful, the financial situation will improve.

Table 9: Income and expenditure CODESRIA 2017-2021 (USD)

	2017	2018	2019	2020	2021	Total	%
Sida	\$1 890 937,00	\$2 035 200,00	\$1 756 501,00	\$1 597 534,00	\$707 384,00	\$7 987 556,00	63
Other external donors	\$620 577,00	\$2 144 951,00	\$1 126 625,00	\$552 501,00	\$17 901,00	\$4 462 553,00	35
Internal revenue (CODESRIA)	\$10 848,00	\$101 722,00	\$44 829,00	\$39 849,00	\$11 235,00	\$199 484,00	2
Total income	\$2 522 362,00	\$4 281 873,00	\$2 927 955,00	\$2 180 884,00	\$736 520,00	\$12 649 594,00	100
Total expenditure	\$3 074 230,00	\$3 547 188,00	\$3 538 758,00	\$1 872 498,00	\$1 134 484,00	\$13 167 158,00	100

Source: CODESRIA

4.6.2 Staff retention

The staff is relatively small and under pressure. There has been a high loss/turnover of senior staff. The position as Deputy Executive is not filled. The permanent Heads of Finance, Publication and CODICE are not in place. The Council advertised in 2019, but was not able to recruit new staff (Annual report 2020, p.11).

²⁸ Sida, Carnegie and Open Society Foundations, OSIWA, UNESCO, ACBF, OSISA, Calvin college, Oumun Dilly, Mellon and Ford Foundations.

The same Annual Report refers to COVID-19 as an explanation for delayed recruitment while lack of/decreased level of funding was given as a reason in interviews with senior management. Issues of staff recruitment and retention would require further study.²⁹

4.6.3 Concluding remarks

The Council is financially vulnerable and highly dependent on Sida as the core donor providing nearly 2/3 of all funds. The internal revenue has been small and income from other donors on the decline. If ongoing fundraising becomes successful, the future financial situation will improve. Several senior staff have left the organisation – with two additional senior staff possibly leaving in 2022 – making successful staff recruitment to an urgent issue for CODESRIA portfolio

CODESRIA has had higher ambitions than their economic and human resources have been able to fulfil. Initiatives for reducing activities and focusing research have been taken during the current strategic period.

4.7 CROSS CUTTING ISSUES: GENDER MAINSTREAMING AND ENVIRONMENT

As accounted for above (Chapter 4.3), women have a high representation in CODESRIA's governing bodies and among the researchers involved in the Council's activities. There are also special events on gender issues, such as the Gender Institute, but no specialised gender institution among the institutional partners. According to CODESRIA, gender it is the most prevalent of the six cross-cutting issues identified for the current SP period. A closer analysis of gender mainstreaming (Sida, 2015) would require access to qualitative/relational data that has not been available under the constraints of this evaluation.

CODESRIA argues that the second research theme ("Ecological transition, economies and society") was defined in order increase the attention to climate change and the environment in its portfolio. CODESRIA is organising several pan-African events in different parts of Africa, which leaves carbon footprints. The number has been reduced and/or substituted by web-based meetings during the pandemic. It remains to be seen if this experience will change the way these events are organised when travelling becomes easier (CODESRIA emphasise the importance of face-to-face contact for building research networks).

²⁹ The Secretariat commented that the COVID-19 pandemic stopped the recruitment for three Programme Officers positions. It also made it impossible for TGF to run its regular programmes which is the reason the Head of TGF was seconded to and has remained Acting Head of Publications. But overall, the Council has been unable to recruit for the other identified positions due to financial constraints.

5 Conclusions

The overall assessment of CODESRIA's work during the SP 2017-2021 is positive. Still, the organisation is facing dilemmas in terms of how the organisation is to relate to and become more relevant for its overarching goal. There is scope for short-term change and improvements, but – more importantly – CODESRIA should consider alternative strategic options and make more deliberate decisions in the new Strategic Plan.

There is no straight line from descriptive analysis to normative guidance – and no guarantee that the proposed changes will make the programme more effective, but this evaluation has identified some key strategic issues that should be addressed. The alternatives are in most cases not either/or, but rather about finding the right balance between them.³⁰ The choice between alternatives will also be dependent on the level of human and financial resources accessible in the new strategic period.

The evaluation team has identified the following strategic dilemmas/alternatives for CODESRIA 2022-2027 that should be considered when preparing the new Strategic Plan.

	Current Focus	Alternative Focus
1	Maintain the broad/near-all-encompassing thematic focuses.	Narrow the focus further to give CODESRIA a more distinguishable profile.
2	Work with a large number of students/ early career researchers for capacity development.	Focus on a more limited number of experienced researchers to increase research quality and visibility.
3	Continue to provide relatively small grants to a relatively large number of researchers	Decrease the number of grantees and increase the amounts for each grant to enhance quality and impact.
4	Continue to focus on basic research training and basic research programmes.	Focus more on applied research that will make it easier to demonstrate impact on policies/ development.
5	Continue to disseminate research primarily through research publications.	More systematically reach out and engage policy communities and the general public through alternative channels of communication.

³⁰ A summary of more specific recommendations emerging from the survey and interviews can be found in Annex 8.

6	Continue to use individual researchers as entry points for university development	Prepare a university capacity development plan focusing on institutional structures and processes in selected universities.
7	Continue to focus on African research/ epistemologies and African researchers.	Focus more on global epistemologies/ collaboration to enhance relevance and accessibility.
8	Continue to cover social science and humanities research.	Focus on social science research only in order to sharpen CODESRIA's research profile.
9	Continue to relate to a broad and varied set of academic as well as policy-oriented partner institutions for networking.	Focus on more limited and carefully selected partnerships in order to enhance academic relevance and policy/social impact.

CODESRIA's 'raison d'être' is to contribute with high quality social science/humanities research → addressing priority development challenges → and enhance the engagement with such research among academics as well as policymakers and the general public.

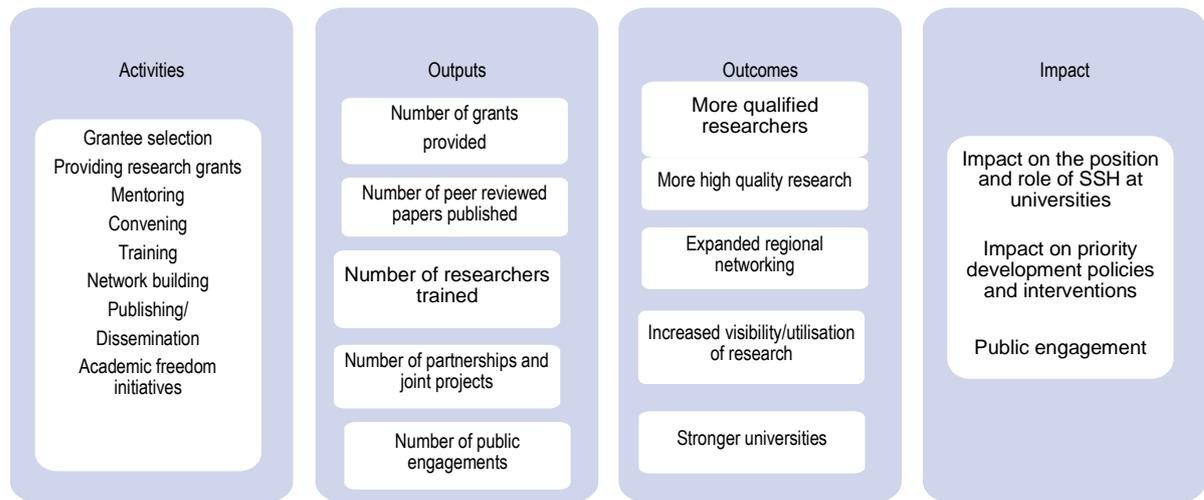
On the assumption that the financial and human resource situation will not change radically in the upcoming SP period, the team would recommend that the broad/inclusive approach is maintained with necessary adjustments related to the human and financial resource situation (see Recommendations). One main reason for this is the cumulative effect of all these activities in creating vital networks among African SSH researchers, who often find themselves in relative isolation at universities with inadequate training and publication facilities.

The main exception to this should be a stronger and more focused strategy for reaching the impact level. Strengthening the scholarly domain should remain key to CODESRIA's work and the new Strategic plan (see Outcomes in the Figure below), but this should not be the sole purpose of CODESRIA. Such a focus would also be outside the scope of international donors, who are the most relevant funders.

'Impact' should be sought in the following areas:

1. Impact on the position and role of SSH at universities, which would require collaboration with individual researchers/research groups as 'agents of change' in order to strengthen management, teaching and research at selected institutions.
2. Impact on policy interventions related to the defined priority areas, which requires a more focused strategy for reaching key development institutions and policy actors.
3. Impact on people's knowledge and awareness of political and social dynamics related to the defined priority areas, which requires a clearer strategy for popular dissemination of research results through accessible channels of communication.

Figure 2: Proposed revised Theory of Change for the Strategic period 2022-2026



6 Recommendations

6.1 STRATEGIC RECOMMENDATIONS

With reference to the listed dilemmas and suggested ToC, the team would like to propose the following strategic priorities:

1. The broad research themes should be kept – but should be organised around sub-programmes where the thematic focus becomes more explicit both in research calls and publications.
2. The focus on students/early career researchers should be kept – but the sub-programme for senior researchers should be further developed to secure higher quality/visibility.
3. The grant system should be kept – but should be more clearly divided between smaller ‘start-up-grants’ for students/early career researchers and ‘research grants’ for older/experienced researchers.
4. The current focus on basic research should be kept – but more emphasis should be given to an effective diffusion of that research in non-academic channels of communication.
5. Research dissemination through the website should be continued – but the public and policy communities should be more strategically targeted through adapted and interactive communication.
6. Individual researchers/research groups should still be the entry point for university development initiatives and not universities as such – but more attention should be given to individual researchers/research groups as ‘agents of change’.
7. The emphasis on African researchers and an African intellectual agenda should continue, but more emphasis should be given to include international collaboration and global modes of thought.
8. The future focus should be on social sciences. The future role of humanities should be explained in the next Strategic Plan.
9. The current focus on external partnerships should be kept, but with a more limited number of institutional partnerships with longer term and stronger commitments.

6.2 SHORT-TERM RECOMMENDATIONS

There are also several operational recommendations that need urgent attention:

1. **Write a new Strategic Plan that gives more emphasis to the strategy** at the expense of context and background.
2. **Prepare and include a human resource plan** based on: (a) Mapping current professional and administrative staff (strengths/weaknesses and gaps), (b) an overview of staff required and (c) a recruitment process and plan. Particular

attention should be given to: (a) Succession of the Executive Director, (b) The Deputy function and (c) Heads of each Programme department.

3. **Consolidate and diversify donor funding:**
 - a) Take the current funding situation into account and nurture the relations with existing donors providing the best opportunities for funding with the objective of securing high and long-term financial support – preferably core support. Establish a regular donor forum.
 - b) Identify two to three new potential donors and prepare a solid proposal for funding.
4. **Develop an effective monitoring and evaluation system** by systematically linking quantitative indicators with qualitative analysis (theory-based and case-based).
 - a) Define a few key performance indicators for each strategic objective and agree on tools for regular data collection.
 - b) Systematically refer to and use the indicators in Annual Reports in combination with narrative reporting.
 - c) Include monitoring of and support to grantees after projects are completed.
5. **Continue improving the speed and quality of the publication process** with a particular focus on the new web site.
6. **Continue to focus on gender equality in CODESRIA and among researchers** with a particular focus on recruiting women to CODESRIA’s senior management.
7. **Assess the option of continuing to base some of the training/outreach activities on web-solutions in order to reduce CODESRIA’s carbon footprints.**

6.3 RECOMMENDATIONS TO SIDA AND DONORS

1. CODESRIA is a unique organisation in the context of Africa’s higher education institutions and SSH research, and the social sciences and humanities are key for the ability of governments/aid organisations to contribute to sustainable development and poverty reduction.
2. To maintain its relative independence, CODESRIA will need core funding at a level that makes it possible for the Secretariate to carry out its essential activities in research support, research dissemination, networking and external engagement.
3. In addition, donors could fund more explicit project interventions that directly support the CODESRIA’s strategic priorities such as:
 - a) Develop an M&E system that is sufficiently focused and simple to follow up complex research programmes.
 - b) Fund ‘flag-ship’ projects linked to each of the thematic priority areas in the new Strategic Plan, involving early career SSH academics in cooperation with African or international mentors throughout the research process.
 - c) Fund a pilot project to (re)engage more experienced African researchers on the continent/in the diaspora with the purpose of facilitating one/two cutting edge SSH research projects that would enhance CODESRIA’s reputation.

- d) Fund strategic partnerships between CODESRIA and one major pan-African policy organisation and one major popular organisation for improved/enhanced engagement with CODESRIA-supported research.
- e) Donors should improve the coordination of their support to CODESRIA, both to make it more effective and to reduce the work/reporting burden on CODESRIA.

Annex 1 – Terms of Reference

General information

Introduction

Sida has supported CODESRIA since the 1970s and the collaboration is one of the longest in Sida's research portfolio. The research cooperation at Sida is guided by the strategy for research cooperation and research in development cooperation 2015-2021. Sida's current agreements with CODESRIA is on core support agreement to support the programme cycle 2017–2020, "New Frontiers in Social Research and Knowledge Production for African Transformation and Development". Sida is also in the process of signing a project agreement with CODESRIA in April 2021 to contribute to the project "Re-imagining the Sahel through the Humanities: Researching Evolving Spaces and Actors". The project is a South-South collaboration between CODESRIA and the Arab Council for the Social Sciences (ACSS).

During the strategy period CODESRIA has engaged in partnerships with several other funders, for example Carnegie Corporation of New York, Ford Foundation, Andrew Mellon Foundation, Open Society Foundation, and Oumou Dilly Foundation.

CODESRIA is a Pan-African research council and has a mandate to promote social science research and research within humanities in Africa and its Diaspora that can enhance the understanding of structural transformation and social dynamics. CODESRIA operates on a continent with a dramatic demographic transition with a steady increase in the number of young people, a trend which has affected the demand for higher education. The number of universities have increased dramatically during the latest decades with an increased teaching burden for lecturers and challenges of keeping high standards and good quality within its higher education sector. CODESRIA's key activities include research and research capacity building, training that is accompanied by offer of grants and fellowship to African academics and publications and dissemination.

CODESRIA's areas of research are defined in the Strategic Plan and include three broad thematic clusters and seven crosscutting areas. The clusters are:

- Democratic processes, governance, citizenship and security.
- Ecological transitions, economies and societies.
- Higher education dynamics in a changing Africa.

The crosscutting themes are gender; inequality; generations; alternatives and futures; rurality and urbanity; memory and history; and epistemology and methodology. These themes are broadly framed so CODESRIA can dedicate time and resources to a range of research issues that become pressing and require the Council's urgent or immediate intervention.

Social science research and the humanities in Africa are produced largely through universities and a limited number of non-state institutions interested in these areas. These institutions operate either independently or as affiliates of public higher education institutions. The status of academic freedom is therefore tied to the relationship practitioners in this area have amongst themselves and between them and the state, their host institutions and with external actors who support or influence the production of social science and humanities knowledge in Africa.

Over the years, student intake in universities has been predominately in the social sciences and humanities including areas like education whose degree certification is required for teaching at the secondary school level and above. However, in the last few decades, precisely since the imposition of cost-sharing requirements in the 1990s, the emphasis on rationalising resource allocation to different degree programmes started and a preference in policy circles for STEM subjects became the rallying point for de-emphasising the social sciences and humanities. This has affected the allocation of resources to these areas of training and research.

Organisations like CODESRIA have therefore been relied upon to support research in the social sciences and humanities at advanced postgraduate levels. Though not funded by public resources from any African governments, these institutions play a significant role in enhancing research in the humanities and social sciences by funding research, offering avenues for training and fellowships for capacity building at advanced levels, publishing African academics especially those based on the continent, and networking them across disciplines, regions, linguistics clusters and intergenerationally in order to facilitate and nurture a Pan-African consciousness among them.

Over the last decade or so however, while universities have expanded and graduate training has, by and large, been revitalised, the need for organisations like CODESRIA have either remained or expanded. There is a noticeable weakness in the training programmes at the universities in the social sciences and humanities with respect to their conceptual and methodological rigour. This rigour is essential for advanced study in all disciplines but more so for the social sciences and humanities. This, in part, reflects the nature of postgraduate training at these higher education institutions; itself the consequence of numerous factors that impact knowledge production in many Africa countries. Among these factors, two are worth flagging; first, the huge numbers of students compared to available qualified faculty to train them and second, the inability of the state to adequately resource universities and create conducive learning environment. These factors broadly touch on different elements of academic freedom.

The central concern about academic freedom in Africa has hinged on abuse of academic freedoms by the state and, indirectly, via university governance institutions. While this remains a major concern in several countries, such abuses have mutated and taken new forms and, in some cases, manifesting themselves through internal faculty squabbles and strained relationship between faculty and students. In many cases, the restrictions on funding from the state, delays in remuneration, reluctance or outright refusal to support specific disciplines, restrictions on travel abroad, censorship and banning the study of certain so-called sensitive areas and topics all remain the stock in trade of some governments in Africa.

What is even more critical, however, is the extent to which public support and defence against abuse of academic freedom has waned. The asphyxiation of civil society in some countries has weakened the front for the fight against academic freedom as an

overall struggle for human rights and democracy. A few organisations have maintained the struggle for academic freedom but generally, African academics remain almost alone in safeguarding spaces for free and critical thought. The rest of society views these freedoms as esoteric and elite and not worth safeguarding. Often, the defence of academic freedom receives external support from institutions and funding partners, but this is inconsistent, inadequate and far between.

The focus in Sida strategy is to enhance national and regional research capacity, research of good quality and innovation capacity. Sida has bilateral research cooperation in five countries in Africa (Ethiopia, Uganda, Rwanda, Mozambique and Tanzania) and a number of regional research interventions. For example, Sida provides support to AERC, CARTA, Bio-Innovate and Wiomsa.

There are other funding partners and organisations that support research in a similar manner as Sida, except that this is targeted, not core, support. They include bilateral partners like Danida/Denmark, Norad/Norway, Finland, IDRC/Canada and FCDO/UK, to name but these few and multilateral partners like Foundations including Ford Foundation, Carnegie Corporation of New York, Open Society Foundation, Bill and Melinda Gates Foundation and Andrew Mellon Foundation. While only a few of these support CODESRIA, indirectly, their support to other sister organisations like AERC and African Academy of Sciences eases the pressure on CODESRIA by providing alternative avenues through which African academics can seek support that enhances their research work.

Evaluation object: Intervention to be evaluated

The evaluation object is CODESRIA, and its implementation of the strategy titled “New frontiers in social research and knowledge production for African transformation and development, 2017-2021”.

The overall objective of the strategy was to increase the production of high-quality social sciences and humanities research addressing the priority development challenges of Africa and enhance engagement with such research.

Out of this, six specific objectives are discernible:

- *Specific objective 1:* To increase the production of high-quality social science and humanities research addressing the priority research areas of the 2017-2021 plan and enhance engagement with such research.
- *Specific objective 2:* To increase the visibility of social science research produced by African researchers and enhance engagement with such research.
- *Specific objective 3:* To expand academic freedom, strengthen good governance and to enable improvement in the performance of African universities.
- *Specific objective 4:* To increase the quantity and improve the quality of the research outputs of emerging social science researchers in Africa.
- *Specific objective 5:* To increase the effectiveness and funding of CODESRIA.
- *Specific objective 6:* To enhance the consideration of gender in the life and work of CODESRIA

The problem summary to be targeted was phrased as: *“There is insufficient production of high-quality social sciences and humanities research in Africa that addresses the priority development challenges of the continent and inadequate engagement with such research.”*

CODESRIA’s main target group is the community of scholarship and policy in Africa and its Diaspora. CODESRIA is more established in English and French speaking Africa and less established in Portuguese and Arabic dominated countries. However, through a partnership with the Arab Council for the Social Sciences (ACSS), CODESRIA is seeking to expand its reach in North Africa.

CODESRIA has activities within three main but strongly inter-related areas: Research, Research Training and Capacity Enhancement and in Publication and Dissemination. These are supported by a documentation centre that archives and disseminates knowledge to African academics and institutions.

The total budget for the implementation of the strategic plan 2017–2021 was \$45,064,673 and the amount spent during the total period was \$11,995,166 [this excludes 2021].

Sida has been the only core funder during the period. In 2020, Open Society Foundation (OSF) decided to contribute with a grant for institutional support. Carnegie Corporation of New York, the Ford Foundation and Andrew Mellon Foundation have contributed with targeted support.

CODESRIA went through a series of internal reforms commissioned by the Executive Committee starting in 2016. In 2018, a review of the programme implementation of the Council found that the programmes were sound despite identifiable challenges that needed to be addressed. In 2019, a review of the management and internal controls confirmed that the systems had been restored and were reliable. Both reviews however identified areas of improvement that they urged the Council to work on. While some has been done to address the weaknesses, there are challenges that make efficient programming difficult.

CODESRIA operates in an environment with numerous structural deficiencies that make programme implementation doubly difficult. In many cases, some of these difficulties are beyond the capacity of the Council to resolve. It operates in a higher education environment in which the state has abdicated from its critical role as provider of needed resources, infrastructure and of overseeing quality of education. This absence or failure is reflected in the calibre of applicants to CODESRIA’s programmes. While the Council commits to quality and strives against numerous odds to achieve it, there is only so much it can do to achieve the expected target given the environment.

Matters are not helped by the fact that the demand for CODESRIA programming far exceeds the capacity of the Council to meet them. There are few similar institutions that support social science and humanities researchers on the continent. In the last decade or so, existing institutions have either cut down on their programming or ceased

to exist. This has left CODESRIA as the sole institutions most interested applicants in the social science and humanities go to for Pan-African driven research.

Further, no African state or African philanthropists fund CODESRIA. Among the structural challenges the Council faces is the reality that African philanthropy is undeveloped and, where it is developed, their focus tends to be to support western institutions that have prominence, name recognition and better visibility. African governments face internal budget constraints that make funding Pan-African institutions less of their priority.

Shifting funding priorities and agenda remains a key challenge to the Council. While CODESRIA has been able to sustain funding support for decades, the scale and priorities shift remarkable within a strategic planning cycle. Also, the capacity to raise funds is made more difficult by the crowded list of applicants seeking support from the same sources. Periodic budgetary cuts mean that the Councils' commitment to supporting basic research that is long term in orientation is periodically disrupted. As such, research outputs reflect a more short-term orientation that are occasionally punctuated by an unhealthy temptation to invest in applied research. The need to demonstrate policy impact does not help matters because it imposes a tyranny of immediate measurable outcomes. Such outcomes are not conducive for social science and humanities research and they short-circuit the whole idea of investing in basic research.

CODESRIA has a commitment to producing Pan-African research. The aim is to link and network communities of scholarship otherwise fragmented along national, regional, linguistic, gendered and generations lines. In itself, these fragmentations atomises knowledge into small, disconnected communities. These are communities that easily engage and network with communities in the Global North than along horizontal intra-African and South-South lines. To correct this, investment in networking is key and has helped grow both Pan-African communities of scholar that can easily be inserted into South-South networks. To achieve this, one needs to transcend numerous boundaries and the cost of doing so remains prohibitive even at moments when funding is generously accessible.

Further, the infrastructure for travel and communication in Africa is weak and dangerous. In moments of uncertainty like now when the COVID-19 pandemic has made travel difficult, virtual mechanisms of engaging each other are weak and limited in reach.

The previous evaluation commissioned by Sida was finalised in December 2017 by NIRAS. Sida also commissioned a review of internal control and management in 2019. CODESRIA commissioned three internal reviews in 2016.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

Evaluation rationale

Based on the previous evaluation and the internally commissioned reviews CODESRIA engaged in a reform process in 2017, the reform process has aimed at transforming CODESRIA into an efficient and sustainable research council supporting research capacity building and supporting, producing and disseminating the most relevant and high-qualitative research results in social sciences and humanities.

This evaluation is to be carried out to support CODESRIA, its members and partners to take any further necessary steps in line with the reform process for CODESRIA to become an efficient and sustainable regional research council in the future.

Recommendations from the evaluation will feed into the drafting of a new CODESRIA Strategic Plan for the period 2022-2026.

The assignment

Evaluation purpose: Intended use and intended users

The evaluation will use a participatory and interactive methodology to engage with the CODESRIA network. It will collect and analyse data on lessons learned, challenges faced and best practices during the implementation period 2017-2021. The emphasis of the evaluation is on learning lessons in order to understand what has and has not worked as a guide to future planning.

The purpose or intended use of the evaluation is 1) to provide critical and constructive input to the CODESRIA management towards the design of a new strategic plan and 2) to provide Sida and other partners with input on how to best support CODESRIA in the next strategic plan phase.

The primary intended users of the evaluation are the CODESRIA Secretariat, Executive committee and

Scientific committee and CODESRIA's partners (Sida, Carnegie Corporation of New York, Ford Foundation, Open Society Foundation, and any other existing and potential partners).

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Most, if not all, of CODESRIA partners, including cooperation partners will be kept informed about and could be requested to participate in the evaluation. These include, but are not limited to, the ACSS, CLACSO, etc.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

Evaluation scope

The evaluation scope is limited to the time frame 2017-2021 but it should include, where necessary, commentary on other aspect that would be relevant the new strategic plan 2022-2027.

The analysis shall include 1) the contribution of activities towards achieving strategy objectives, 2) alignment of financial systems to programmatic expenditure, 3) approaches to monitoring and evaluation of progress and achievements.

CODESRIA as a regional research council and a geographically spread and broad network of scholars relates to many other institutions and organizations on the continent. The evaluation should have a regional coverage that includes analysis of how CODESRIA's activities relates to the least developed countries (LDCs) on the continent as identified and defined by OECD DAC and the United Nations (UN).

The analysis shall be put in the context of trends and developments of social sciences and humanities research and research training.

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

Evaluation objective: Criteria and questions

The objective is to evaluate the implementation of CODESRIA's Strategic Plan for 2017–2021 and the extent to which progress has been achieved particularly in relation to the goals and objectives set out in the Strategic Plan and to formulate recommendations on future direction that CODESRIA could take in 2022–2026.

The evaluation questions are:

Relevance: Is CODESRIA doing the right thing?

- How relevant and strategically important have the thematic research areas identified in the Strategic Plan for 2017–2021 been for targeting the problem summary: “There is insufficient production of high-quality social sciences and humanities research in Africa that addresses the priority development challenges of the continent and inadequate engagement with such research”?
- To what extent has the Strategic Plan for 2017–2021 objectives and design responded to beneficiaries' (the research community) needs, policies, and priorities, and have they continued to do so when circumstances have changed?
- To what extent have lessons learned from what works well and less well been used to improve and adjust implementation of the Strategic Plan 2017–2021?

Coherence: How well does the CODESRIA's Strategic Plan 2017–2021 fit?

- How compatible has the Strategic Plan 2017–2021 been with other interventions in the region where it is being implemented?

Effectiveness: Is CODESRIA achieving its objectives?

- To what extent has CODESRIA achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Efficiency: How well are resources being used?

- To what extent has CODESRIA delivered, or is likely to deliver, results in an economic and timely way?

Impact: What difference does CODESRIA make?

- To what extent has the implementation of the Strategic Plan 2017–2021 generated, or is expected to generate, significant positive or negative, intended or unintended effects?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the intervention continue, or are likely to continue?

The evaluation should also look into the two following questions:

- Could **gender mainstreaming** have been improved in planning, implementation or follow up?
-
- Has the intervention had any positive or negative effects on the environment? Could **environmental considerations** have been improved in planning, implementation or follow up?

Questions to be administered are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. Given the situation with Covid-19, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed. ICT and remote data solutions include various form of online data collection tools and protocols, such as mobile applications, online surveys, geographical information systems, remote sensing data, and Voice Over Internet Protocols (VIOPs) like Skype, Zoom, Teams, WhatsApp, Messenger, or Viber.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used³¹.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that does not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

Organisation of evaluation management

This evaluation is commissioned by the Support Unit for Justice and Peace, Department for Africa, Sida.

Sida and CODESRIA form a **steering group**, which is a decision-making body with the following responsibilities:

- Develop Terms of Reference, including defining evaluation purpose, scope and objectives.
- Decide upon dissemination/communication plan for the evaluation.
- Make decisions regarding the evaluation process.
- Review and comment on reports, including the inception report and the draft final report of the evaluation.
- Contact with evaluators throughout the assignment period, including organization of meetings, workshops, and seminars.
- Participate in the start-up meeting of the evaluation, the inception meeting, as well as in the debriefing/validation workshop and the final seminar (tbd)

CODESRIA's partners (Carnegie Corporation of New York, Ford Foundation, Open Society Foundation and any other existing or potential partners) will be invited to form a **reference group**. This is an advisory body with the following responsibilities:

- Comment on the inception report and attend the inception meeting.
- Comment on the draft final report and attend the recommendations co-creation workshop where preliminary findings and conclusions are discussed.
- Participate in the final seminar (tbd).
- Disseminate evaluation results to involved stakeholders and beyond, and other follow-up activities in the respective area.

³¹ See for example UNEG United Nations Evaluation Group (2014) Integrating Human Rights and Gender Equality in Evaluations <http://uneval.org/document/detail/1616>

Sida alone approves the inception report and the final report of the evaluation.

Evaluation quality All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation.³² The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation³³ and the OECD/DAC Better Criteria for Better Evaluation⁴. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. Given the situation with Covid-19, the time and work plan must allow flexibility in implementation. The evaluation shall be carried out May 2021 to November 2021. The timing of any field visits, surveys and interviews needs to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies:

- At least one team member shall hold a PhD in social sciences or humanities.
- At least one team member shall be fluent in French.
- Previous experience of research management, research and higher education capacity building, teaching and supervising post-graduate students.
- Previous experience of evaluating or supervising research and higher education interventions in Africa.

It is desirable that the evaluation team includes the following competencies:

- Previous experience of regional research systems and/or regional research networks.

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local evaluation consultants are included in the team, as they often have contextual knowledge that is of great value to the evaluation. In addition, and in a situation with Covid-19, the inclusion of local evaluators may also enhance the understanding of feasible ways to conduct the evaluation

³² OECD/DAC (2010) Quality Standards for Development Evaluation.

³³ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management. ⁴ OECD/DAC (2019) Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use.

The evaluators must be independent from the evaluation object and evaluated activities and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

Financial and human resources

The maximum budget amount available for the evaluation is 700 000 SEK.

Invoicing and payment shall be managed according to the following: The Consultant may invoice a maximum of 20 % of the total amount after approval by Sida of the Inception Report and the outstanding amount after approval by Sida of the Final Report and when the assignment is completed.

The contact person at Sida is Stellan Arvidsson Hyving, Support Unit for Justice and Peace, Africa Department. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Support Unit for Justice and Peace, Department for Africa.

Contact details to intended users will be provided by the contact person at Sida and the CODESRIA Secretariat.

The evaluator will be required to arrange the logistics, for example booking of interviews and preparing visits etc. including any necessary security arrangements.

Annex 2 – References

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- Tvedten, Inge, R. Bisiaux, A. Pain et al. (2021): “Evaluation of Sida’s Model for Bilateral Research Cooperation”. *Sida Evaluation 2021:1*. Stockholm: Sida

Annex 3 – People Interviewed

No.	Institution	Position	Name
<i>CODESRIA Secretariat</i>			
1.	CODESRIA	Executive Secretary	Godwin Murunga
2.	CODESRIA	Research Programme	Ato Onoma
3.	CODESRIA	Training Programme	Ibrahim Oanda
4.	CODESRIA	Publication Programme	Ibrahim Oanda
5.	CODESRIA	Dep. Of Admin & Finance	Gladys Michèle N’Kengne
6.	CODESRIA	Documentation Centre	Ibrahim Oanda
<i>CODESRIA Executive Committee</i>			
7.	UEM	Centre of African Studies	Isabel Casimiro
8.	Université Cadi Ayyad de Marrakech	Faculty of Law	Brahim Morchid
<i>CODESRIA Scientific Committee</i>			
9.	Wits University	Wits School of Governance	Adebayo Olukoshi
10.	UNESCO	Social Sciences and Humanities	Marema Touré
<i>Partners</i>			
11.	Arab Council for Social Sciences (ACSS)	Social Sciences	Seteney Shami
<i>Donors</i>			
12.	Sida	Dep. for Africa	Stellan Arvidsson Hyving
13.	Sida	Dep. for Asia, Middle East and Humanitarian Assistance	Johanna Värlander
14.	Carnegie Foundation	International Programme	Claudia Frittelli
15.	Open Society Foundation		Zipporah Ongwenyi
<i>Researchers</i>			
16.	Université Catholique d’Afrique Centrale	Anthropology Yaoundé, Cameroun	Estelle Kouokam Magne (Cameroon)
17.	Universidade Nova de Lisboa	Sociology Universidade Nova de Lisboa, Portugal	Redy Wilson Lima (Cape Verde)

18.	Laboratoire d'Analyse et de Recherches sur les Dynamiques Economiques et Sociales (LARDES)	Laboratoire d'Analyse et de Recherches sur les, Dynamiques Economiques et Sociales (LARDES)	Rosaine Yegbemey (Benin)
19.	Midlands State University	Media and Society Studies Midlands State University, Gweru, Zimbabwe	Nhamo Mhiripiri (Zimbabwe)
20.	Takween Integrated Community Development	Takween Integrated Community Development Cairo, Egypt	Deena Khalil (Egypt)
21.	University of the Free State, South Africa	Centre for Africa Studies , International Studies Group	Hlengiwe Dlamini
<i>Policy community</i>			
22.	Centre des Hautes Etudes de Défense et de Sécurité (CHEDS)	Sécurité	Paul Ndiaye
23.	United Nations	Formerly Special Representative, Head of United Nations Regional Office for Central Africa	Abdoulaye Bathily
24.	The Conversation Africa	Editor	Nyamukachi, Pfungwa

Annex 4 – Data Collection Tools

Interview Guide

The interview guide was prepared with reference to the evaluation questions as they are formulated in the Evaluation Matrix (Chapter 3.4). The number and type of questions will be adapted to the role/position of the interviewee.

Introduction

1. Name:
2. Man/woman:
3. Position/role:
4. How many years of experience with CODESRIA?

Relevance

5. How do you assess CODESRIA's overall importance and relevance?
 - a. For African researchers?
 - b. For Universities in Africa?
 - c. For the status/visibility of SSH research in Africa?
6. Are you aware of other African initiatives with the aim to strengthen African SSH research?
7. How do they compare with what CODESRIA can offer?
8. What is it that CODESRIA can offer that others can't?
9. Of what CODESRIA does, what do you consider as most important/relevant:
 - a. Provision of research grants?
 - b. Opportunities for training?
 - c. Access to publications?
 - d. Other issues?
10. The Strategic Plan 2017-2021 has focused on 3 main themes and 5 cross-cutting issues:
 - a. Have the right (most relevant) themes and issues been selected?
 - b. Has CODESRIA been able to maintain a strategic thematic focus – or been too broad?
11. To what extent has CODESRIA been flexible and able to respond to changing needs/emerging questions?

Coherence

12. How do you assess the linkages between research/training and documentation/publication in CODESRIA – do they complement each other well or are they not well coordinated?

13. How does CODESRIA relate to/fit with African universities/other research centres? Do they complement what others do, compete or duplicate?

Effectiveness

14. To what extent/how has CODESRIA been able to achieve expected results:
- Increased high quality research in Africa?
 - Increased dissemination and visibility of such research?
 - Worked with and strengthened African universities (institutional development)?
 - Provided more and high-quality training?
 - Established effective national/regional networks?
15. To what extent/how has CODESRIA been able to assess, document and report on its achievements (in media/among social science researchers/universities)?

Efficiency

16. To what extent has CODESRIA been managed efficiently:
- Do they respond swiftly to questions?
 - Are they transparent – providing sufficient information easily available?
 - Any bottlenecks in grant management, training, publication and dissemination?
 - Are financial resources managed prudently (cautiously/carefully)?
17. Do you think that CODESRIA currently has the right competence and capacity (technical/managerial/financial)?

Impact

18. Can you mention 2-3 results (publications/events) for the period 2017-2021 which you consider as the most significant?
19. To what extent/how has CODESRIA translated and used research in ongoing policy processes/advocacy with medium- and long term-effects? Any examples?
20. To what extent/how is CODESRIA visible and well known among African scholars?
21. Is it seen as a research ‘Centre of Excellence’? Or more as a ‘Research Council’ managing research done by others?

Sustainability

22. To what extent has CODESRIA been able to attract, train and retain core staff?
23. Has CODESRIA been able to attract new donors/mobilise sufficient funds?
24. What are the threats to/opportunities to sustain CODESRIA financially?
25. What are in your view the main challenges for social science research in Africa today?
- Political disinterest/suppression?
 - Lack of interest/funding from the university sector?
 - Dominance of scholars from the Global North?
 - Other

Cross-cutting issues

26. To what extent/how has CODESRIA been able to mainstream gender in:
 - a. Allocation of research grants to men/women?
 - b. Addressing gender issues in research?
 - c. Providing opportunities for training?
 - d. Selecting core staff and committee members?
27. To what extent has CODESRIA taken into account environmental issues in its research and implementation of activities?
28. To what extent/how has CODESRIA worked with/succeeded in promoting academic freedom as a Human Right?

Future

29. What are your main recommendations to CODESRIA? How should they change and increase its impact in the new strategy period?
 - a. Expand/sharpen thematic focus?
 - b. Shift balance between research/training and documentation/dissemination?
 - c. Remove bottlenecks in implementation of its activities (grant management/training/publication)?
 - d. Strengthen/change the role of the Secretariat?
 - e. Others?

Survey questions

The survey will be sent to all the recipients of the MRI research grants from the 2018 and 2018/19 call for proposals. According to the Annual Report 20210, there are 13 researchers in the first batch and 30 in the second – a total of 43.

Background

1. Your position/role:
 - a. PhD student
 - b. Postdoctoral researcher
 - c. University/academic staff
 - d. University management position
 - e. Other (please specify)
2. Your sex:
 - a. Female
 - b. Male
3. Your age:
 - a. 21-25
 - b. 26-35
 - c. 36-45
 - d. 46 +
4. Country of residence?
5. What type(s) of support have you received from CODESRIA?
 - a. MRI research grants
 - b. Training (specify)
 - c. Research network (specify)
 - d. Peer support/professional guidance
 - e. Publishing
 - f. Other (specify)
6. Have you received other grants and/or training opportunities from other organisations similar to CODESRIA?

Individual/institutional issues

Please assess to what extent you agree/disagree with the following statements on a scale from 1 (totally disagree) to 5 (totally agree) or use Non-Applicable – and add comments if you want:

6. The financial support from CODESRIA was essential for my research.

Comment:

7. The training by CODESRIA was relevant to my professional needs.

Comment:

8. I have gained professionally from being a member of a research network.

Comment:

9. It has allowed me/my institution to expand my network of research partners.

Comment:

10. The professional support (peer support/professional guidance) has enhanced my skills as a researcher.

Comment:

11. CODESRIA has helped me to publish results from my research.

Comment:

12. Female and male students and researchers have equal opportunities in CODESRIA programmes and outreach activities.

Comment:

13. The experience of participating in the programme will prove valuable for my professional life.

Comment:

14. The support from CODESRIA has greatly benefited my home university/institution.

Comment (how):

15. The communication and cooperation with CODESRIA have functioned well.

Comment (if not what have been the bottlenecks/constraints):

16. There is a strong need for the same type of support from CODESRIA in the future.

Comment:

CODESRIA's Importance/Impact

Please assess to what extent you agree/disagree with the following statements on a scale from 1 (totally disagree) to 5 (totally agree) or use Not Applicable (NA) – and add comments if you want:

17. CODESRIA is truly Pan-African and has a broad outreach both to research institutions and individual researchers. Comments:
18. CODESRIA is working on a continent where the position and role of the social sciences and humanities is under increasing attack from political authorities. Comments:
19. CODESRIA is working with a university sector where the social sciences and humanities are given decreasing attention by university managements. Comments:
20. The role of CODESRIA is mainly to promote basic social sciences and humanities research to an academic audience, rather than contribute to the application of social science and humanities research to inform policies for development. Comments:
21. CODESRIA should promote an African research agenda in the social sciences rather than international collaboration with the Global North. Comments:
22. What should CODESRIA do to become more relevant and effective in the future? What should change? Please elaborate:

Annex 5 – Evaluation Metrix

Evaluation questions	Main sources of evidence	Main methods
EQ 1. Relevance of the programme: Is CODESRIA doing the right things?		
<ul style="list-style-type: none"> To what extent has CODESRIA a strategically focused research agenda - too broad/too narrow? Does the strategic plan respond to the needs of African researchers for: <ul style="list-style-type: none"> Research grants? Training? Publication/dissemination? Has CODESRIA been able to respond to changing needs? To what extent has CODESRIA taken into account previous lessons for improving the 2017-2021 Strategic Plan? What can CODESRIA offer that others can't? What should CODESRIA do more of/less of to increase production of high-quality research? 	<ul style="list-style-type: none"> Literature/studies Staff Website Reports Donors/partners Researchers 	<ul style="list-style-type: none"> Context analysis University analysis Interviews Case-studies Network analysis
EQ 2. Internal and external coherence: How well does the Strategic Plan 2017-21 fit?		
<ul style="list-style-type: none"> Are there strong and effective synergies/interlinkages between CODESRIA's activities (research/ training/documentation)? To what extent does CODESRIA fill a gap (in countries/regions where they operate) by providing complementary support as compared to universities/other research centres? 	<ul style="list-style-type: none"> Literature/reports Staff Partners/universities Researchers 	<ul style="list-style-type: none"> Interviews Survey
EQ 3. Effectiveness: Is CODESRIA achieving its objectives?		
<ul style="list-style-type: none"> To what extent has CODESRIA a solid M&E system with measurable objectives/targets and indicators and appropriate tools for collecting data and information? Is the system effectively used for assessing progress and documenting results/reporting and for learning? To what extent has CODESRIA achieved or expected to achieve its objectives: <ul style="list-style-type: none"> Increased high quality research Increased visibility Good governance More/better training A stronger CODESRIA To what extent has CODESRIA built effective national/regional research networks? 	<ul style="list-style-type: none"> Reports Staff M&E data Website Partners/universities Researchers Bibliometric data 	<ul style="list-style-type: none"> Document review Interviews Survey Case studies Network analysis Bibliometric analysis

<ul style="list-style-type: none"> Do the Annual Reports provide adequate data and information on ongoing research, training and documentation/ dissemination? 		
EQ 4. Efficiency: How well are resources being used?		
<ul style="list-style-type: none"> How much resources are allocated to core activities (research/training/documentation/administration)? To what extent is CODESRIA perceived to be managed efficiently? Are efficient channels of communication established between the Secretariat and researchers and Secretariat and Executive Committee? What are the bottlenecks/constraints in grant management, training and documentation? Have the bottlenecks been addressed? What cost saving measures have been introduced since 2017? 	<ul style="list-style-type: none"> Staff Executive committee Annual reports Financial data Audits 	<ul style="list-style-type: none"> Interviews Document review
EQ 5: Impact		
<ul style="list-style-type: none"> To what extent has CODESRIA been able to generate and document significant results? Has CODESRIA been able to translate and use research in policy dialogue and advocacy? What are seen as the three major results/impacts in the period 2017-2021? To what extent is CODESRIA visible and well known among African scholars? Is it perceived as a Centre of excellence? 	<ul style="list-style-type: none"> Research output Annual reports Web site Partners/universities Researchers Policymakers Bibliometric data 	<ul style="list-style-type: none"> Interviews CODESRIA Interviews partners Interviews policymakers Survey Bibliometric analysis Case studies
EQ 6. Sustainability: Will the benefits last?		
<ul style="list-style-type: none"> What are the levels and trends in core/project funding? To what extent is CODESRIA able to attract, train and retain core staff? What are the threats to financial/organisational sustainability? Is CODESRIA able to attract new donors/additional funding? What measures have CODESRIA put in place to strengthen organisational and financial sustainability? 	<ul style="list-style-type: none"> Reports Staff Board Donors Partners 	<ul style="list-style-type: none"> Document review Interviews
EQ 7. Gender mainstreaming: Could gender mainstreaming be improved?		
<ul style="list-style-type: none"> What has CODESRIA achieved in mainstreaming gender: <ul style="list-style-type: none"> In allocation of research grants Training Publications Staff/committees Where/what are the gaps and how could gender mainstreaming be improved? 	<ul style="list-style-type: none"> Reports Staff Researchers 	<ul style="list-style-type: none"> Documents review Interviews women Interviews men Survey
EQ 8. Environment: Could environmental issues be better addressed?		

<ul style="list-style-type: none">• To what extent has CODESRIA taken into account environmental issues in research and implementation of activities?• What/where are the gaps and how could/should environmental issues be better addressed?	<ul style="list-style-type: none">• Reports on travels/ carbon footprints• Staff• Board	<ul style="list-style-type: none">• Document review• Interviews
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Annex 6 – Titles and Channels of Publication for MRI 2017

Africa Development / Afrique et développement, Vol. XLV No. 4, 2020

Papers from the 2017 CODESRIA's Meaning-making Research Initiatives (MRI)

1. University–Community Relations in Ghana: Traditional Authority as a Stakeholder, Edmond A. Agyeman, Emmanuel M. J. Tamanja & Bernard B. B. Bingab
2. Teacher Education, Common Purpose and the Forging of Multiple Publics In South Africa Nimi Hoffmann, Tarryn de Kock, Zahraa McDonald & Yusuf Sayed
3. Entre la rue et l'internet. Pratiques revendicatives et stratégies de mobilisation de Y'en a marre, du Balai citoyen, Filimbi et de la Lucha Mamadou Dimé, Pascal Kapagama, Zakaria Soré & Ibrahima Touré
4. The Discursive Dynamics of Action-Research and Zimbabwean San People's Production of Audio-Visual Stories Nhamo A. Mhiripiri, Oswelled Ureke & Mercy M. Mubayiwa
5. La scène musicale populaire kinoise à l'épreuve du genre et de l'androcentrisme Léon Tsambu
6. Impact Pathways of Weather Information for Smallholder Farmers: A Qualitative ex ante Analysis Rosaine N. Yegbemey, Aline M. Aloukoutou and Ghislain B. D. Aihounton
7. Locked-in Metaphorically: The War on Hawking in Nairobi's CBD and the Cat-and-Mouse Game Esther W. Kimani, Sammy G. Gachigua, George M. Kariuki

Africa Development / Afrique et développement, Vol. XLVI No. 1, 2021

Papers from the 2017 CODESRIA's Meaning-making Research Initiatives (MRI)

1. La révolution verte au Rwanda : au-delà de la dichotomie domination et émancipation Aymar Nyenyezi Bisoka
2. Acquiring Pedagogic Authority While Learning to Teach Zahraa McDonald, Yusuf Sayed, Tarryn de Kock & Nimi Hoffmann
3. Dimensions of University Governance and Community Relations in Ghana Edmond Akwasi Agyeman, Emmanuel M. J. Tamanja & Bernard B. B. Bingab
4. « Afrikki mwinda » : Y'en a marre, Balai citoyen, Filimbi et Lucha – catalyseurs d'une dynamique transafricaine de l'engagement citoyen Mamadou Dimé, Pascal Kapagama, Zakaria Soré & Ibrahima Touré

Annex 7 – Bibliometric Analysis

The bibliometric analyses are primarily building on data from Scopus, analysed through the SciVal platform. The analyses are building on two publication sets, one covering the whole of the Humanities and the Social Sciences (SSH) in Africa 2011-2020 (i.e. publications with at least one author have an affiliation with an African organisation); and one building on a search in Scopus where “CODESRIA” is found in either author address, funding information, or titles/abstracts/keywords; the Scopus search being performed without restrictions in terms of publication years, but the analysis being limited by 1996 being the first year analysable in SciVal.

Both these datasets were analysed using five different indicators:

- Number of publications per year, as an indicator of productivity and growth.
- The share of publications among the top 10% most cited publications globally, as an indicator of impact. These analyses are field normalised, that is: the publications under analysis are only compared to other publications within their own respective research field.
- The share of internationally co-authored publications, as an indicator on international collaboration.
- The distribution of publications per country, to get a sense of where the publications are coming from.
- The distribution of publications per research field, to get a sense of from which research fields the publications are coming from.

It should be noted that the use of Scopus/SciVal puts some limitations in terms of representation. Scopus/SciVal primarily indexes publications from international scientific/scholarly journals and in English. Thus, other publication types (e.g. books) and in other languages is covered to a lesser extent. This means that the SSH is covered to a lesser extent; and African SSH even more so.

Africa

Publications

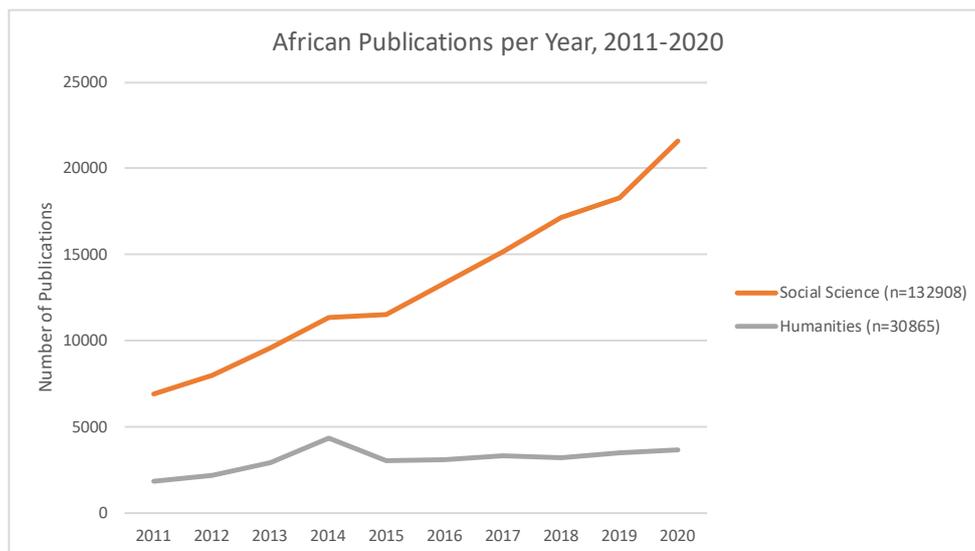
First off, it should be noted that the definition of the social sciences and the humanities in SciVal is based on the Scopus classification of journals, which in turn is mapped to the Fields of Research Classification (FORD) developed by the OECD. The different subfields in the FORD classification is then aggregated to main fields such as the social sciences or the humanities.

In total, the number of African social science publications 2011-2020 in SciVal is 132,908, which is 15.6% of the total of African SciVal-indexed publications in the

same time interval; and the corresponding numbers for African humanities publications 2011-2020 is 30,865, or 3.6% of the African total (Fig. 1). The increase in publications on a yearly basis for the social sciences is substantial: from less than 7,000 publications per year in 2011, reaching more than 10,000 publications per year in 2014, and more than 20,000 publications in 2020. For the humanities, the development is not as steep as in the social sciences; but the increase is still notable, from 1,800-2,800 in the years 2011-2013, to above 3,500 2019-2020.

To provide further context to the number of publications on a yearly basis, the SSH publications were also compared to the total number of African publications – regardless of research field – indexed in SciVal. For the humanities, the share of publications in relation to African research in general is relatively stable, varying between 2.8%-3.6%, albeit with a relative outlier in 2014, when the share of publications reaches 5.9%. For the social sciences, the contribution to African research in general increases, from 12.6% in 2011 to 16.2-16.8% during the years 2017-2020.

Figure 1: Number of African SSH Publications 2011-2020.



Source: SciVal

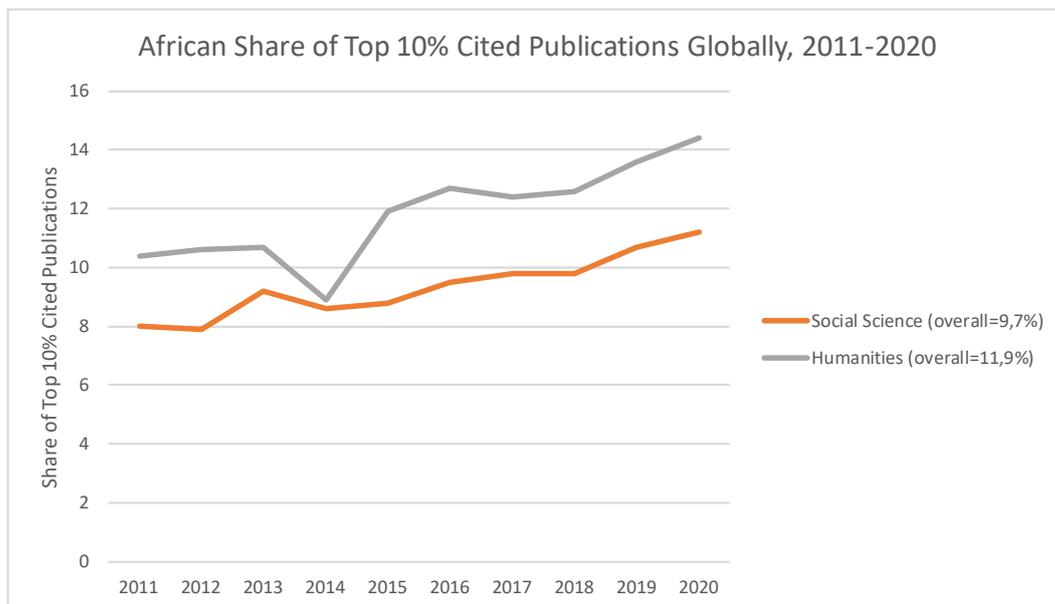
Top 10% cited publications

To investigate the impact of African SSH research 2011-2020, the percentage of the African publications among the 10% most cited publications globally was analysed (Figure 2). The global share of top cited publications can be seen as a benchmark, thus having a ‘local’ share of 10% is being ‘on par’ with the global share of highly cited publications. Looking at the African share for the humanities and the social sciences for the whole period taken together, we can see that African humanities research – as represented in SciVal – performs above the global benchmark with 11.9% of the publications being among the 10% most cited publications globally; whereas African social sciences are slightly below the expected share, with 9.7%. However, we can also see that both the humanities and the social sciences have a growing impact over time:

where the humanities starts at 10.4% in 2011 and ends at 14.4 in 2020; and the social sciences develops from 8% in 2011 to 11.2% in 2020.

To give further context to the top 10% indicator, the numbers for African research as a whole is lower than those for African SSH, ranging from 7.5-10.9% during the years 2011-2020. In the case of African social sciences, the numbers were also compared to the social sciences at other continents; and although the total numbers over time are higher for North America (14%), Europe (13.4%) and Asia-Pacific (11.6%), the figures grows the most on a yearly basis for the African publications (8-11.2%), whereas Asia-Pacific show a lesser growth, Europe is stable at similar values, and North America show a slight decline.

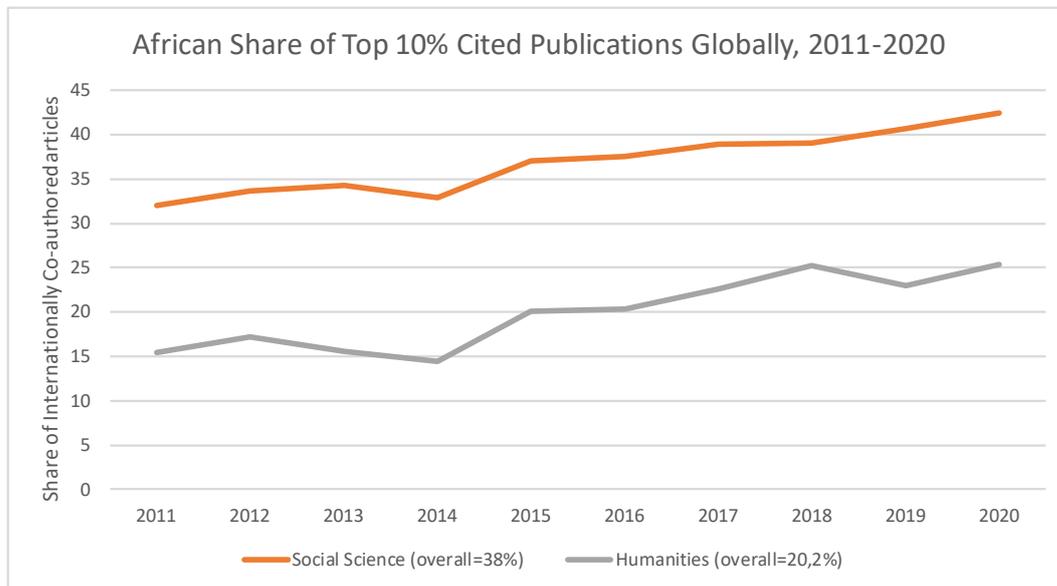
Figure 2: Share of African Publications Among the Top 10% Cited Publications Globally 2011-2020.



Source: SciVal

International Co-authorship

To investigate international collaboration in African SSH research, the share of internationally co-authored articles was analysed. Here it should be noted that international co-authorship is defined as articles with author addresses from more than one country. Thus, the international co-authorships can be both within Africa, as well as collaborations between (at least) one African country and other countries outside Africa. Both in African humanities, and social science research, the share of international co-authorship increases over time, in the case of the humanities, from around 15% to ca 25%; and in the social sciences from 32% to 42% (Figure 3).

Figure 3: Share of African Publications with International Co-authorship.

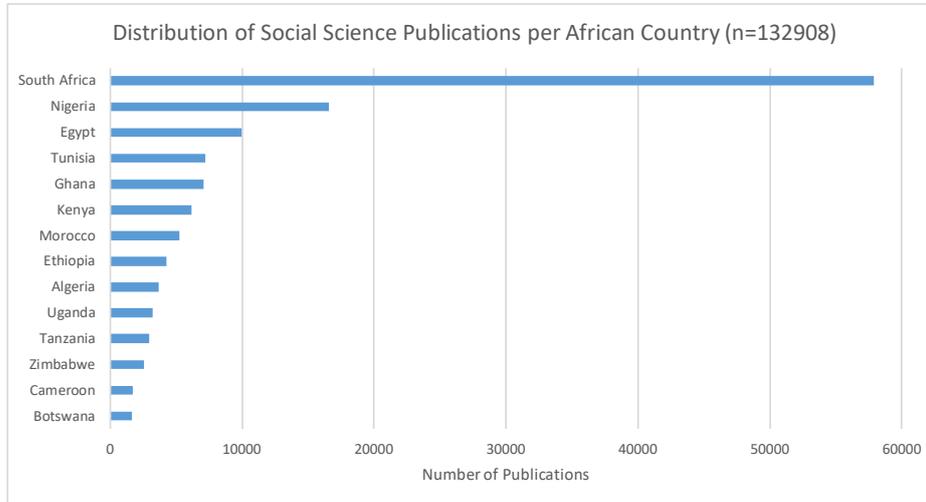
Source: SciVal

This can be compared to African research in general, where the overall share of internationally co-authored articles 2011-2020 is almost 50%, ranging between 43-53%. The increase is roughly the same for African research in general, in the social sciences and the humanities, with an increase of around 10 percentage points. The differences in share of international collaboration for the different research fields is quite typical: the social sciences in general collaborate less than in for instance Medicine or the Sciences, both internationally and in general; and decreasingly so in the humanities where co-authorship is even more rare.

Publications per country

How the publications are distributed between countries were also analysed. Please note that the frequencies are calculated by ‘full counting’, that is: an internationally co-authored publication with authors from two different countries is counted as one article per country, not fractionalised as $\frac{1}{2}$ an article per country. Noticeable for the social science publications is the dominance of South Africa as contributing country, with almost 60,000 publications, or 44% of all publications. Other than South Africa, Nigeria also contributes with more than 10% of the publications; and Ghana, Tunisia, and Egypt contribute with 5-10% of the total amount (Figure 4).

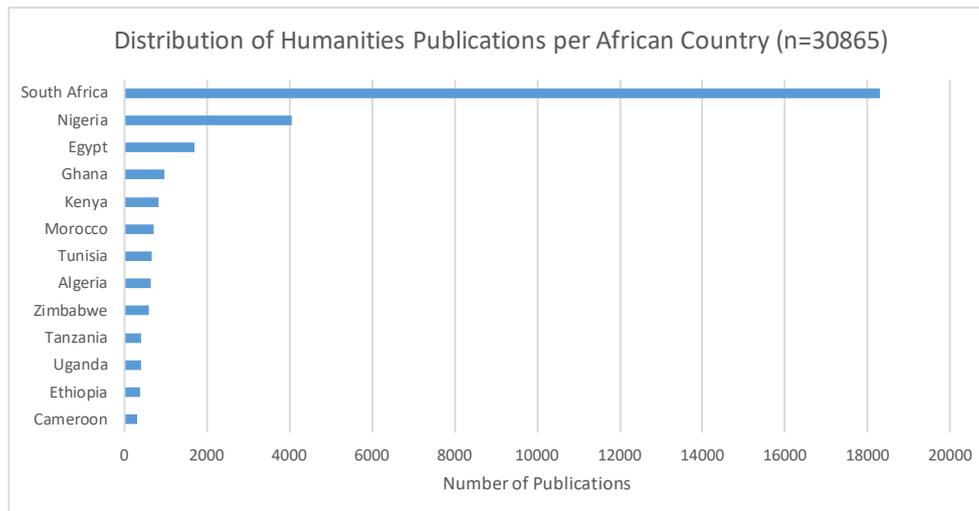
Figure 4: Distribution of Social Science Publications per African Country (countries contributing with more than 1% of the total amount of publications)



Source: SciVal

As with the social sciences, the humanities publications are primarily coming from authors with South African author addresses. Almost 60% of the humanities publications comes from South Africa, Nigeria contributes with more than 10% of the publications; and Egypt with more than 5% (Figure 5).

Figure 5: Distribution of Humanities Publications per African Country (countries contributing with more than 1% of the total amount of publications)



Source: SciVal

In relation to the previous analyses of international co-authorship, we can note the representation of countries from Europe, North America and Australia, primarily the United States being co-authoring country in 6% of the humanities publications, and 10% of the social science publications; and the United Kingdom, contributing as co-

author in 5% of the humanities publications, and 8% of the publications in the social sciences.

The distribution of publications per country, as well as the share of publications co-authored with extra-African countries, needs to be seen in the light of Scopus/SciVal primarily indexing articles published in the western world and in English – perhaps even more so than in relation to other analyses/indicators. Publications from primarily francophone and Portuguese speaking countries may be under-represented; and publications from African-only author teams may also be under-represented if they have published by e.g. African based publishers.

Publications per research field

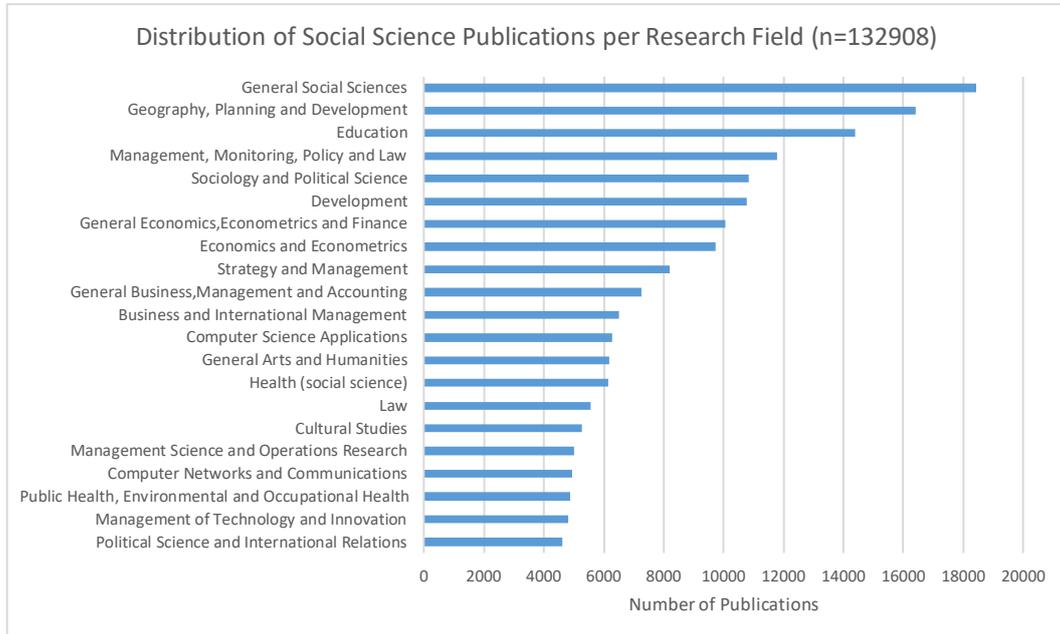
To analyse the distribution of publications per research field, the Scopus/SciVal All Science Journal Classification (ASJC) was used. As the name implies, it is a classification of journals, rather than of the articles being analysed, or the disciplinary affiliation of the author. Thus, there might be articles that could (or even should) be classified as for instance sociological or coming out of political science research, but being published in a general social science journal, the articles will be classified as general social sciences. It should also be noted that journals might have more than one classification – even a classification outside the SSH; and as with the analyses of publication/country, the analyses are done using ‘full counting’.

When analysing research fields, it should also be considered that definitions of fields is not an absolute. To what extent for instance history is considered a social science or a part of the humanities varies between different national academic systems; and to what extent economy/management or law is considered as part of the social sciences or major research areas in their own right (as in Faculties of social sciences and Faculty of law respectively), is also something that varies.

In these analyses, no attempts at ‘correcting’ the classification of the articles have been done; and no research fields potentially ‘outside’ the SSH have been eliminated from the results. Instead, the results presented here need to be considered taking the abovementioned caveats into account.

For the social sciences, the African publications, are categorised in a total of 295 research fields; and the two categories with the largest amount of publications are the non-specific “General Social Sciences”, and “Geography, Planning and Development”; with publication frequencies between 15,000-20,000 (Figure 6). Within the range of 10,000-15,000 publications is “Education”, “Management”, “Sociology and Political Science” and “Economics”. As mentioned in the caveats above, we find fields where there are differences in terms of whether they can be considered as social sciences, such as Law and Economics/Management; and we also find research fields that more unambiguously are outside the realm of the social sciences, such as “Computer Science” and “Health”, taking place among the results because of journals classified within more than one field. There are also some overlaps in the categorisation, such as “Geography, Planning and Development” and “Development”.

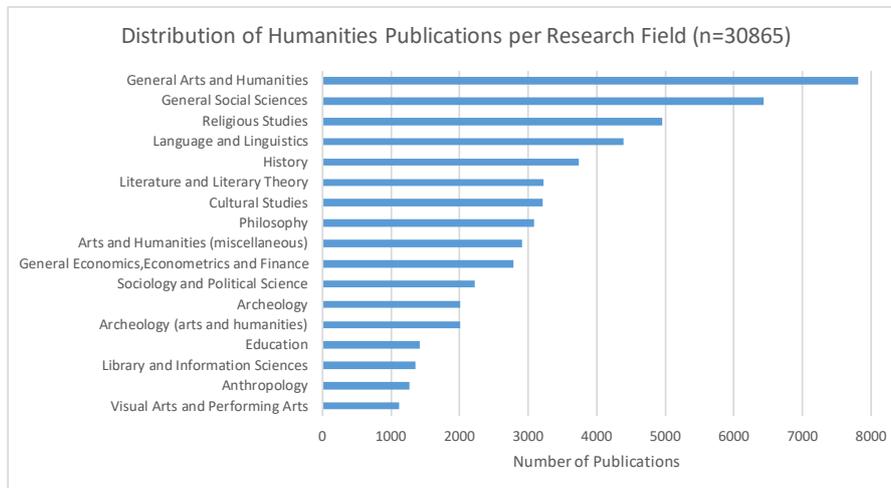
Figure 6: Distribution of Social Science Publications per Research Field (>4,500 publications)



Source: SciVal

As with the social sciences, the humanities publications are predominantly found among the non-specific categories such as General Arts and Humanities, with a frequency of more than 5,000 publications (Figure 7). Within the range of 3,000-5,000 publications, we find research fields such as “Religious studies”, “Language and Linguistics”, “Literature and Literary Theory” and “Philosophy”. Again, there are fields where there are variations in terms of whether they are considered to be part of the Humanities: such as “History”, “Education” and “Library and Information Science”; and also fields that are not considered as Humanities research, but still being part of the analysis through journals being classified in more than one field.

Figure 7: Distribution of Humanities Publications per Research Field (>1,000 publications)



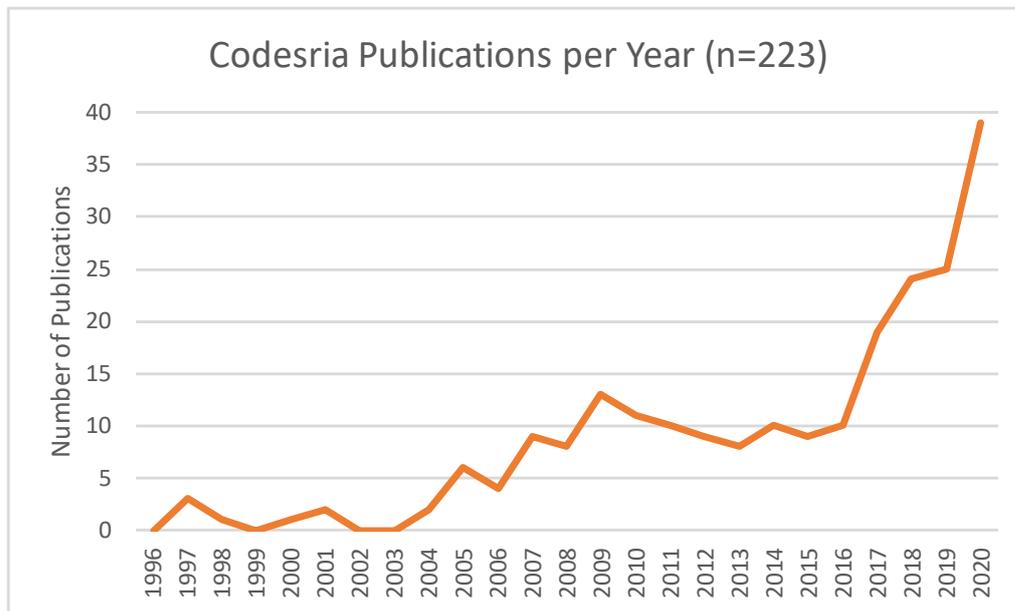
Source: SciVal

CODESRIA: Scopus/SciVal publication set

To investigate the presence of CODESRIA related publications, searches in Scopus where “CODESRIA” could be found in either author address, funding information, or titles/abstracts/keywords were performed, resulting in 250 publications from the year 1980 and onwards. The majority of these publications (67%) were found with the term CODESRIA in the funding information, whereas CODESRIA as part of the affiliation name were found in 21% of the publications. The remaining 12% of the publications were brought into the publication set through CODESRIA appearing in titles, abstracts or keywords.

The publications found in Scopus were exported to SciVal, for further analysis; using the same indicators as in the analyses of African SSH research. In analyses in SciVal, there is a restriction, where the earliest year possible to analyse is 1996; thus the set being analysed is slightly smaller than the one retrieved in the Scopus searches (223 instead of 250).

For the main part of the period 1996-2020, the annual distribution of publications is modest: between 0-5 publications in the years 1996-2005, between 5-10 publications 2005-2016; and with a greater increase in the years 2017-2020 with publication frequencies ranging between 20-40 publications per year (Figure 8). These numbers should of course be seen in the light of limitations concerning the indexing in the Scopus/SciVal databases, such as the limited indexing of publications in other languages than English, from publishers outside the western world, as well as publication types other than scholarly journals.

Figure 8: CODESRIA's Publications per Year

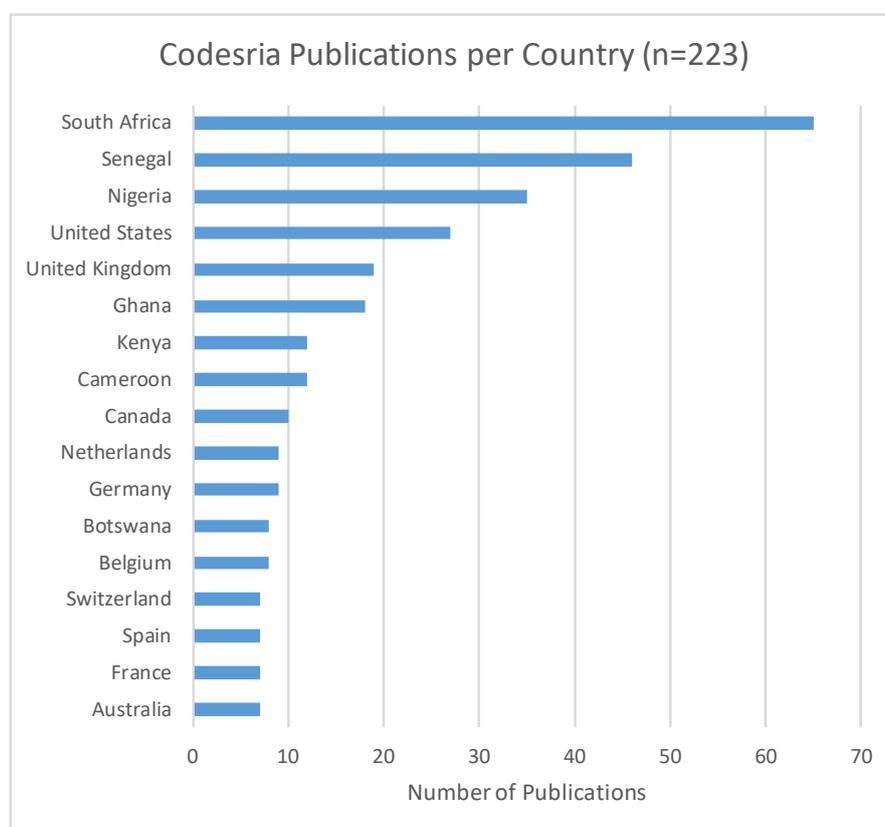
Source: SciVal

Given the relatively low publication frequencies, especially on a yearly basis, the Top 10% cited publications was only calculated for the period 1996-2020 as a whole. The reason for this is that this type of relative citation indicator is not robust enough with fewer than 50 publications. For the whole period, the share of CODESRIA's publications among the 10% most cited publications globally is 13.5%; which means that these 223 publications related to CODESRIA contributes with 3.5 percentage points more than the global baseline of 10%.

Out of the 223 publications analysed, 60 of these were internationally co-authored. Most years, the number of internationally co-authored publications ranges between 0-5 publications; but in the years 2018 and 2020 respectively, the number of internationally co-authored publications is around 10 (or 20-25%). Again, it should be considered that international collaboration may be both between African countries as well as between African and non-African countries.

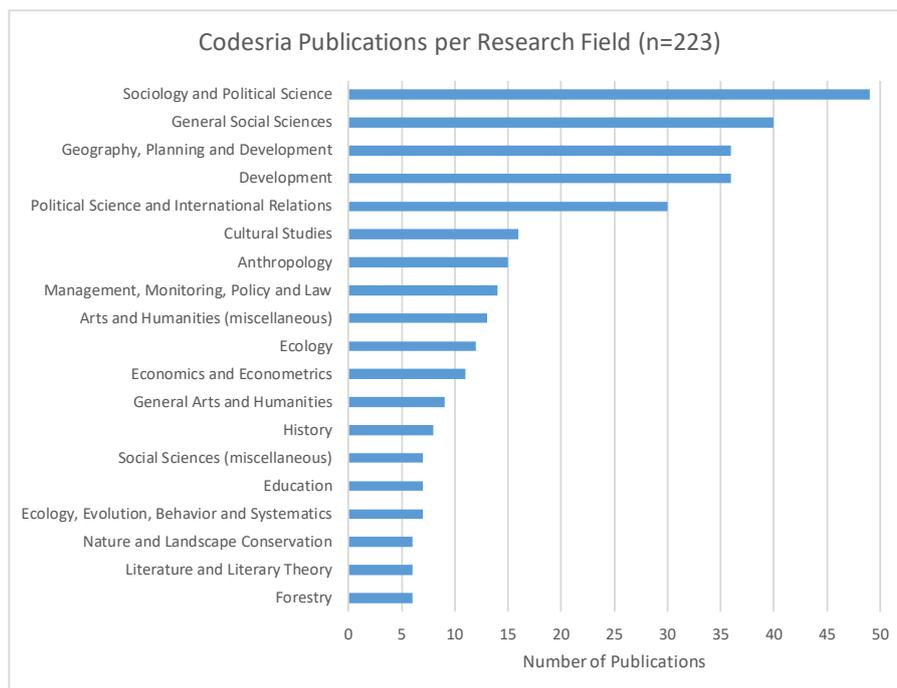
When looking at the distribution of publications per country (Figure 9), we find that the two dominating countries are South Africa (29% of the publications) and Senegal (21%). Nigeria, Ghana, Cameroon and Kenya also contributes with 5-15% of the publications. In terms of 'extra-African' collaboration, the US and the UK are part of 9-12% of the publications; and as such, being the countries outside of Africa being part of most of the CODESRIA's articles. Again, it should be noted that the calculation of distribution frequencies was done using 'full counting'.

Figure 9: CODESRIA Publications per country (countries contributing with more than 3% of the total amount of publications)



Source: SciVal

In terms of research areas, the CODESRIA's publication set is dominated by "Sociology and Political Science" and "Geography, Planning and Development", together with the less specific "General Social Sciences" (Figure 10). There is also a representation of economy/management articles, as well as some humanities represented; and to a lesser extent, non-SSH fields such as ecology and forestry.

Figure 10: CODESRIA Publications per research field (>5 publications).

Source: SciVal

Annex 8 – More Recommendations

Recommendations from survey and interviews

- This ideology born of a colonial dispute, faced with the encounter between a hegemonic West and a dominated Africa must be overcome by trying to find the right balance. The radical discourse of a certain African elite does not allow us to escape victimisation. It in turn breeds a certain racism. As a consequence of this radical posture, the discourse on oneself and on the other seems underpinned by a resentment which is accentuated all the more so as the African continent is still suffering the devastating effects of colonisation as specified by Mbembe Achille (2000) quoted by BARRO, 2010. CODESRIA should, in its agenda, allow African researchers not only to have a local reference base, but also an openness to the international because it allows them to fit easily into global research.
- CODESRIA should be involved in more programs and funding.
- Already maintain what has been learned and increase research activities that bring together researchers from different backgrounds.
- CODESRIA needs more means, more money, more administrative employees, and more researchers on the continent. What I will term as 'emerging scholars'.
- CODESRIA should prioritise particular research topics – urbanisation/cities; citizenship; conflict and the environment.
- CODESRIA should publish research on time.
- There should be wider platforms to accommodate publishing 90 percent research commissioned by CODESRIA. Younger scholars should be mentored to get published on such platforms.
- Focus more on the generation of rigorous evidence through impact evaluation for instance.
- Engage with previous successful grantees by offering them a follow-up grant to allow them to explore additional research perspectives while allowing them to also become mentors of the younger researchers.
- An effort should be made for the senior staff at CODESRIA to communicate more effectively.
- Intellectually, CODESRIA should not be afraid to encourage intellectual work outside the narrow paradigm of development that is still dominant.
- Greater attention should be given to recent philosophical debates both internationally and in Africa.
- CODESRIA should take time to review its intellectual purpose. Currently thinking in the institution is stale and is not opening up to new ideas.
- Less time should be spent celebrating some ideas of established scholars and more time drawing on new ideas. These are no longer coming so much from the traditional social sciences but from philosophy and history. More effort should be

made in this regard. The narrow focus on development issues restricts thought and hence development itself.

- A more supportive review process would make the research process better. Opening up to newer forms of research or data dissemination like data visualisation and infographic projects.
- Establish long term collaboration with the beneficiaries. Make use of the beneficiaries as future reviewers. Implement another form of sanction instead of suspending funding.
- CODESRIA should work with universities to be more visible. Lastly, we would like to know CODESRIA will be able to pay the remainder of the allocation.
- Should be open to policy recommendations as an output of the research. Should simplify the administrative procedures.
- Although having participated in a CODESRIA funded research activity I do not have adequate knowledge of its structures or programmes to be able to comment usefully on future planning or activities.
- To make procedures (administrative, financial and publication) faster than the current.
- The organisation should continue and expand its programmes to address major challenges of Social Sciences/Humanities in the continent with linkages with other organisations in the global north.
- There should be greater collaboration with African Universities. The publishing departments should be properly resourced to be more competitive. Funding support should be increased to offer more opportunities to African scholars.
- Need to focus on a few big things.
- Work more on dissemination.
- Give more money to each project.
- Work with a few universities.
- Outreach/policy advocacy is weak – research is not used enough.
- Lack of strong middle management.
- Migration is missing as a theme.

Annex 9 – Summary of the Strategic Plan

Thematic Priorities, 2017-2021
<p>Main Themes:</p> <ol style="list-style-type: none"> 1. Democratic Processes, Governance, Citizenship and Security in Africa 2. Ecologies, Economies and Societies in Africa 3. Higher Education Dynamics in a Changing Africa <p>Cross-Cutting Issues:</p> <ol style="list-style-type: none"> a. Gender b. Generations c. Memory and History
Research
<ul style="list-style-type: none"> • Meaning-Making Research Initiatives including NWG, CRNs, MWGs, post-doctoral grants and fellowships. • Emphasis on analysis and interpretation; theory; interrogating narratives and counter narratives.
Research Training and Capacity Enhancement
<ul style="list-style-type: none"> • Institutes, summer schools • Methodology workshops (organised by universities) • Small Grants for Thesis Writing • College of Mentors (developed) • Refresher courses for faculty • Virtual campus; MOOCs • Support to doctoral schools • Centre of Excellence
Publications and Dissemination
<ul style="list-style-type: none"> • Principle of right of first refusal (authors could publish elsewhere, with due acknowledgement of CODESRIA) • Journals to publish more articles • Priority to CODESRIA Journals • Policy Briefs systematically developed • Working papers • E-publishing
Documentation, Communication, Information and Outreach Management
<ul style="list-style-type: none"> • Open Access • African Citation Index • Improved use of modern and traditional media

Institutional Development
<ul style="list-style-type: none">• Implementing Reforms (Action Plan)• Implementing new Charter; developing by-laws and policies• Scientific Committee actively engaged• Decentralisation – regional programme hubs with universities• Implementing Manual of Procedures• Fundraising for and building of new HQ
Outreach
<ul style="list-style-type: none">• Building Partnerships• Reaching out to all policy communities

Source : CODESRIA (2017): CODESRIA Strategic Plan 2017-2021. Dakar: CODESRIA

Annex 10 – CODESRIA's Partner Institutions

No.	Institutions	Country	Collaborations
1	Ecole doctorale DISEMEF Université Virtuelle de Tunis	Tunisia	Support to Doctoral School 2018
2	Faculty of Art University of Nigeria, Nsukka	Nigeria	Support to Doctoral School 2018
3	Institute of African Studies, University of Ibadan	Nigeria	Support to Doctoral School 2018
4	Laboratoire SPAPSA, University of Alger 3	Algeria	Support to Doctoral School 2018
5	Faculty of Humanities, University of the Witwatersrand, Johannesburg,	South Africa	Support to Doctoral School 2018
6	Africa and Arab Research Centre (AARC)	Egypt	The Council collaborates with AARC for the translation, production and dissemination of some of its publications in Arabic.
7	African Books Collective (ABC)	UK	The Council collaborates with ABC for the dissemination of the Council's publications mainly in Europe and North America.
8	African Union Commission (AU)	Ethiopia	The Council has an MOU with African Union that grants it an observer status at the AU, and its objective is to strengthen cooperation between the Commission and CODESRIA in some areas for cooperation.
9	Arab Council for Social Science (ACSS)	Lebanon	Collaborate on a project on the Sahel titled 'Re-Imagining the Sahel through the Humanities: Researching Evolving Spaces and Actors,' The impact of CODESRIA in North Africa has waned over the last decade or so and the partnership allows the Council to jointly mobilise researchers in North Africa.
10	Cellule d'Analyse des Politiques Economiques de Cires (CAPEC), Université FHB	Cote D'ivoire	The Council collaborated with CAPEC to host the 2018 MRI Methodology Workshop

11	Centre for Conflict Management at the University of Rwanda (CCM)	Rwanda	The Council collaborated with the Centre for Conflict Management at the University of Rwanda, to host the 2017 MRI Dissemination Workshop and the 2018 MRI Africa-Diaspora Networks Methodology Workshop
12	Centre de recherche en anthropologie sociale et culturelle (CRASC)	Algeria	The Council collaborates with CRASC in the production of the articles in French for the Africa Review of Books
13	Chinese Academy of Social Sciences (CASS)	China	The Council has an MOU with CASS that aimed to strengthen and facilitate collaboration around the study of Sino-African relations and to publish and translate outputs from it.
14	Comparative Research Programme on Poverty (CROP)	Norway	Both institutions partnered for the development of collaborative research and other related education projects.
15	DIVA enterprises	India	Collaborate to enhance mutual understanding and promotion of institutional relationship for the purpose of developing and deploying CODESRIA African Citation Index
16	Guilde africaine des cinéastes Ouagadougou (Pan-African organisation)	Burkina Faso	They hosted the CODESRIA Team convened for the Humanities Institute at the Festival panafricain du cinéma et de la télévision (FESPACO 2017)
17	Human Science Research Council (HSRC)	South Africa	The CODESRIA-HSRC partnership is intended to advance debate and social investigation in Africa and to translate this into research that contributes to the continent's development
18	Institut des Sciences des Sociétés (INSS/CNRST)	Burkina Faso	They hosted the CODESRIA Team convened for the Humanities Institute at the Festival panafricain du cinéma et de la télévision (FESPACO 2019)
19	International Institute for Democracy and Electoral Assistance (IDEA)	Ethiopia	Co-operate to produce a book on The Contemporary Politics of Women’s Participation in Africa.
20	Kaleidoscopio Research in Public Policy and Culture	Mozambique	Hosted the CODESRIA Economic Justice Institute 2017
21	Latin American Council of Social Sciences (CLACSO)	Argentina	CODESRIA has a historic partnership with CLACSO going into 2005 and various projects have been jointly held; currently the Council, together with Arab Council for the Social

			Sciences, are working on a Project on Right to Education supported by Open Society.
22	Linguistic Association of Nigeria	Nigeria	Support to Doctoral School 2018
23	School of Continuing and Distance Education University of Ghana-Legon	Ghana	Support to Doctoral School 2018
24	School of Humanities and Social Sciences, Kenyatta University	Kenya	College of Mentors 2017 Convening
25	The East African School of Higher Education Studies and Development, Makerere University	Uganda	HEPI Institute 2018 Convening
26	Eduardo Mondlane University	Mozambique	The parties will collaborate in enhancing research, publication and teaching in Africa and also on building capacity to develop and deliver research and training programmes.
27	Institute of African Studies (IAS), University of Ghana-Legon	Ghana	HEPI Institute 2019 Convening
28	The Midlands State University Faculty of Social Sciences	Zimbabwe	Support to Doctoral School 2018
29	The Sam Moyo African Institute for Agrarian Studies (SMAIAS)	Zimbabwe	The Council collaborate within the framework of the 2017 MRI Methodology Workshop
30	University of Botswana	Botswana	The partnership seeks to stimulate and facilitate intellectual life and the development of scholarship in both institutions.
31	UFR-SEG, Université Félix Houphouët Boigny	Cote D'ivoire	Support to Doctoral School 2018
32	United Nation Economic Commission for Africa (UNECA)	Ethiopia	The Council has an MOU with UNECA to collaborate in the publication of the Journal of African Transformation.
33	United Nations Educational, Scientific and Cultural Organisation (UNESCO)	Senegal/ France	The Council has an MOU with UNESCO that allows both parties to share a number of resources with the aim of developing a more structured dialogue and communication among researchers within their networks.

34	United Nations Office for West Africa (UNOWAS)	Senegal	The Council collaborated to organise the Conference on Money, Security and Democratic Governance in Africa, 2018
35	Universidade Católica de Angola Social Sciences and Humanities Laboratory	Angola	Support to Doctoral School 2018
36	Université de Lettre et Sciences Humaines de Bamako	Mali	The Council collaborated to organise the Conference on Money, Security and Democratic Governance in Africa, 2019
37	Université Mohammed V – Souissi, Insitut des Etudes Africaines	Morocco	Both parties will collaborate to promote research activities of common interest and to promote the participation of Arabophones Countries in the Council activities
38	University Cheikh Anta Diop (UCAD)	Senegal	Collaborate in the area of Research, especially those focusing on convening joint training activities.
39	University of Basel	Switzerland	Collaborate to convene the Summer Institute that is organised once every two years.
40	University of Ghana-Legon	Ghana	This is a partnership designed for the management of the CODESRIA Humanities Institute Programme.
41	University of Ibadan, Collaborative Academic Resuscitation and Transformation (UI-CART)	Nigeria	Support to Doctoral School 2018
42	University of South Africa (UNISA)	South Africa	The Council has an MOU with UNISA, where both parties are desirous of creating a framework for the Development of Cooperation in the field of higher learning to their mutual benefit and the benefit of the Societies they serve.
43	Nordic Africa Institute	Sweden	Partnered to organise a conference on Political Science in Africa
44	BRILL	Netherlands	The Council collaborates with Brill for the Publication of some of its Journals
45	Forum for Social Studies (FSS)	Ethiopia	The Council collaborated with FSS in the production of the articles in English for the Africa Review of Books

46	African Studies Centre, University of Leiden	Netherlands	Jointly sponsored panels at the Africa Knows! Conference.
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Source: CODESRIA



Evaluation of the Council for the Development of Social Science Research in Africa (CODESRIA) 2017–2021

The purpose of the evaluation is to provide constructive input to CODESRIA management for the design of a new strategic plan (SP) and to provide Sida with input on how to support CODESRIA in the next phase. The overall assessment of CODESRIA during the period under evaluation is positive. Still, CODESRIA is facing basic dilemmas in terms of how the organisation is to relate to and become more relevant for its overarching goal. There is scope for short-term change and improvements, but CODESRIA should consider alternative strategic options and make careful decisions in the new SP. CODESRIA is found highly relevant for Africa at a time when critical social science research is increasingly under pressure. CODESRIA has more limited relevance for the best African SSH researchers, who seem to have found other publication platforms for their work. CODESRIA's relevance for the donor objective of 'poverty reduction and sustainable development' is less clear due to the organisations limited focus on research dissemination beyond academia. CODESRIA's two most important managerial constraints are delays in publications and vacant positions for senior staff. The report contains recommendations.

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