

University and Faculty Research Funds at Universities in Mozambique, Tanzania and Uganda

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**Department for
Research Cooperation**

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Sida Evaluation 06/23

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Executive Summary

This is the first evaluation of university/faculty research funds financed by SAREC in four African universities – Dar es Salaam, Makerere, Eduardo Mondlane and Muhimbili University College of Health Sciences – beginning in 1998 and gradually extended to all four institutions. The objectives of these funds have been to assist these universities to take greater responsibility for managing research, encourage co-funding by the university and thereby promote the development of a research culture in these countries. Within this set of overall objectives, these funds have also been expected to support capacity-building, especially targeted on junior staff, and generate new knowledge.

Drawing on a range of Sida/SAREC policy documents, reports and other documents from the participating universities as well as extensive interviews, this evaluation highlights achievements, constraints and problems encountered in the various institutions. The overall conclusion is that this type of funding has been moderately successful. The universities have taken the first step toward greater responsibility for research planning and management but they still have a long way to go. There is no sign yet of universities – or government in these countries – coming up with their own contribution to funding research at these institutions. Success has been recorded with regard to capacity-building but the new knowledge generated has been marginal. Researchers supported by the funds have typically been more successful in those cases where their work has been integrated to or related to special research programs – funded by SAREC or other agencies. It is impossible to measure the extent to which a research culture has resulted from this particular type of support. Participation in collaborative research programs seems a more effective way of doing it. Research funds, therefore, are best when complementary to other modalities of support.

In the absence of co-financing and only a limited willingness to make strategic decision concerning the use of research funds provided by SAREC, single research funds catering for a university-wide range of researchers, as the case currently is at Dar es Salaam and Eduardo Mondlane, give little if any support to the institutions and favors individual accomplishments. The best arrangement is the one in place at Makerere where funds exist at both university and faculty levels. Even if there is a potential or actual problem with conflict of interest at the faculty level, these funds are well integrated into faculty and university priorities and linked to other SAREC-funded research programs at Makerere. This may not be the ideal model that SAREC had in mind when it started this approach to funding research, but it is under the circumstances still prevailing in these countries a viable way forward.

The report describes in some detail how these funds are being managed in the different universities and points to some improvements in the management of the funds. It also highlights a range of issues that researchers in these universities have identified as particularly significant: (1) the funding cycle being out of tune with the academic year, making it impossible for them to meet SAREC's and the university's reporting requirements; (2) the current arrangement compelling universities to report back to SAREC for all participating faculties is a major constraint and inconvenience for the managers of these funds; (3) the information at participating universities on grants awarded by these funds is inconsistent and incomplete, making it impossible to make comparisons and assess results; (4) the peer review process at the participating universities can be improved to strengthen professional development; (5) reporting by individual researchers has improved but continues to be a problem, usually for reasons beyond the control of the grantees; and (6) SAREC has a responsibility to engage these universities closer in order to monitor progress, understand issues that cause disappointments – or disruptions – as the appointment of a special SAREC desk officer in the local Swedish Embassy in Dar es Salaam promises to do.

Introduction

Beginning in a systematic manner in 1998, the Department for Research Cooperation of the Swedish International Development Cooperation Agency (Sida/SAREC) as a component of its bilateral research support has included the financing of faculty or university wide research funds. The first such project was at the University of Dar es Salaam (UDSM). It was followed by projects in 2001 at Universidade Eduardo Mondlane (UEM) in Maputo and Muhimbili University College of Health Sciences (MUCHS) in Dar es Salaam as well as in 2002 by a fourth project at Makerere University (MU), Kampala, Uganda.

This approach to funding constitutes a new and bold initiative aimed at assisting these universities to take a greater responsibility for setting priorities and managing research as well as encouraging these institutions to provide co-financing of research, directly from own sources or by lobbying their governments to provide funds matching the SAREC contribution. As part of this approach, SAREC has also expected to support capacity-building, especially among younger staff, and help produce new knowledge.

This is the first evaluation of these projects. Its purpose is to describe and assess progress to date with a view to concluding and recommending future levels and modalities of support. These conclusions and recommendations are being made in the context of SAREC's overall bilateral research support and address issues of concern to the agency as well as cooperating universities. The evaluation is part of an overall assessment carried out by Sida in 2006 of the objectives and results of SAREC's research cooperation.

Key questions that this report endeavors to answer include: (1) What contribution has this type of support made to local capacity-building in research, research output and dissemination of research findings? (2) How do beneficiaries and local stakeholders perceive the role and operations of these funds? (3) How do they fit into local university policies and priorities? (4) How are they being managed? (5) How sustainable are they? and (6) How might future support of research funds be designed and managed? In addition, the report addresses two other concerns set out in the Terms of Reference: (a) What attention has been given to gender mainstreaming in these fund projects? and (b) How does SAREC's support of research funds compare with the approach to research support used by the Norwegian Agency for Development (NORAD)? The full terms of reference are included as Appendix One in this report.

The findings are based on reading relevant documents such as bilateral agreements signed by SAREC and cooperating universities, evaluations and assessment made by Sida/SAREC or the universities themselves, university planning and policy reports, and documents prepared by the stakeholders for the benefit of this evaluator as well as interviews with university administrators, senior and junior researchers and desk officers in the Swedish embassies in Mozambique, Tanzania and Uganda. The bulk of this work was done during the months of May and June, 2006. It also included one-day visits to Sokoine University of Agriculture (SUA) and Mzumbe University (MZUMBE), both in Morogoro, Tanzania, where NORAD has provided research support. A list of those interviewed is contained in Appendix Two. Documents consulted are in Appendix Three.

The conclusion drawn here is that support of research funds requires time before the full results are evident. The local university leadership has been reluctant to take on the role of setting priorities of their own and have continued to leave it for SAREC. Obtaining matching funds, even on a token scale, has also proved difficult, if not impossible. Under pressure from government to teach more and more students and with government budgets already stretched when it comes to higher education, setting aside money for research has not been a priority. This is not to imply that the approach has fallen short

in all respects. It does contribute to capacity-building and although the results differ, there is some interesting research being done. The outcome in relation to key evaluation criteria is uneven. There is room for improvement and reflection both in local universities and within SAREC on how that can be done. This report provides some ideas of what to do. With regard to the usefulness of scaling up funds and organizing them on a national basis, there is strong reason to proceed with caution. Growing budget support opens the door to such a scaling up but it also contains the risk of research being treated just like any other sector for government politicians and bureaucrats to control.

The report is organized in such a way that it begins by introducing and discussing the fund mechanism in the context of Swedish development cooperation in general and bilateral support for research in particular. The second section describes the research funds in Africa: their setup, the process they use, and the results that they have achieved. The third section is the performance assessment of the funds with respect to effectiveness, impact, relevance, efficiency and sustainability. The fourth and final section contains lessons learnt and include the recommendations for possible future action by SAREC and cooperating universities.

The Research Fund Model: Context and Operational Features

To fully appreciate the significance and relevance of the research fund model, it is important to place it in the wider context of Swedish and other bilateral aid being offered to research in developing countries. The following questions are of interest here:

- How does the model fit into the evolution of SAREC's policy of research support?
- Where does the model fit into the present context of research cooperation?

The Fund Model in the Evolution of SAREC Policy

Swedish development cooperation policy has never been driven by domestic utilitarian criteria. Even when concerns have been raised in parliament or among the public about the use of Swedish taxpayers' money, the discourse has taken for granted that assistance is meant to benefit people in developing countries. Thus, the policy debate has centered more on which countries deserve to receive assistance rather than how Swedish interests can be better served. The ultimately desirable goal of Swedish policy has been to turn money over to trustworthy governments. This has remained a difficult goal but one that has consistently been pursued. The varying ways that SAREC has pursued research cooperation must be analyzed in this policy context.

Because development assistance has never really been a foreign policy tool for the Swedish government, it has vacillated between two primary principles: (a) partnership and (b) ownership. Both principles presume a cooperative relationship based on mutual trust and dialogue. Ownership is the more radical of the two in the sense that it involves allowing the recipient of assistance to make key decisions about its use. Only an overall frame is set in advance. Within this agenda, however, the recipient government is free to make decisions regarding final allocation.

SAREC was born at a time when the Swedish Government leaned towards trusting recipient governments to take responsibility for their respective country's development. SAREC's own contribution was to help establish and fund national research councils that could mobilize resources for research and coordinate it in a catalytic fashion. As the evaluation of the first ten years of SAREC's work concluded: these research councils became unfortunately very bureaucratic with little influence at government level and poor contacts with the research community (Utrikesdepartementet 1985).

The next ten years saw a shift toward supporting researchers. This new orientation that began in the latter part of the 1980s involved support of collaborative research between researchers in developing countries, sometimes collaborating with Swedish counterparts. It also entailed support for training graduate students from the developing world at Swedish universities. During this period partnership was the prevailing principle.

In the last ten years, the pendulum has gradually swung back in the direction of ownership by local institutions in developing countries. Since the late 1990s, SAREC has actively supported local efforts to improve university administration and make it more attuned to the needs of the research community. For instance, it helped University of Dar es Salaam to engage in a local audit that produced a new management plan for the institution. The support of university/faculty funds for research is another significant step in the same direction. Instead of just giving project or program funding, this approach is meant to encourage local universities to take greater control of setting priorities for research, consider how supplementary local funding may be generated, and acquire the necessary experience to do the things that SAREC – and other donors – have been doing in the past. In short, it is a way of encouraging greater self-reliance and a stronger sense of ownership.

In purely financial terms, SAREC's own support for these funds is quite modest, but its policy significance is great. As Table 1 indicates, the total amount received by the four collaborating institutions does not exceed SEK 40 million for the 2001–05 period. Support of university/faculty funds has typically been 10 per cent or less of total SAREC support for each collaborating university.

Table 1. Disbursement of SAREC money for university/faculty funds 2001–05.

	UDSM	MUCHS*	MU	UEM**
Total: SEK (million)	10,600	6,000	10,000	12,400

* The amount disbursed to Muhimbili University College of Health Sciences includes more than just money for faculty research.

** The amount paid out to Universidade Eduardo Mondlane was stopped after an institutional assessment that revealed serious accounting problems. The use of money disbursed for the 2001–03 period was extended until 2005.

There are other donors that support research competitions but no one else does it in the open-ended fashion as part of core support in the way SAREC does. For instance, the Carnegie Corporation of New York provides support for a competitive program at Makerere aimed at training academic staff who have not yet obtained their ph.d. Similarly, Rockefeller Foundation and the World Bank provide support of Innovations@Makerere (I@Mak) aimed at training both master's and doctoral students who are members of staff at Makerere. NORAD offers no such support at UDSM or Makerere, but does so at SUA within the framework of a particular program. Compared to these other agencies, SAREC goes further by supporting research funds that are not tied to a specific program but controlled and managed by local university institutions. The fact that SAREC justifies this support with reference to broad policy goals such as poverty reduction and gender mainstreaming is generally not experienced as a constraint by the local universities.

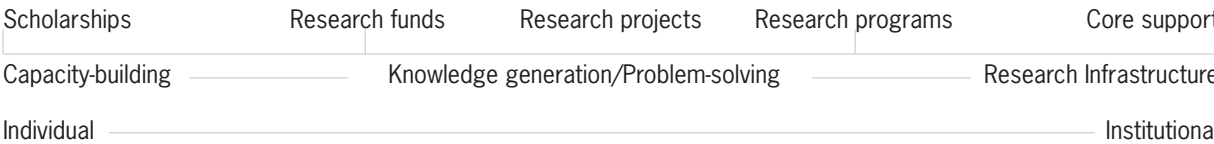
Local universities in African countries, including those studied here, are plagued by bureaucratic red-tape (often a response to donor demands for accountability) and increasingly heavy teaching obligations. For instance, Makerere and Dar es Salaam universities, which some ten years ago had only a few thousand students now have at least five-six times that number. The growth at graduate level has been particularly steep – in both places tenfold in the past five years. Another source of distraction, especially for senior researchers, is the comparatively higher gains it is possible to make in the local consultancy market spurred by the international aid agencies and foreign embassies. The climate and resources needed for research in these universities, therefore, are woefully inadequate. Researchers are held back or distracted by the conditions prevailing in their universities and in the marketplace. University/faculty funds provide an opportunity for obtaining money for research but reality is such that finding the time –

or opportunity – to do it is a problem. In short, the academic work environment in these universities limits the gains from support of local research. Having access to the academic world outside their own country is in these circumstances not surprisingly deemed more beneficial by many local researchers.

The Fund Model in Current Research Cooperation

SAREC’s own perception of the role that the research funds ought to play is ambitious and still not being adequately shared by local research administrators in the universities. Its more transformative role is not fully understood or appreciated. It is being treated as just one of many modalities applied by SAREC. It complements scholarships for graduate education as it does direct funding of specific research projects or programs, grants (or loans) for institutional and physical infrastructure, etc. The universities covered in this study administer assistance involving all these modalities. To illustrate how the local administrators see the fund model in the present context of research cooperation, the following graphical illustration may be helpful:

Figure 1. The research fund model in comparison to other modalities of support.



This figure should not be interpreted as if these are completely distinct activities or modalities. Capacity-building is often nested in a research project or program. Research funds could possibly cater for larger scale research projects or programs but the way they have been applied by SAREC today their objectives are clearly leaning toward capacity-building and assisting junior researchers (typically in cooperation with a more senior colleague). To the extent that research management features in this modality, the primary burden lies on the individual researcher. The faculty or university is at the mercy of these grantees. As will be illustrated below, this is a major constraint in the use of this modality. Reporting on time by university administrators becomes an almost total impossibility.

Reporting on specific projects or programs tends to be easier because the management structure is more cohesive and results easier to collate. Much the same applies to core support, which in this figure refers to institutional and infrastructural support. Much of that is mere procurement. Even if it is obtained on a tender basis, management is usually quite straightforward. Some donors, including NORAD, has spread its institutional support along the full continuum presented in Figure 1 in a way that SAREC has not. One reason is that SAREC, despite being an integral part of Sida, has retained its focus on research rather than research infrastructure, especially “mortar-and-bricks” type of projects, an orientation that NORAD has had no problem including in its mandate for support of universities. This is evident at Makerere, UDSM, SUA and, in particular, Mzumbe University.

The fund model is potentially applicable at different institutional levels. The first is the national level, where, for instance, a research council could administer the fund and issue calls for proposals on a competitive basis to researchers in more than one academic institution. A second level is the university. In such a situation, the fund would cater for individual researchers within that institution. The third level is college or faculty. College, in the anglophone context refers to a group of faculties and is an intermediate level between university and faculty. Like the latter, however, it is a unit that is considerably smaller than the university as a whole. SAREC support of research funds to date has been confined to university, college or faculty level. As will be shown below, the arrangement varies from one university to another. It has also come to vary over time within one and the same university. Institutional level matters because it has different implications for whom the grants matter most, as suggested in Figure 2.

Figure 2. Research funds and their institutional relevance.

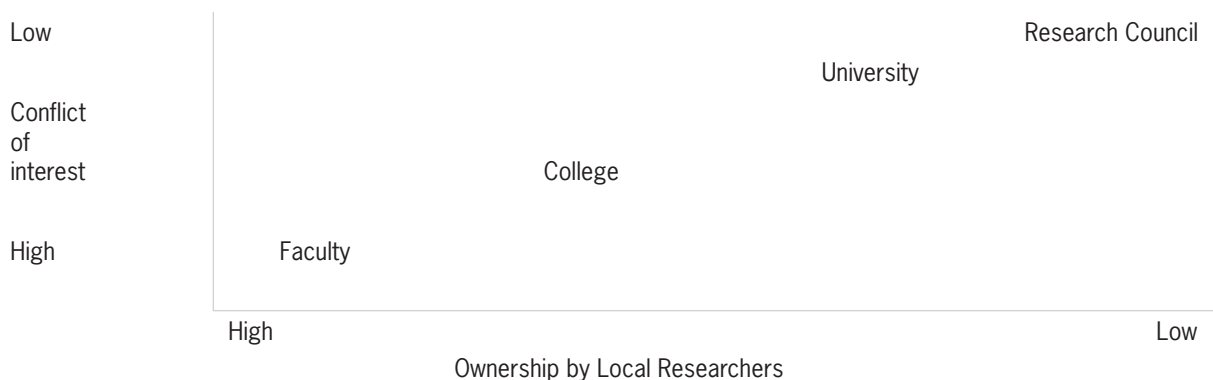


Figure 2 points to the real dilemma that this approach encounters in the social and academic realities of the three countries evaluated here. The objectives that SAREC has set for this approach are not easily reconciled. Thus, the idea of promoting a research culture in which conventional standards for managing scientific activities apply, suggests that the fund model would be most appropriately placed at the research council level. If ownership by local researchers – not university administrators – is the objective, the fund should be at the lowest possible level. The former presupposes the existence of a system – or a systems thinking – among those in charge. Such thinking involves a level of abstraction in which all parts are seen as interdependent and possible to manipulate through objective criteria that are understood by every one involved. Perceptions of fairness are separated from the individual actors involved. In the absence of such a systems approach, management easily becomes personalized. It becomes difficult for the local manager or administrator to make decisions that give rewards to some but not to others. Only if the administrator feels personally insulted by some one would he (or she) leave some one out of some share in the rewards, e.g. funding for research. It is on this dilemma that much of this report centers.

The operations of a research fund goes through a number of set phases. The first is the call for proposals which typically sets out the objective of the funding and its terms and conditions. The second is the deadline for submission. There should be a reasonable time lag between the call for proposals and the deadline for submission. The latter should be definite so that no doubt or uncertainty exists. The third phase is an assessment of the submitted proposals, preferably by a number of external reviewers who receive the proposals without names. This peer review is then followed by a final evaluation by a body of researchers chosen on a rotational basis to make the final choices. The next phase is payout of the awarded grant. This is typically done in two or more installments which implies that each researcher must submit a satisfactory progress report before receiving the next or final installment. Once the research is completed, a final report is required to demonstrate what has been achieved and how the money was used. The whole process is summarized in Figure 3.

Figure 3. The management process of a research fund.



Actual practice at the universities under study here is compatible with this general model of how a research fund typically operates, but there are variations stemming from, among other things, at what level the fund is set to operate, e.g. university or faculty level.

This concludes the discussion of the research fund – how it fits into SAREC’s policy and operations and what its place and role is in the broader research cooperation field. The following observations are worth recapitulating here:

- SAREC support of university/faculty funds is bold, innovative and unique;
- SAREC is more focused on support of research than on research infrastructure;
- The significance of the research fund model is greater than the budget suggests;
- The objectives of the research fund model are not easily reconcilable;
- Relevance and impact is likely to be shaped by the level at which the fund is established.

The Research Funds in Africa: Setup, Process and Results

This section will describe the setup, process, and results of the research funds under study here. Using available documents and interviews carried out on location comparisons will be made between the four universities with a view to identify similarities and differences

The Setup

A discussion of university/faculty research funds on the ground in Africa would be incomplete without a reference to the general conditions of the academic institutions in which they are expected to operate. Although there are some differences that will become clearer in subsequent pages, the four institutions covered here operate in a context that is similar in some key respects. Although governments spend a good amount of money on higher education institutions, they fall short of resources to meet the demands placed on them by faculty, students and the public. This situation has exacerbated in recent years with a rapid increase in enrollment at these institutions. In 2006 public universities in African countries, including those covered here, the balance is tilted toward quantity rather than quality, teaching rather than research. Makerere, Eduardo Mondlane and Mzumbe universities did report that they generate research funds from own sources but the amounts are very modest. In short, without external funding, there would not be much research done at all in these universities.

Given the multitude of demands for public funding in these countries, the low priority given to research should be no surprise. Governments these days have little choice but to comply with the global development agenda set by the bilateral and multilateral donor agencies. The MDGs and the focus on poverty reduction spur allocation of money toward tangible goods like schools, health clinics and roads. It may be an exaggeration but the opinion expressed by some faculty and students in these countries that government funds universities only to ensure that they do not stir up political trouble is not too far off the mark. Whatever the reason research is taking a back seat in the halls of government.

There is some preliminary talk that this situation may – or could be made to – change in countries where direct budget support is being given by the donor community. With increasing amounts of money being channeled through government treasuries the scope for funding research is there. Such an opportunity, however, would not necessarily be seized by these governments unless donors specifically call for it. Even though governments in Mozambique, Tanzania and Uganda include university educated persons, some being former professors, there is disappointingly little appreciation of research in these circles. With the recent introduction of Presidential Excellence Awards, the Uganda Government comes closest to showing at least some appreciation of innovativeness and excellence in academic, professional and business circles.

Even if governments were to set aside funds for research in academic institutions, it is important that such a measure receives the attention to governance issues that it deserves. Providing money for re-

search that is channeled through a politically or bureaucratically controlled institution, e.g. a research council, would not be a step in the right direction. Researchers in all four universities were unanimous that allowing politicians or administrators to have the final say on how to allocate research money would not benefit research development. The same suspicion that the team evaluating SAREC's first ten years found in African countries continues to exist in academic circles today (Utrikesdepartementet 1985:26-27).

The researchers want the control of funds to be as close as possible to their own academic home. This is evident in the widespread view that research support, including funds, should be located at faculty level. UDSM, UEM and MU had faculty-level support, including research funds when SAREC support began but in 2006 only Makerere has it (in addition to a university-wide research fund). Faculty support was halted first at UEM in 2003 and the following year at UDSM following a discovery that the money provided by SAREC was not used as expected. A thorough institutional assessment of UEM by a professional accounting firm concluded its assessment saying it had revealed weaknesses in procedures and widespread lack of enforcement of these procedures. It also identified some unjustified expenses. In short, the existing management systems at UEM were deemed to be inadequate for an institution its size (Svensson et al 2003:4). In the light of this damaging assessment, SAREC decided to stop further payments to UEM but allow it to use funds already paid out but not yet utilized. SAREC's own assessment of the use of faculty grants at UDSM led to a reallocation of money from faculty to university level, the reason being unsatisfactory reporting and too much money being spent on activities other than research. Between 2001 and 2003 on average almost 70 per cent of SAREC money had been used on what might be described at best as research-related activities. A new formula was agreed upon in 2004 whereby UDSM assured SAREC that at least 70 per cent of its funds would be used for research. An agreement was also made to centralize the control of all SAREC money to the Directorate of Research and Publications, thereby confining untied research support to a single university-wide fund.

In all four places, the overall responsibility for administering the SAREC funds rests with a senior university administrator. At UEM, it is at the level of the Vice-Rector for Academic Affairs, the second most senior official in the university administration. At MU, responsibility lies with the Director of the School of Graduate Studies. At UDSM and MUCHS the Director of Research and Publications has the ultimate reporting responsibility. It should be mentioned here that at UDSM all other agencies supporting the university have their funds administered through the Director of Planning and Development, but because SAREC focuses on research alone, while the others give money also for other activities, its money is being administered in a different location.

The setup in the various universities in 2006 is summarized in Table 2:

Table 2. Setup of SAREC-supported research funds in the universities under study.

Level	UDSM	MUCHS	UEM	MU
University	X		X	X
College		X		
Faculty				X

The four institutions vary in terms how dependent they are on SAREC funding alone. Although they all lack funding of research by their respective governments, they do enjoy research support by other agencies. Makerere seems generally best endowed with support for research by Rockefeller Foundation, Carnegie Corporation, World Bank and to a lesser extent NORAD. MUCHS has access to research funds from Harvard University and the U.S. National Institute of Health. UEM had some support from the World Bank, but like at UDSM, SAREC is more singularly dominant there. In addition, for example, individual researchers in the social sciences are also competing for funds on a regional basis through programs administered by the Organization for Social Science Research in Eastern Africa

(OSSREA) and the African Institute for Capacity Development (AICAD) supported by the Japanese International Development Cooperation Agency (JICA).

This discussion of the setup of the funds in the various institutions confirms the dilemma identified in the previous section. Access to research money is more important than how it is obtained. At the administration level, there is no apparent willingness to set priorities that would favor some over others. Decisions of this kind are being forwarded to SAREC to decide. The researchers themselves are very wary of having research money administered at levels higher than the faculty because chances of influencing the outcome are much slimmer the higher up the hierarchy such funds are placed. This becomes clearer as the process is examined.

The Process

Despite being located at different institutional levels, the operations of the research funds are remarkably similar. In principle, they do conform to the model of how a research fund should operate but there are variations in practice. What is being described below are the various ways in which the research funds were being managed in 2006.

Call for proposal. This is standard in all instances. Differences arise from how clear the terms and conditions are and how far the call reaches within the research community. For instance, at UDSM, the first university-wide competition that was held in 2004 did not, according to complaints from some researchers, spell out all the criteria according to which proposals would be assessed. This was adjusted for 2005 and there seems to be no such complaints today. It does indicate, however, that attention should be given to the content of the call that is being issued for proposals. Specifically, there should be clear information regarding any thematic boundary, composition of research team, level of funding, expected results, gender criteria and other relevant information such as whether the fund gives priority to junior researchers or not. This was an issue at UDSM where in 2004, it was stated in the calls for proposal that priority would be given to two-person teams consisting of one senior and one junior researchers. Because it was not stated in absolute terms, several one-person submissions were made. Some teams were made up of two seniors or two juniors. In the end, all these proposals were thrown out on “technical” grounds, i.e. they did not meet the stated priority. The call for proposal is being issued by the head of the responsible unit, e.g. the Director of Research and Publications or the Faculty Dean. In all institutions there is an assumption that heads of subordinate units are responsible for forwarding the call to staff in their respective units. This does not always happen, according to researchers interviewed. The longer the distance from the unit issuing the call to the individual researchers, the more likely that they will not receive the information without being pro-active and inquire themselves.

Deadline for submission. It should be within a reasonable time after the call for proposals. It should be neither too distant so that researchers forget it. Nor should it be so close that researchers have insufficient time to prepare good proposals. For most staff interviewed the time to prepare their proposal was adequate or at least not an issue, but complaints were made by some that the time was not enough. Again, the 2004 university-wide competition at UDSM is a case in point. It was advertised on October 21 with a deadline for October 31. Given that many researchers do not check their emails every day and they get this information through the regular “snail-mail” it is no surprise that some complained about the short interval between dates of announcement and submission. The following year the call was issued on October 12 with a deadline on November 10, a much more reasonable interval. The time to prepare proposals was not an issue in other institutions. Some researchers said that they have project ideas “on the shelf”. Others mentioned that they had proposals that had been rejected in earlier attempts that they would resubmit after revision. It seems from the experience at Makerere that where faculty deans issue the call, the information reaches members of the unit both widely and expeditiously.

As a contrast to the rest, however, some of the faculties at Makerere do not have an official deadline but keep receiving proposals on an ongoing basis until the money has been used.

Peer review. This is an exercise that relies on internal rather than external colleagues. It takes place after the applications have been submitted at faculty level. The format varies. At UDSM and Makerere there is a deliberate effort to involve researchers in the same faculty or department to comment on the proposals. In some faculties it is done through written comments provided to the faculty. In others comments are being conveyed in the context of a research seminar open to all members of the faculty. The latter is the preferred mechanism but there were complaints at both institutions that such seminars were not being organized regularly to cater for proposal revision. The peer review process at UEM and MUCHS is complicated by the small number of scholars that can be used for peer review within each faculty. At MUCHS, for instance, whole faculties, like Dentistry and Nursing, are made up of less than a dozen researchers. Even the pharmacy faculty is quite small. Faculties are larger at UEM but the number of staff ready and capable of providing comments on research proposals is limited. The result is that those who are being asked to make comments are often from outside the specific field of the researcher submitting a proposal. At UEM and MUCHS researchers made comments to the effect that those who were asked to comment did not understand the issues. Some went as far as suggesting that these “peers” were out to subvert the name and reputation of the proposal writer.

In faculty-based funds, this round of reviews is the only one before a decision is made which proposals to support. Where funds are located at college or university level, the faculty, typically through its research and publications committee, ranks and recommends proposals for funding at the higher level. These committees are made up of regular staff appointed by the Dean to serve for a particular period of time. Only UEM differs from this pattern in that the committee making the final recommendation consists of deputy deans.

Once the faculties have submitted their recommendations to college or university level, they are collected at the central coordinating office (DRP at UDSM and MUCHS, SGS at MU and the Scientific Directorate at UEM). Before being submitted for final decision (by the Senate Research and Publications Committee at UDSM, MUCHS and Makerere and the Council of Center Directors and Deputy Deans at UEM) the proposals are evaluated once more with a view to obtain a final ranking. This seems to be most systematically done at UDSM where a special ad hoc committee of retired professors is called in to do the ranking.

Discussions with researchers in the various institutions indicate that there are three significant issues relating to the peer review exercise. One is that decisions to allocate money rely on evaluations by those who do not necessarily understand the subject matter. Another is that the peer evaluation process drags on for too long. A third is that comments often focus more on form, e.g. whether the proposal contains all the expected components, than substance and methods. Having reviewed a cross-section of proposals at the various institutions these concerns seem corroborated. Although the quality of the proposals varies, they are generally in a rather elementary stage of development. Even if consideration is made for problems of access to relevant literature, there is little doubt that many of the proposals submitted for funding would have benefitted from further review and comment.

Awards allocation. The decisions made by the university-wide committee to fund a certain number of proposals is implemented by a senior administrator (the Chief Academic Officer at UDSM, the Principal at MUCHS, the Director of the School of Graduate Studies at MU, and the Vice-Rector for Academic Affairs at UEM). Once the letter of award has been issued by this office, copy goes to the grantee, his or her faculty dean and the finance office. Where faculty funds exist, this process has a parallel involving the Dean and the Finance Officer in the faculty. The main issue here is delay. When the senior administrator in charge is away or just generally busy with other matters of high priority, the grant letter may lie unsigned for much longer than should be the case – yet another reason why researchers wish to see the funds established at faculty level.

First payment. It was encouraging to hear in all four institutions that the finance office is not causing a delay in issuing the first installment, typically half of the total. The grant level at these places was initially USD 5,000, but following an assessment in 2002 it was raised to USD 10,000 in 2003. This level is maintained where funds operate at college and university level, but at Makerere the amount of the grant at faculty level is usually much lower, sometimes below USD 5,000. The contracts that grantees sign have become increasingly tied up so that loopholes for misunderstanding – or even worse, misappropriation – are fewer. For instance, the importance of providing receipts for expenses incurred in the field is now clearly spelled out in these contracts. So are other reporting requirements. This evaluation did not probe financial matters, but the impression gained is that the foundation for financial accountability is firmer today than it was a few years ago.

Progress report. Grants are typically issued for a twelve-month period which means that each researcher has six months before a progress report is due. Some are able to almost complete the research in that initial period and will use the remainder of the grant period to analyze and write up the report. Others are slow in getting started and may have done little by the time the progress report is due. The reasons for such delays are often institutional. The most common complaint by researchers is that their grant was issued at a time of the year when teaching occupies staff. Research is most often done during vacation time, a period that has grown increasingly short because of teaching obligations and the shift to a semester system. For instance, researchers in Dar es Salaam, at MUCHS as well as UDSM, argued that the new semester system leaves them with less time than before to engage in research activities. Others pointed out that SAREC's own funding cycle and the academic year are out of tune, a point that becomes significant when one recognizes that calls for proposals are made automatically once the SAREC tranche has been received. This issue becomes especially serious for researchers in the agriculture and field because they are also dependent on the growing seasons for various crops. In short, the reasons for delay are not just negligent individuals. In fact, as often if not more so, they are institutional of the kind discussed above.

Finance officers and accountants interviewed for this study suggested that they have fewer cases of rejection of progress reports today than before. This indicates that the reports are better in covering the points that are expected in financial accounting. Certainly there is more back-up information to support specific expenses. Yet, much of the grant money goes for personal consumption. Reports that were examined suggest that researchers make considerable "savings" by submitting claims for legally acceptable reimbursement rates but do not necessarily spend more than a fraction of such rates. In countries where academic salaries are still very modest, such contributions to subsistence by individual research grants are important. The matter is taken for granted.

Final report. The progress reports do not tell much about the substantive progress in the field. Only the final report provides a meaningful gauge of what has been achieved. The quality of these reports, however, varies. Some are interesting to read and indicative of interesting and important findings. The better reports typically come from faculties where the scientific component is prominent. Reports from agriculture, medicine and science tend to be of higher quality than those coming from other faculties. This does not imply that within each field, every final report is of the same quality. It varies and some good ones come out of social sciences and engineering as well.

The final report is not always the same as the final product coming out of the project. Many researchers distinguish between the two and spend time preparing a conference paper or an article that is an elaboration on the final report.

The biggest problem that university administrators report is that many researchers take much longer than expected to complete their research. In all places there were cases of grantees who had received money in 2002 or 2003 who had still not completed their research. This implies missed opportunities for others who might have been able to use the money more expeditiously. The reasons are sometimes

personal, other times institutional. Whatever, it is a matter of concern to those responsible for reporting to SAREC. The latter expects a certain turnover of its funds to indicate that it comes to good use. When university researchers fail to complete their work, these administrators clearly realize that it reflects badly on the institution itself and threatens future funding.

The Results

It has proved difficult to obtain enough detailed information to demonstrate how many grants have been given through the university/faculty funds in these various universities. The records from UEM have been particularly difficult to obtain. Not even the institutional assessment that was carried out in 2003 could state how many research grants had been issued. The best record is a summary of grants given between 2001 and 2003, indicating that a total of 23 researchers benefitted. The Faculty of Social Sciences could provide some written information indicating how many grants had been given between 2001 and 2003. According to documentation signed by the Chair of the Management Committee of the Open Fund, ten grants had been given during this period. A subsequent report, dated February 15, 2005, refers to a total of 14 research projects carried out mostly by pre-doctoral students.

At UDSM, a report issued by the DRP in October 2003 includes information about how many grants had been approved between 1998 and 2002. It indicates that a total of 191 projects were funded in the various faculties during this time. It says nothing about the size of the grants but it does suggest that each faculty and institute was active in using the money provided by SAREC. The report also showed that two thirds of the beneficiaries were 46 years of age or older. Given the large number of awards that were made in those five years, the record for 2004 and 2005, after all research funding by SAREC was concentrated to the DRP, looks meagre. Even if the increase from USD 5,000 to USD 10,000 is considered, the figure of five grants for 2004 and nine for 2005 in a university with 700 staff is woefully inadequate.

MUCHS conducted its own audit of SAREC support in 2004. This document (MUCHS 2004) contains information on the number of grants given per year. The problem is that the figures provided in two different locations in the report do not tally. Thus, for instance, Table 1 shows that 65 proposals were reviewed during the four-year period with 10 of them being funded. Table 3 further into the report claims that a total of 23 grants were issued during the same period.

Makerere has the most complete records of grants given under its faculty or university based research funds. Faculty grants have typically been quite small – on average only USD 2,000 – but they have benefitted quite a considerable number of staff. In fact, many faculties have taken pride in trying to ensure that every one has access to research through either collaborative research programs with Swedish institutions or small grants offered through the faculty of university. As an example, the progress report issued by the Faculty of Medicine for the period 2000–05 lists no less than 46 beneficiaries of small grants through its own faculty fund. That makes it almost ten awards per year in one faculty alone. During the same period the Faculty of Social Sciences issued twelve grants, divided into two categories: one set of interdisciplinary grants for senior researchers and a second set of thematic grants for junior researchers. Unlike the Faculty of Medicine, these grants were larger; hence the smaller number of total grants issued. The 2002–05 report by the Faculty of Technology shows that funds were allocated on a competitive basis through its SAREC-sponsored faculty fund to fifteen members of staff who were not directly benefiting from funds provided under the auspices of its collaborative program with Swedish institutions. The Faculty of Agriculture has used much of its faculty fund money to help eight Ph.D. candidates to do their field research. Like in the other faculties the fund has been treated as a complementary resource to the finances provided under collaborative programs with the Swedish University of Agriculture (SLU). The university research fund, finally, provided 27 small grants to staff in different faculties. While the faculty fund grants were typically well under USD 5,000, those issued by the university fund were on average USD 7,500, with some grants as big as USD 11,000.

The limitations of comparative data notwithstanding, it is clear that Makerere has most consistently used SAREC funding for research grants. It has creatively combined faculty and university research funding with money provided under the auspices of SAREC-funded research programs. The effect of this combined strategy has been to create a demand for research, encourage people to apply, and compete for recognition upon completion. The way it has been done there may rightfully be referred to as the “Makerere model”.

The same enthusiasm and understanding of how research can help build the institution is yet to develop in the other places. It is disappointing that between 2001 and 2004, the number of proposals considered at MUCHS grew from 9 to 42 but those funded shrank from 4 to 2. The concentration of research funding at UDSM to the DRP and the subsequent reduction in number of grants per year is also disappointing. In fact, interviews with staff indicate that while they are pleased to have SAREC funding coming to their university, they regret the abolition of faculty support and its substitution with a single university fund. Similar sentiments were expressed in Maputo where UEM staff lament the cancellation of the “open funds” at faculty level.

Results are not measured solely in terms of number of grants given. In fact, such a measure points more to input than output. It is important, therefore, to assess what SAREC-sponsored research has produced. Again, reporting is not consistent and comparison, therefore, difficult. The following facts can be gleaned from documents made available at the universities:

- At UEM, the only available documentation from the Faculty of Social Sciences Fund indicates that three conferences resulted in a set of published proceedings. In addition, a few grants resulted in “essays” but they were not published. The remainder were degree-related products, primarily master’s theses.
- At MUCHS, where the records are more complete, the Audit Report for 2001–04 indicates that out of the 23 grants given during this period, four produced articles in peer-reviewed journals and five led to conference abstracts.
- At UDSM records of output are only available for faculty funds and they are not very complete. They suggest that most money was used to promote the publication of local journals, in the case of the Faculty of Arts and Social Sciences no less than ten of them. Some researchers funded by SAREC published in these local journals but it is not clear how many did so.
- At Makerere there is scattered evidence of what research grants have produced. The pattern is quite clear: those who work within the collaborative research programs tend to get published in international journals, while those who receive grants from the faculty of university fund do not. Their papers end up as articles in local journals or in locally edited volumes.

The gender balance issue was considered in all four institutions. In none of them did it come up spontaneously. When prompted local researchers – both men and women – denied that when it comes to awarding money for research there is a bias one way or the other. Such biases may exist in other contexts but access to funding for research is regarded as open to any one. The research fund that SAREC helps support at the Gender Centre of UDSM is a boost to female members of staff but it is too early to state whether this additional money for female researchers is assisting their careers more than if they all participated in a competition open to both sexes. With the exception of a few faculties like Engineering, the number of female academic staff keeps increasing in the four institutions (especially those in Tanzania and Uganda) and judging from their own ambition and success are already on the way to be the basis for future academic and professional leadership.

A few general conclusions are warranted here. The first is that the universities have responded to the invitation to take greater charge of the research support provided by SAREC through the fund model

by setting in place a process that reflects predominant ideas about how to do so in these institutions. These ideas, however, do not correspond much with the loftier goal that SAREC has of developing a system for managing its research funds based on conventional criteria used in Sweden and other industrialized countries. This is not to imply that the local university administrators are uninterested in applying these criteria. It is rather that the way it is being done, it is more a formality. Thus, for instance, peer reviews are done locally often by individuals who are known to the person being reviewed. Or, the review is done by some one in a different field but still some one local rather than truly external to the process. Another issue is that local researchers prefer involvement in projects or programs funded by SAREC or other donors. They give a better chance to learn the trade, offer the prospect of attending international conferences and co-publish with some well known foreign colleague, and so on. The local research funds in their view offer valuable support but it is only for small projects with little chance of generating publication in international peer-reviewed journals. It may be an exaggeration, but judging from their perceptions, the research fund supports the scout team, not the first team. To be sure, there is some mobility upwards, but it does not take away the impression that the research fund model makes most difference by funding junior staff with small projects in which they can learn the trade. This is an important objective in an of itself, but it is quite far from the more ambitious systems objective that SAREC has.

A Performance Assessment of the Research Funds

The Terms of Reference calls for an assessment that addresses a set of evaluation criteria that are standard in Sida/SAREC context. These criteria are: (1) effectiveness, (2) impact, (3) relevance, (4) efficiency, (5) sustainability and (6) design and management. This section will address the issue of how the university/faculty fund model fares in such a performance assessment. In the absence of consistent and comparative data this assessment has to be taken for what it is: an attempt at making as fair and reasonable an evaluation as available documentation and interviews permit. Comparisons between the four institutions, therefore, have to be read with some caution. Nonetheless, certain conclusions can be drawn that make this exercise meaningful.

Effectiveness

This refers to the level of goal achievement. One way of stating the overall assessment is to suggest that the approach has been more successful in meeting local university objectives than those set by SAREC from the outset. By this I mean that local ownership has provided the universities with a chance to decide on their own how to use the funds, how to organize and manage the process. As the discussion above indicates, they have not always been successful and there are some instances of abusing the right to self-management. At the same time, however, it must also be mentioned that the universities have learnt from their mistakes. What they have not succeeded in doing is moving the process to a higher level at which strategizing and prioritizing is being done in a scientific and professional manner similar to what SAREC would like it to be. Such an improvement is likely to take time but is by no means ruled out if SAREC wishes to continue with this approach.

The fund mechanism as constituted in the three countries works best when it combines research granting at both university and faculty level as it currently does only at Makerere. The contribution to the institution's overall goals diminishes if it is confined to a single operation at university level as is currently the case at UEM and UDSM. A single university-wide fund tends to favor individual capacity-building rather than institution-building. From the point of view of the local research management in these universities, this is not the preferable mode of operation.

The reasons for shortfalls in reaching the stated goals of these funds are many but the most important is an underlying cultural or institutional factor: the lack of effective socialization into the university as an academic institution. The four universities don't have an effective control of their staff who are open to influences from many non-academic and non-professional sources: family and relatives, competing economic opportunities, not the least consultancies with international organizations, and political temptations. This means that there is a general laxity that diminishes willingness and ability to work for institutional as opposed to individual goals. University funds, if they are the only mechanism for accessing research money, tend to reinforce this individualist orientation because they reward individual rather than institutional excellence. Furthermore, the knowledge that is produced through university funds is more scattered.

Impact

Impact refers to the effects the funds have on the environment in which they operate. It is clear that these funds, on their own, are not likely to have as much impact on the academic environment or on society as if they are combined with other forms of research support. SAREC's support for collaborative research programs that bring local researchers in touch with colleagues from Sweden (or possibly other countries) is a necessary complement to the ongoing support of research funds. The latter may help to foster a sense of ownership of the activity but judging from the results of research grants given under the fund model, they do not generate the kind of quality that allows local researchers to become internationally competitive. The academic world is cosmopolitan and it is important that local researchers in Africa can get a taste of its best qualities through cooperation with colleagues elsewhere. The research funds may become more effective in doing so in the future, but for now collaborative research projects or programs of the kind that SAREC already supports in these countries provide a more congenial environment for generating research capacity and an understanding of the basic elements of a research culture.

Most researchers identify the funds with SAREC rather than the university in which they are based. Even though the faculty or university administration advertises it as its own it usually comes with its own "SAREC tag". One reason is that the universities have a separate SAREC account for this money. In some cases, e.g. UDSM, it has its own steering committee. The result is that the research money is being advertised as coming from Sida/SAREC. Even though SAREC gives the universities a very liberal frame within which to use the funds, the local officials feel an obligation to mention that the money comes from SAREC. This is done in an appreciative manner: Swedish money is generally not tied and it is important to let potential beneficiaries know; also, as a matter of courtesy, such a gesture is deemed to be called for. Every one certainly realizes that was it not for SAREC money, their chance of receiving any grants at all would be very slim.

Even if local researchers do not see SAREC funds as local institutions as much as SAREC officials themselves would like them to do, it is important to acknowledge that much goodwill is generated in these countries through the manner in which SAREC dispenses its funds. It may not leave behind any "mortar-and-bricks" type of monument in the form of official buildings, but its good reputation lives on in academic circles in these countries. Locals want to see more not just of SAREC money but also of SAREC as an institution. The idea that everything should be handed over to local officials is not shared by the research community in these countries. Evidence from UEM as well as UDSM indicates that research funds work best when SAREC has an ongoing positive interest in their operations and can follow it closely enough without having to make the kind of abrupt and damaging interventions that happened, especially at UEM in 2003. The idea that SAREC has its own field officer based in the local Swedish Embassy, as is now happening in Dar es Salaam, is a step in the right direction.

Relevance

If designed and managed well these funds are of great relevance to university development in Africa. This is demonstrated particularly well in the Makerere case. Researchers there as well as in the other three institutions generally agree about the usefulness of the fund model but emphasize that it serves the institution best if it is at faculty level or – as advocated here – at both levels. The issue of special significance here is how useful the funds are in the context of local university programs and contributions by other donors?

All four universities are committed to promoting research, but with the exception of a small amount of own funds at Makerere, they are all dependent on external funding for research. SAREC's support of open research funds is the only source of funding for local researchers at UDSM and MUCHS. At UEM the World Bank contributes a modest amount of money for research and at Makerere other donors also fund research in a similarly open-ended fashion although these contributions are targeted somewhat more than SAREC's own support. Even at Makerere, SAREC is the largest donor, although its specific support of research funds constitutes a relatively small percentage of the total. The various external funders complement each other quite well at that institution: SAREC primarily supports research at the University, NORAD focuses mainly on procurement, including library journals, Carnegie funds capacity-building, and Rockefeller supports linkages between the university and local government authorities, an attempt to make research help solve problems at local levels. This "division of labor" is the result of good relations between the University administration and the donors and an effort by the administration to manage and coordinate research support so that it maximizes the gains to the institution.

The question of basic research emerged in all four institutions and several researchers, especially in the sciences lamented the absence of access to funding for such research. The donors remain confined to research that has a supposed immediate utility; its contribution to problem-solving features big as an objective among all donors funding research. SAREC's own terms are the most liberal but even so, there is a sense that it must be somehow focused on poverty reduction, gender equity, and similar such development goals. In discussions with researchers in these universities, the question of whether SAREC is funding research or development research came up at quite a few occasions. They did not seem to be aware that this is an issue that they could take up with SAREC for consideration.

Overall, it is difficult to make a definite conclusion regarding the success of the various donors contributing to these institutions. At Makerere, university administrators expressed satisfaction and enthusiasm about all the programs that helped the institution. At MUCHS, there was a definite sense that the American agencies (NIH and Harvard) provided the "best money" for local researchers but they were also aware that these collaborative institutions were much more oriented toward local "data-mining" than SAREC is. In this perspective, the openness of SAREC funding is much appreciated.

Efficiency

Efficiency refers to how well the research funds are managed and whether the resources provided by SAREC are justified by results achieved. It is clear that there is scope for improvement. The timeline for submission after the call for proposals has been made has not always been as reasonable as it could; nor has the announcement of criteria applied for evaluating proposals. More careful attention to how these announcements are formulated and when they are issued is an area where, according to comments received by researchers themselves, can be improved. The same applies to the dissemination of information about the research money. Not every one has regular access to email information. Many still rely on manual transmission. Deans and heads of departments, as intermediaries in the process, may try their best, but responses from researchers, again, suggest that at least some of them could do a better job in getting information to all concerned.

Peer review in the strict sense of the word, i.e. reliance on external experts for evaluation of specific proposals, is the exception rather than the rule. Collaborating Swedish researchers may at times be asked to serve as reviewers. The typical review process, therefore, typically involves only scholars within the institution itself. These are senior scholars in the field or possibly a neighboring field. UDSM has developed its own approach. Proposals submitted to the university-wide research competition are being evaluated by a specially appointed team of retired scholars from a cross-section of faculties at the university. Both these approaches have their weakness. When it is done within a narrow circle of researchers in the same faculty or college, anonymity becomes difficult to maintain even when names are removed from proposals. Because of tight deadlines, the review is often made more with reference to format than substance or method. When, on the other hand, it is done by a team of senior researchers recruited from a cross-section of faculties, reviewers are being asked to comment on proposals in areas where they have no expertise. For instance, in Dar es Salaam, a historian is being asked to review proposals by natural scientists and engineers. At UDSM, a good number of researchers commented on this arrangement and suggested that they felt it is wrong that their proposals are not being assessed only by experts in their own field. A possible way of dealing with this is to have two baskets in the university research fund, e.g. one for scientists and engineers, another for social scientists and those in the related fields like commerce and management, and arts.

It should be added here that the peer review at faculty level seems to work in the sense that those who wish to submit a proposal get it vetted by others. The thoroughness and approach vary. The best model, according to comments received, is the research seminar prior to submission. These meetings which are often attended by many researchers, junior as well as senior, generate a wide range of comments, some more helpful than others, but most directed at real weaknesses or shortcomings in the proposal. Such seminars are not held as a matter of course in several places, but should be held as a regular component of the local peer review process. It is much more transparent and productive than comments that are provided through a dean or some other official after a review conducted without the proposal writer present to receive them in person.

SAREC's own release of funds is the main determinant of when research money is being advertised in the universities. Those in charge seem too anxious to adhere to a funding cycle set by the donor. This cycle is rarely in line with the academic cycle at the institution, nor with the biological or agricultural cycle that affects scientists and those working in the field of agricultural research. Because SAREC sets aside money on an annual basis, there is pressure to put it to use quickly – even if it means that advertisement of research money is made at a time when most staff cannot make use of it until much later due to teaching obligations during the regular academic year. Forcing researchers to adhere to an administrative reporting cycle without consideration of conditions and opportunities for doing a good job does not make sense. This is an issue that hopefully can be resolved in further discussions between SAREC and local university officials.

The most serious issue when it comes to assessing the efficiency of these operations is reporting – or rather the lack of it on a timely basis. Again, the issue is how local reporting can be reconciled with Sida/SAREC's demand for it. The latter understandably insists that there should be evidence that its money has been used before a second installment or a new annual tranche is being issued. Many individuals live up to these reporting requirements but many also fail to do so, usually for reasons beyond their control, notably that the grant is issued at a time of the year when the researcher is unable to go to the field. Reports are due when the researcher is in the field and may not be able to submit it on time. This and other such reasons cause delays that affect faculty reporting and, in the end, the university's ability to report to SAREC. There is no evidence in this investigation that officials deliberately lie in their reports to SAREC, but in order to expedite their reports and ensure a constant flow of money, they are often forced to write reports that are saying very little specific about what has been accomplished. Particularly problematic at this point is that universities must report to SAREC on what

each faculty has accomplished. This was not necessarily the main cause for the suspension of faculty fund support at UDSM and UEM, but it is an issue at Makerere and would become so also elsewhere if faculty fund support is included in future grants. Given the problems that SAREC has experienced in accurate reporting in the past, it may not be so easy to turn around and change the system that is now in place. Ideally, though, it is clear that a system of funding that allows greater flexibility with regard to frequency and comprehensiveness would make the prospect of efficiency greater (even though it may be inherently more risky). For instance, annual disbursements with accompanying annual reporting requirements would facilitate a more efficient use of money and lead to fewer delays and interruptions. Similarly, allowing universities to make exceptions for one or two faculties that for good reasons have not completed their own reports may, in some circumstances, be permitted.

Without personal follow-ups by SAREC staff, it is difficult in most cases to know exactly what is happening and what is being achieved with the money the agency provides. The annual visits by staff from Stockholm may uncover additional insights, but some one from SAREC based in the local Swedish Embassy would be much better placed to engage in dialogue and help resolve outstanding technical and administrative issues that now affect the use of its funds. Swedish academics collaborating with local researchers in these countries may provide hints about problems of efficiency, but they should not have to be placed in a situation where they report on institutional weaknesses that SAREC's own staff have responsibility to know about and sort out.

Can SAREC's support of university/faculty funds be justified by the results achieved? This is a more difficult question to answer. Their contribution to institutional development and local capacity-building is clearly much greater where support is given at faculty as well as university level. At Makerere, the grants issued by these funds are described by local researchers in very positive terms: "they are seed grants for larger projects", "they allow for pilot project funding", "they complement research done within the larger SAREC-funded research programs". This modality works best if it is a combination of funds at both faculty and university level. The current university-wide research funds at UDSM and UEM are very small in relation to demand; they provide research support that is not necessarily linked to faculty needs or priorities. In short, they have very little institution-building effects. It is also important to emphasize they are not a substitute for other types of support that SAREC provides to these universities. They are an important complement, but that is all. SAREC support of these funds should definitely continue, but it should be tailored to performance, especially with regard to: (a) demand, (b) use, and (c) results. For instance, between 2001 and 2004, the anticipated use of money for research at UEM was clearly overestimated in relation to demand. How well the money is being used for research shows improvement, but there is room for further progress in that direction. Results are still not being reported in satisfactory ways. Available documentation at these universities not only vary but they are all incomplete in one or more respects. In short, the records of what is being achieved is impossible to fully appreciate and understand with the way these universities are reporting at present.

SAREC should engage in a dialogue with these institutions on working out a common format that allows each university and SAREC – and any outsider – to easily gauge what has been accomplished at individual, faculty or university level. Such a standard format would include the following required information:

- Title of project
- Name of researcher
- Institutional affiliation of researcher
- Amount of grant approved
- Amount of money disbursed

- Progress report(s) submitted
- Final output (not just a general reference to publication or conference paper, but specific information about it)

It is important that reporting is not just on a single cycle, since it tends to miss what really happened with those who completed their research in previous years. In other words, there should be room for references to what was accomplished by those funded in earlier rounds where initial reporting may have missed reference to publications or other accomplishments that were achieved after the first report was submitted. This way many more achievements are likely to be reported, something that both participating universities and faculties as well as SAREC have an interest to see happening.

Sustainability

Sustainability refers to how well these funds are integrated into local processes and institutions. Three issues seem to be of particular importance here: (1) Can SAREC support be gradually reduced in favor of alternative sources of local funding? (2) Do the local universities have adequate capacity to manage such funds? and (3) Is research funded through this mechanism linked to broader policy objectives?

There is no evidence that the governments of Mozambique, Tanzania and Uganda are ready to provide financial support for the research funds currently supported by SAREC. The amount of money that these governments give to the universities is already stretched because of tuition and infrastructural investment and maintenance costs. These governments take for granted that the necessary research money is being provided by external agencies. Competing priorities that the political leaders consider more important rule out any direct support of research. This is a disappointing state of affairs but one that is not difficult to comprehend. The best SAREC and the universities can expect, if they value this particular modality of supporting research, is to hope that funding support may be diversified to incorporate other donors.

Management of these funds is being carried by the central administration of each local university. SAREC is committed to this as part of encouraging a sense of local ownership. This is politically correct in the sense that it is in line with Swedish policy of development cooperation. There are, however, costs to individual beneficiaries of this arrangement. Even if payment may be quite fast, the administrative organization continues to be hierarchical and sluggish. The approval process goes through the bottleneck of a single senior official who is overloaded with many other duties, often travelling, and reluctant to delegate to any of his (or her) subordinates. A Swedish researcher participating in one of the collaborative research programs said of the administration at one university: “unless you kick it, nothing will happen”. Most local researchers are too afraid of engaging in such a practice and thus succumb to a position of deference or, if they have the right personal connection, taking up the matter with the senior official on a person-to-person basis. These are orientations and views based on evidence provided in interviews with researchers. At the same time, it is important to point out that the experience that has been gained over the past five-to-seven years in the various universities has yielded an approach that is tighter, if not more efficient. One can conclude here that if the administration of these universities had been truly conceived in systems terms, management would have been easier and less characterized by arbitrariness or personal discretion. In this sense, the administrative support structure for the research funds within these universities still falls short of being sustainable..

The research supported by the SAREC-financed funds fits well into faculty research programs where the money is being administered at that level. In this respect, it is incorporated into institutional priorities and policies. Its incorporation into the practical world or the policy community is much less evident. To be sure, there are instances where the research findings have been incorporated into the local

policy process. An outstanding example is the research that has been done at the Faculty of Agriculture at Makerere on the utilization of crop waste. To be sure, this has occurred in the context of the broader collaborative program that the Faculty has with Swedish institutions, but contributions have also come from the research funded by the small grants provided through the faculty fund. When faculties received direct research fund support in other universities, there is evidence not the least from UDSM but also SUA that such outreach was achieved using financial support from research programs as well as research funds. At the same time, there is evidence from interviews with researchers and administrators that the small grants are sometimes insufficient for taking the research project to the next level, including getting enough results to justify further funding from the faculty or other sources. Without coming up with a definite figure a rough calculation based on available documentation about results of the research grants suggests that so far most projects have not resulted in follow-up research or outreach activities. This confirms the observation that research funds are likely to be more sustainable – and effective – if they are conceived as complements to other forms of research support that provide a better foundation for taking research findings to a higher level or into applied use.

Design and Management

This sub-section deals with a set of outstanding issues: (1) Should the research funds be confined to individual universities or managed at a national level? (2) What should be done as more and more faculties are combined into colleges? (3) Should support of these funds become multi-donor based? and (4) Should female researchers in the interest of gender mainstreaming have access to a fund of their own?

The issue of a national research fund has emerged in Mozambique and Uganda, albeit in different contexts. It has not yet become an issue in Tanzania. The Minister responsible for higher education and research in Mozambique, himself a former Rector at UEM, has indicated his interest in establishing a mechanism for funding research that would be available to researchers at any institution of higher education in the country. With an increasing number of such institutions in place today, there is a reason for providing such a national fund. That is why the idea of launching such a nation-wide fund has arisen also in Uganda where the number of new universities has grown very rapidly in recent years. Clearly, for this same reason, the idea of a national fund would apply also to Tanzania, even if the deliberations on such a mechanism has not proceeded as far there.

Even if a national research fund makes political sense, there is reason to be cautious. First of all, a national fund may reach a larger number of researchers in a greater number of institutions but it may be at the cost of those few institutions, like those funded by SAREC now, where the research capacity is greatest and the potential for satisfactory results is highest. Second, in order to really cater to researchers in a professional manner, such a national fund must be established in a way that earns it credibility and legitimacy in the academic community. In neither Mozambique nor Uganda is there evidence that adequate attention has been paid to this issue. The President's Office or the Ministry of Finance and Economic Planning wishes to control such a fund in Uganda. In Mozambique it is the Minister for Science, Technology and Higher Education. None of these arrangements is acceptable to the researchers interviewed. They are afraid that money will be allocated for research on criteria that have little to do with the quality of research proposals. They assume that the access to and administration of research money will become far more complicated than it already is. This illustrates once more the dilemma associated with this type of approach: it encourages local ownership but sets in motion a process that points away from the complementary objective of fostering a more strategic and professional approach to managing research that SAREC is looking for.

SAREC and local Swedish embassies have a particular responsibility to ensure that no premeditated action is taken, an issue that takes on special importance in the context of discussions about direct budget support. If support of research under the auspices of SAREC is an official policy of the Swed-

ish Government, local embassy officials must carefully consider the consequences of allowing funds for research to be allocated and administered in ways that national governments in these countries consider to be priorities. SAREC itself has a responsibility to lobby relevant Swedish officials to ensure that direct budget support is not so dogmatically enforced that it harms funding of research in these countries.

SAREC has so far oriented its support of funds to university and faculty levels, the exception being MUCHS which continues to be a college, not a university despite strong pressures by the medical constituency to turn it into a full-fledged university of its own. SAREC, therefore, has set a precedent that is now being quoted by other colleges that are interested in getting more money for research. Foremost of these is the College of Lands and Architectural Studies (UCLAS) at the University of Dar es Salaam, an institution that is very active in the consultancy field but also wishes to upgrade itself through involvement in more research. The complaint at UCLAS is that it is being treated by UDSM as just another faculty, although it has faculties of its own. The claim for a separate fund was less pronounced at the new College of Engineering and Technology (CoET) at the same university, but it is clear that as this process of creating colleges – more prominent at UDSM and Makerere than at UEM – the issue of what level a fund should be placed and how many separate funds should be supported by SAREC will arise with greater intensity.

Other donors may join the support of research funds, but it makes more sense if they are organized at national rather than university or faculty level. There is sufficient compatability between the SAREC modality of supporting research through local funds and the model that NORAD has adopted at SUA. Because the Norwegians follow a framework agreement approach any possible support by NORAD has to be planned well in advance of the next new agreement since each runs for three years. Whether the Norwegians – or any one else – might be persuaded to join SAREC in supporting research funds is still a question given that there are so many other local needs at these universities that must be met and donors in this situation prefer to divide up the responsibility rather than investing in the same activity. Experience at Makerere has also confirmed that each donor prefers to have its own account even if it is administered by one and the same office as all the other incoming money for research. Finally, there is the question of how much money is enough for these funds. Multi-donor funding may lead to an unwarranted increase and less efficiency and effectiveness. The conclusion, therefore, is that SAREC is better off remaining the sole supporter of these funds and tailor its level of support to the criteria listed above (cf. Sub-section on Efficiency).

In no interview or discussion did the issue of gender discrimination in the allocation of research awards arise. The actual distribution of research grants may not exactly reflect the gender composition of each institution, but there were certainly as many female as male researchers participating in the interviews and discussions that form the basis for this report. To be sure, there are certain fields where women are underrepresented, notably engineering. It is also true that women are less well represented in the research community in Mozambique than they are in Tanzania and Uganda. Still, it is encouraging to see how the number of women in academic positions has increased in recent years. The issue at all four institutions included in this study is that women still find it difficult to reach top administrative positions, but even that may be changing as more and more women reach seniority within their respective institutions.

SAREC's only direct support for research targeted on female staff members has been given at UDSM through the university's Gender Centre. This program has in addition to providing research grants on a competitive basis allowed the Centre to run research training courses and conduct "consultancies" within the university aimed at gender mainstreaming. It is not clear that the research grant program in itself contributes to gender mainstreaming since most of it is being conducted outside the institution. The particular research funds in this Centre, therefore, is more like affirmative action, i.e. providing additional support for a particular group of researchers. This raises the question whether the research funds could not be more specifically targeted on institutional rules and practices within the university

that hinders gender mainstreaming. Only a very small portion of the research money has gone for this purpose so far. Thus, if research mainstreaming is the primary objective, a redirection toward addressing internal university issues through more systematic research makes sense.

Lessons Learnt and Recommendations

So what should SAREC and the four universities receiving support for university/faculty funds learn from the experience to date? The answer to this question is divided into two sections, one focusing on the research environment in the African countries, the second on the operational aspects of these funds.

The Research Environment

The following are the most important lessons learnt with regard to constraints and opportunities that affect the role that these funds can play in capacity-building, generating new knowledge, and helping to build a research culture:

- Given other competing priorities, governments give low priority to funding research from its own budget;
- Governments are more interested in spending money on teaching than on research;
- Research is hard to justify in the eyes of a population characterized largely by poverty because it does not yield immediate tangible benefits;
- Researchers are generally suspicious of government intentions when it comes to support of academic institutions;
- Universities are being asked to give priority to quantity rather than quality, forcing staff to carry heavy teaching loads and leaving them with reduced time for research;
- Consultancies offer more remuneration than research and limit the interest of academic staff, especially seniors, to engage in research.

Fund Operations

The observations made with respect to fund operations apply in varying degrees to the four institutions. One way or the other, however, they have come up as significant issues worthy of attention in this section:

- Research funds achieve the objective of building capacity and to a lesser extent generating new knowledge, but are much further away from promoting the more ambitious goals of institutionalizing a new research culture based on principles and criteria used in Sweden;
- University-level funds alone are less effective than a combination of university and faculty level funds;
- Research funds alone are not enough for institutional development and should always be combined with collaborative research programs that give local researchers the opportunity to cooperate with and learn from scholars in Sweden and elsewhere;
- The abolition of faculty funds at UDSM and UEM is overwhelmingly judged as a step backward;

- Basic research is shortshrifed in these countries where donor funding prioritizes a more applied form of research;
- Results from grants financed by the funds vary considerably with only a small percentage of projects leading to publications in peer-reviewed journals;
- Management of the research funds has been improving but there are still problems with regard to several aspects of the process;
- Report writing is getting better but reports are often delayed for reasons beyond the control of individual researchers;
- The peer review process is not as professional as it could be and often slow, leaving researchers disappointed, even disillusioned in some cases;
- The funding cycle is often out of tune with the academic cycle and creates problems for timely reporting;
- SAREC's insistence that universities report on behalf of all faculties at one and the same time is under these circumstances a serious problem;
- Information on results of the grants is not consistent or comprehensive making a systematic comparison impossible at this juncture;
- SAREC needs to engage local administrators and researchers more effectively in order to get a better appreciation of what goes right or wrong at these institutions.

Recommendations

The recommendations offered here are generic in the sense that they apply to a varying degree to the various institutions covered by this report. Rather than giving specific prescriptions for each university, the expectation is that those who have a chance to read the report will be able to sift through what is helpful in their situation and pick those points for further deliberation and possible action at their institution. The only recommendations that are specific here, therefore, are those directed to SAREC itself. The recommendations are arranged into three separate sub-sections, the first focusing on SAREC, the second on participating universities, and the third on a look to the future.

SAREC

- The local approach to managing research funds at Makerere seems to offer the best overall institutional formula by combining university and faculty level funds in the broader context of overall SAREC support for research at the university;
- Wherever there is only one university-wide fund, it should be administered in such a way that it has two "baskets", one catering for the "hard" sciences, another for the "soft" ones;
- SAREC may consider increasing financial support for these funds, but if the agency does, there is reason to consider more carefully any such increase in relation to (a) demand, (b) use, and (c) results.
- SAREC, without violating the principle of local ownership, should not hesitate to help develop a reporting system for grants that is identical in each country and allows for comparison in ways that is impossible with the current state of reporting;
- There is need to allow funds to be used for such research-related activities as training in research methods, research management, and reporting as well as writing articles for peer-reviewed journals;

- SAREC should engage in discussions about the constraints that arise when universities are compelled to report on each faculty in a single document since opportunities for research vary so much and make the task of compiling a credible and accurate report on time completely impossible;
- SAREC has reason to follow more closely what is happening on the ground in each country so as to avoid the disappointing interruptions that occurred in Mozambique and – to a lesser extent – in Tanzania;
- The appointment of a Sida/SAREC official in the local Swedish embassies in these countries, as is already the case in Tanzania, would be a step in the right direction;

Participating Universities

- The participating universities have reason to consider how they may improve their own management systems so that conducting research becomes easier and staff are encouraged to do good research rather than being alienated by bureaucratic red-tape;
- Special attention should be paid to how peer review can be made more professional without causing delays in the processing of grant applications;
- Financial reporting is reported to improve at these universities, but there is reason to monitor how the financial management system now in place affects the researchers;
- Administrators at the local universities should ensure that management of external research funds is done with the same degree of compliance as happens with money received from local sources.
- Participating universities may consider lobbying for more money from their governments in those countries where donors channel an increasing amount of their aid as direct budget support without for that reason falling into the trap of becoming dependent on the government's political agenda;
- Gender research should be foremost focused on enhancing gender mainstreaming issues of relevance to the local universities;

A Look to the Future

- Although the first few years of experience with research funds have fallen short of their ambitious overall objectives, the increased sense of local ownership provides the basis for further steps in the direction of improving the scientific and professional handling of research in these institutions;
- Implementing an ambitious scheme like this takes time and there is reason to continue supporting the fund model and nudge participating institutions in the direction of not only more local ownership but also a higher quality of managing research;
- Small research grants are often warranted as complements to large-scale research projects because they constitute a valuable ground for learning how to do research and for this reason alone the fund model deserves continuation;
- SAREC may wish to contact other donors about joint support of these research funds to ensure that there is broader promotion of the principle of local ownership;
- SAREC should move with caution when it comes to considering support of a national research fund and ensure that it is being established in a way that allows researchers to control and benefit from it.

Appendix One. Terms of Reference

1. Evaluation Purpose

The evaluation purpose is to assess the Swedish Development Cooperation Agency, Department for Research Cooperation, Sida/SAREC, University/Faculty funds support within the bilateral research support to universities in Mozambique, Tanzania and Uganda.

The assessment should be made in the relation to the overall goal of bilateral university support i.e. to assist the country in its endeavour to generate new knowledge through research and human resource development to alleviate poverty.

The evaluation shall be part of an overall assessment by Sida of the objectives and results of SAREC research cooperation and contribution management, to be carried out during 2006.

The evaluation shall provide an independent view on support in the form of University/Faculty funds as a component of bilateral research support to universities. The evaluation should describe and assess past progress, with focus on the future direction and management of the support form resulting in concrete and realistic recommendations, regarding future level of support, ceiling amount for grant schemes, distribution of funding between faculties/institutes and modalities to both safeguard quality and ensure quantitative outputs of the programme.

The evaluation will be used both as an input to the overall assessment of Sida/SAREC activities and to see what lessons can be learned for Sida/SAREC's continued support.

The focus should be on the impact and relevance of this form of support for strengthening research capacity at the supported universities.

2. Intervention Background

Currently Sida/SAREC supports bilateral research cooperation programmes at Universidade Eduardo Mondlane (UEM), Mozambique, University of Dar es Salaam (UDSM) including the Muhimbili University College of Health Sciences (MUCHS), Tanzania and Makerere University (MU), Uganda. These universities have been identified as the institutions best situated to make a strategic contribution to the overall capacity for research in the respective countries. Well-trained researchers can pose and pursue questions relevant for poverty reduction, national development in many sectors of the society, and enhanced standard of living. The aim of the programme is to support the existing structures and encourage the development of new structures that would create an environment that is conducive for research training and in so doing assist to identify and improve upon structures that hinder university research. The programme is built around international research collaboration, principally with Swedish universities. The programmes aim to support the universities towards the goal of becoming vibrant, internationally competitive, research universities.

Since 1998, 2001, 2001 and 2002, Sida/SAREC has supported University/Faculty funds programmes in a comprehensive manner at UDSM, MUCHS, UEM and MU, respectively. At UDSM and MU, special Funds have also been directed through specific Gender programmes. These should be included in the evaluation as well. Norad has expressed interest in taking part of this evaluation and therefore the University/Faculty funds support given by Norad to UDSM and Sokoine University of Tanzania (SUA), located in Morogoro, should also be evaluated. For comparative purposes the University/Faculty funds programme supported by Norad/the Norwegian Embassy at MU could be included if time allows.

Various terminologies have been used at the different institutions, such as, Open funds, University funds, Faculty core support, Faculty research grants and Faculty grants scheme. Here the term University/Faculty funds will be used for clarity.

The main objectives of the University/Faculty funds are to strengthen the capacity to execute and manage research at university and faculty level and to promote an enabling environment and culture for research through increased involvement in research for academic staff. More specific objectives include; provide the university/faculty/institute with the possibility to finance research that is independent of donor priorities, provide the opportunity to develop new research areas with potential to attract future external grants and stimulate research within prioritised groups, such as female and/or junior staff. It is also intended to support activities aimed at disseminating research results.

Funds are allocated to universities/faculties/institutes where routines and guidelines for advertisement of grants, and procedures for peer review and assessment of research applications have been established. Granted projects have a duration of maximum one year and granted funds vary from 2 500–15 000 USD. Many institutions have also developed seminar series and workshops to facilitate writing of proposals and scientific reports.

Experience show that this form of support has been very appreciated in Tanzania, however, self-assessments of the programmes conducted at UDSM¹ and MUCHS² have pointed out several constraints and bottlenecks. Therefore, given that the programmes have been running for several years and have not yet been evaluated, Sida/SAREC finds it essential to carry out an evaluation of this form of support at UEM, UDSM/MUCHS and MU. The evaluation periods should be as follows:

Institution	Period	Agreement periods included in the evaluation
UDSM	1998–2005	1998–2000 2001–June 2004 July 2004–June 2008
UEM	2001–2005	2001–2003 Extended to Dec 2005
MUCHS	2001–2005	2001–June 2004 July 2004–June 2008
MU	2002–2005	2002–June 2005 July 2005–June 2009

3. Stakeholder Involvement

UEM, UDSM/MUCHS, SUA and MU will be able to take part in the development of the Terms of Reference and comments will be taken into consideration.

The evaluator is expected to inform the parties concerned in advance of his visits, so those that want to participate in and contribute to the evaluation can do so. The evaluator will also be expected to report and disseminate his findings to those interviewed in the course of the fieldwork.

The final evaluation report will be published and distributed within the Sida Evaluation series.

¹ Evaluation of Sida/SAREC Core Support funding for 1998–2002 and new proposal for funding during the 2004–2007 agreement period, University of Dar es Salaam, Directorate of Research and Publications, October 2003.

² Internal Audit of Sida/SAREC funded Faculty Core Support activities, Audit report 2001–2004, Muhimbili University College of Health Sciences.

4. Evaluation Questions

The evaluator shall describe the institutional format and context in which *University/Faculty funds* operate in the three countries and give an overview of the use of programme means at the different institutions during the evaluation periods.

Effectiveness

- To what extent have the *University/Faculty funds* programmes achieved their objectives?
- In what way have the university's development priorities, needs and institutional capacity been taken into account in setting the programmes objectives?
- What contributions has this type of support made to date, with a focus on process (capacity-building) as well as results (publications research reports, presentation at research conferences, workshops, seminars)?
- What are the reasons for achievements or non-achievements of objectives? Identify and discuss the principal constraints facing the use and management of *University/Faculty funds* as well as the main shortcomings and problems facing this type of support.
- What can be done to make the support more effective?

Impact

- What are the intended and unintended, positive and negative effects of the *University/Faculty funds* support?
- What do beneficiaries and other stakeholders perceive to be the effects of the *University/Faculty funds programmes* on themselves?
- Comparing the three countries, provide an understanding of the role/impact these funds play in university development.
- Assess the role and importance of the programmes, in terms of inculcating a research culture at the universities/faculties/institutes.

Relevance

- Do the *University/Faculty funds* programmes conform to the priorities of the universities concerned?
- Are the *University/Faculty funds* programmes consistent with university policy?
- Are they consistent and complementary with activities supported by other donors to strengthen research capacity? If such programmes exist, briefly describe them with regard to funding, activities, management and results and make some comparisons with the Sida/SAREC *University/Faculty funds* programmes.

Sustainability

- Is the *University/Faculty funds* support well integrated in the university?
- Is ownership by the university satisfactory?
- Does the university have human and financial resources to operate and maintain investments made and continue activities?
- Is the capacity for policy development, administration and management sufficient in a changing environment?
- Which factors influence the sustainability of results, and in what way?

Efficiency

- How are the *University/Faculty funds* programmes managed? Assess peer review mechanisms, granting mechanisms, follow-up of grants and final reporting from the part of grantees to the university. Propose means to improve management.
- Has the *University/Faculty funds* support been managed with reasonable regard for efficiency?
- Could more of the same results have been produced with the same resources?
- To what extent can the costs of the *Faculty funds* support be justified by its results?
- Should the resources allocated to the *University/Faculty funds* programmes have been used for another, more worthwhile, purpose within the bilateral research support to universities?

Programme design and management

- To what extent has the set-up of the *University/Faculty funds* programmes and management influenced the effectiveness, efficiency and impact of the programmes?

Gender mainstreaming

- How has gender been mainstreamed into the different *University/Faculty funds* programmes?
- How are gender considerations included in the day-to-day planning and implementation of the programmes?
- What are the results of gender mainstreaming within the programmes?
- Are gender aspects considered by peer reviewers?
- What has the impact been of the specific *Gender University funds* programmes?

5. Recommendations and Lessons

Make recommendations for how Sida/SAREC and Norad should proceed with this kind of funding in the future.

Based on what is found regarding the above-mentioned points, give concrete recommendations for improvements to future programmes, where more flexible use and fewer constraints may be considered.

If the evaluation concludes that *University/Faculty funds* programmes are effective and efficient ways of supporting research, propose a model for supporting nation wide research, i.e. scaling up *University/Faculty funds* to the national level.

6. Methodology

The evaluator should use the documentation available about the university *University/Faculty funds* support by Sida, Norad and the universities, including proposals/applications, progress and evaluation reports, as well as policies, plans and other related documentation.

The consultant should also visit UEM (Mozambique), UDSM, MUCHS and SUA (Tanzania) and MU (Uganda) during May and June 2006.

During these visits the evaluator is expected to make interviews with selected persons that are directly or indirectly involved in the *University/Faculty funds* programme at University and Faculty/Institute level. This will include meetings with granted and not granted researchers/research groups, deans of faculties, members of peer review committees and others.

Appendix Two. Persons Interviewed

Material for this report has been obtained to a very large extent through interviews with a wide range of people responsible for, benefitting from, or having failed to obtain financial support from any of the funds discussed in this report. More specifically, discussions have been held with relevant program officers at Sida/SAREC, fund administrators in the various universities, recipients as well as non-recipients of research grants from the funds, and relevant desk officers in the Swedish and Norwegian embassies.

Interviews with officials and administrators have typically been conducted on a one-on-one basis, while discussions with recipients and non-recipients were held in a group setting. At some occasions the recipients were alone, at others they were together with non-recipients. The varying composition did not influence the readiness of those present to voice their opinion. Deliberations were generally frank and every one participating in the group discussions expressed a view on at least some issue.

The interviews and discussions did not follow a particular questionnaire but were held in a free-flowing fashion, allowing for more depth on some issues than on others. To ensure that coverage of the main issues relating to the terms of reference were covered, a checklist of points were used at each interview or discussion. Because some of these points were more relevant in some instances than in others, the interviews or discussions did not follow exactly the same sequence.

The program for each one-week long visit to the four institutions was organized by the local research fund management office. Although a miscommunication affected the arrangements at UEM, in each single place these were made very well and greatly facilitated this evaluation. Special thanks go to Professor Maurice Mbago and his senior administrative assistant, Mrs Agnes Muze at UDSM, Professor Amos Massele at MUCHS, Vasco Manjate in the Rectorate at UEM, Mrs Maria Nakyewa and Ms Harriet Busingye at the School of Graduate Studies at Makerere, Dr Joseph Hella at SUA and Dr Emmanuel Ndikumana at Mzumbe University.

The list below contains the names of persons interviewed for this report.

Sida/SAREC

Berit Olsson

Tomas Kjellqvist

Hannah Akuffo

Cristina de Carvalho Nicacio

Tanzania

University of Dar es Salaam:

Professor M.H.H. Nkunya, Chief Academic Officer

Professor Y.J.S. Mashalla, Director of Planning and Development

Professor Maurice Mbago, Director of Research and Publications

Professor Lettice Kinunda Rutashobya, Director of Postgraduate Studies

Professor Makenya Maboko, Director of Undergraduate Studies

Professor Beda Mutagahywa, Director, University Computing Centre

Dr Fenella Mukangara, Director, Gender Centre

Dr Elinari Minja, Associate Dean, Faculty of Commerce and Management

Professor Mugyabuso Mulokozi, Director, Institute of Kiswahili Research
 Dr Yohana Msanjila, Assistant Director of Research, Institute of Kiswahili Research
 Dr Eliezer Chiduo, Institute of Kiswahili Research
 Dr John Kiango, Institute of Kiswahili Research
 Dr Ibrahim Juma, Dean, Faculty of Law
 Professor Pius Yanda, Director, Institute of Resource Assessment
 Dr Claude Mung'ong'o, Research Coordinator, Institute of Resource Assessment
 Dr Richard Kangalawa, Researcher, Institute of Resource Assessment
 Professor K.M. Osaki, Ag. Dean, Faculty of Education
 Professor Akundaeli Mbise, Faculty of Education
 Professor Abel Ishumi, Faculty of Education
 Dr A. Masudi, Faculty of Education
 Dr Elisabeth Kiondo, Director, University Library
 Professor Paul Manda, University Library
 Jangawe Msuya, Associate Director, University Library
 Julita Nawe, Ag. Associate Director, University of Library
 Kokuberwa Mollel, Assistant Librarian, University Library
 Faraja Ndumbaro, Assistant Librarian, University Library
 Emmanuel Elia, Assistant Librarian, University Library
 Professor F.S.S. Magingo, Faculty of Science
 Professor Rogath Kivaisi, Faculty of Science
 Dr Masoud Mamke, Faculty of Science
 Dr Kenneth Hosea, Faculty of Science
 Dr Cosam Joseph, Faculty of Science
 Professor Amandina Lihamba, Dean, Faculty of Arts and Social Sciences
 Professor W. Rugumamu, Associate Dean of Research, Faculty of Arts & Sciences
 Professor L.A. Msambichaka, Faculty of Arts and Social Sciences
 Professor Felix Chami, Faculty of Arts and Social Sciences
 Dr C.B. Saanane, Faculty of Arts and Social Sciences
 Dr. A.S. Mussa, Faculty of Arts and Social Sciences
 Dr Abu Mvungi, Faculty of Arts and Social Sciences
 Dr. H.R.T. Muzale, Faculty of Arts and Social Sciences
 Dr Adolf Mkenda, Faculty of Arts and Social Sciences
 Dr Julius Kivelia, Faculty of Arts and Social Sciences
 Dr C.H. Sokoni, Faculty of Arts and Social Sciences
 Dr A.Y. Mreta, Faculty of Arts and Social Sciences
 Dr Azaveli F. Lwaitama, Faculty of Arts and Social Sciences
 Dr Michael Kadege, Faculty of Arts and Social Sciences
 Professor Samwel Chambua, Ag. Director, Institute of Development Studies
 Professor Idris Kikula, Principal, University College of Lands and Architectural Studies
 Professor M.E. Kaseva, University College of Lands and Architectural Studies
 Dr Hidaya Kayuza, University College of Lands and Architectural Studies

Dr John Lupala, University College of Lands and Architectural Studies
Professor Burton Mwamila, Principal, College of Engineering and Technology
Professor I.B. Mshoro, Deputy Principal, College of Engineering and Technology
Professor J.H.Y. Katima, College of Engineering and Technology
Professor N.M. Lema, College of Engineering and Technology
Dr S.H. Mkhandi, College of Engineering and Technology
Dr A.J.M. Itika, College of Engineering and Technology
Dr E. Elisante, College of Engineering and Technology
Dr D.D. Haule, College of Engineering and Technology
Mr R.Y. Mrope, Head of Administration, College of Engineering and Technology

Muhimbili University College of Health Sciences:

Professor Amos Massele, Director of Research and Publications
Professor Bakari Lembriti, Registrar
Professor Jacob Mtabaji, School of Medicine
Professor Fred Mhalu, School of Medicine
Dr Gerald Rimoy, School of Medicine
Dr Marina Aldis Njelekela, School of Medicine
Dr Olipa Ngassapa, Dean, School of Pharmacy
Professor Mary Justin Temu, School of Pharmacy
Dr H.S. Chambuso, School of Pharmacy
Dr Veronica Mugoyela, School of Pharmacy
Mr Valence Ndesendo, School of Pharmacy
Dr Lameck Mabelya, Dean, School of Dentistry
Dr Emeria Mugonzibwa, School of Dentistry
Ms Thecla W. Kohi, Dean, School of Nursing
Ms Scholastica Ndonde, School of Nursing
Ms Edith Tarimo, School of Nursing
Dr Daud O. Simba, Dean, School of Public Health and Social Sciences
Dr Daudi Omari Simba, School of Public Health and Social Sciences
Dr Edmund Kayombo, Institute of Traditional Medicine
Dr Zakaria Mbwapo, Institute of Traditional Medicine
Dr Modest Kapingu, Institute of Traditional Medicine
Mrs Febronia Uiso, Institute of Traditional Medicine

Sokoine University of Agriculture:

Dr Joseph Hella, Assistant Director, Research, Publications and Graduate Studies
Professor Ludovick Kinabo, PANTIL Programme
Dr John Msahy, Head, Department of Soil Sciences
Mr Frankwell Dulle, Director, University Library
Mr Kweba Malima, Finance Administrator

Mzumbe University:

Professor Euralia Temba, Ag. Deputy Vice-Chancellor
Dr B. Nsana, Senior Lecturer, Faculty of Commerce
Mr Nasar Sola, Senior Lecturer, Faculty of Social Sciences
Mr Emmanuel Ndikumana, Senior Lecturer, Human Resource Studies
Mr Simon Njovu, Senior Lecturer and Director, ICT
Mrs Aurelia Kamuzora, Senior Lecturer in Economics
Mr George Igullu, Lecturer in Local Government

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Appendix Three. Documents Consulted

A range of documents and reports has proved helpful in understanding and interpreting the operations of the research funds evaluated in this report. They include policy documents that guide the operations at Sida/SAREC, policy and procedural or operational documents issued by each participating university as well as progress reports and evaluation documents issued by Sida/SAREC or local universities. Finally, access has been given to progress reports on file submitted by individual grantees, but they are not listed here.

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Neddy Matshalanga, Edem Djokotoe
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Birgitte Jallof, Charles Lwange-Ntale
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- 06/20 End of Programme Support Evaluation of Regional Psychosocial Support Initiative (REPSSI)**
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- 06/21 Review of Sida's Field Vision**
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