



2010:10:1

Sida Review

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Enhancing Research Capacity at Makerere University, Uganda through collaboration with Swedish Universities, 2000–2008

Past Experiences and Future Direction
Annexes

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Annexes

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Sida

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

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Commissioned by Sida, Department for Longterm Program Cooperation
Team Uganda

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Date of final report: March 2010

Published by: Edita 2010

Art. no. Sida61263en

ISBN: 978-91-586-4122-8

URN:NBN se-2010-15

This publication can be downloaded from: <http://www.sida.se/publications>

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Terms of Reference 2009

**Evaluation of
Research Cooperation
between Sweden and
Makerere University, Uganda
- Past experiences and future direction**

Jan 2009

1. EVALUATION PURPOSE

The evaluation purpose is to analyse and assess the Swedish Development Cooperation Agency Research Cooperation support to Makerere University, Uganda.

The assessment should be made in the relation to the *overall goal* of Sida bilateral university support i.e. strengthen the capacity to develop methods to plan, conduct and use research for poverty alleviation in Uganda, through creating conducive research environments for research and research training.

The evaluation shall cover the period 2000-2008.

The evaluation shall provide an independent view on the bilateral research support to Makerere University. 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 composition, modalities and level of support, to both safeguard quality and ensure quantitative outputs, e.g. trained PhD's etc, and outcomes, e.g. use of research results. The evaluation will thus be formative and analyse the effectiveness, impact, relevance, sustainability and efficiency of the research cooperation. The evaluation must be based on participatory methods to strengthen the local initiative and ownership of the programme.

The evaluation will be used both as an input to the assessment of continued Sida bilateral research cooperation support to Uganda 2010-2013 and contribute to lessons learned for Sida bilateral research support in general.

2. INTERVENTION BACKGROUND

The research cooperation with Uganda, was initiated in 2000. It consists of institutional support aimed at building up sustainable research capacity. To contribute to the establishment of a coherent agenda for research and research training in Uganda, the support has been focused at Makerere University (MAK) the largest public university in the country.

Support has been given for three consecutive agreement periods since 2000¹. The current agreement (July 2005-June 2009)², has continued to target MAK and is directed to support an environment that is conducive for research and research training. The support to individual research projects within faculty based research and research training programmes is a tool to achieve this goal and has the slogan "to support the supervisor to supervise". A collaborative research theme "Lake Victoria and other water resources" was defined to enhance the impact of the research carried out. The programme comprises six institutional and six research programmes having counterparts at seven university institutions in Sweden.

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 programme aims to support MAK towards the goal of becoming a vibrant, internationally competitive, research university.

¹ Pilot phase, Sept. 2000-Dec. 2001, 15 million SEK and Phase one, 2002-June 2005, 104.110 million SEK.

² Phase two, 181 million SEK.

The *main objective* of the bilateral research cooperation is to strengthen the capacity to plan, manage, execute and use research at university and faculty level and to promote an enabling environment and culture for research through increased involvement in research for academic staff.

Specific objectives include; provide the university/faculty/unit with the tools:

- to develop strategies and plans for research
- to conduct research training and research
- to manage research
- to attract funding for research
- to disseminate and increase the use of research results and,
- to stimulate innovation.

The following agreement periods shall be covered in the evaluation.

Period	Agreement periods included in the evaluation
Pilot Phase	Sep 2000-Dec 2001
Phase I	2002-June 2005
Phase II	July 2005-June 2009 (will be extended to Dec 2009)

3. STAKEHOLDER INVOLVEMENT

MAK will be able to take part in the development of the Terms of Reference and comments will be taken into consideration.

The evaluation team is expected to inform the parties concerned in advance of its visits, so those that want to participate in and contribute to the evaluation can do so. The team will also be expected to report and/or disseminate their findings to all stakeholders.

The draft evaluation report should be circulated to reference groups representing relevant and representative stakeholders in Uganda and Sweden, for consultation and validation. Comments should be considered before the final evaluation report is completed. The evaluation team should describe which groups that have been consulted and why they were selected.

A steering group consisting of representatives from Sida and Makerere will comment the draft and approve the final evaluation report (Cristina de Carvalho Eriksson, Zinaida Iritz and Eli Katunguka-Rwakishaya).

The final evaluation report should be distributed to all concerned stakeholders in Uganda and Sweden.

4. EVALUATION QUESTIONS

The evaluation shall specifically analyse and describe the following aspects of the research cooperation (see questions below). The evaluation shall also make an overall analysis of the research cooperation in relation to its effectiveness, impact, relevance, sustainability and efficiency.

A. General

1. Given the present institutional context in which the bilateral research cooperation programme operates, describe and analyse, at a general level, changes in the research and research environment that have occurred and how the research cooperation programme between Sweden and Uganda has contributed to that change.

B. Scope and focus of research cooperation

1. Is the research cooperation programme consistent with MAK policy and development priorities, needs and institutional capacity?
2. Are the research projects in the programme relevant to the development goals of Uganda, especially in light of the aim to reduce poverty in the country.
3. Analyse and describe the relevance of the programme in relation to other programmes to strengthen research capacity at the university, including funding from other donors.
4. Describe unintended effects, i.e. “spin-offs” from the research cooperation programme, good or bad, and factors that have accounted for these effects.
5. Assess the sustainability of research and research training at MAK if and when the research cooperation programme supported by Sida ends.

C. Institutional administration and research management

1. Describe the present research management system at the university, comparing it with the general situation at the start of the research cooperation programme and assess improvements since 2000 and problems that remain. Also describe why the problems remain.
2. Describe to what extent the research cooperation programme has contributed to improved research management. In what way has the capacity for policy/strategy development, financial administration, procurement, research management and research dissemination increased? How well is it suited to today’s global and changing environment?
3. Describe changes in the university strategies and priorities for research and research training, and ways in which the research cooperation programme has contributed to improving the strategically environment for research.
4. Describe ways in which the governance and organisational structure of the research cooperation programme and of the financial and research management, positively and negatively have influenced the development of research capacity within the programme.
5. Describe to what extent donor coordination has been implemented and/or improved from the side of the university, but also among donors to the university.

D. Research training

1. Analyse available institutional data as the basis for describing achievements in research training in the research cooperation programme in terms of outputs; number of students enrolled, general progress and number of graduated PhD and MSc students. Time needed for completion of PhD studies and reasons for having difficulties to finalize studies or leaving the programme.

2. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.
3. For understanding the effectiveness of the cooperation. To what extent and how has the research training contributed to the achievement of research project specific goals and objectives? has it influenced the overall research culture, the MSc and undergraduate training of the university? What are the reasons for achievements or non-achievements of project specific goals and objectives? What can be done to make the support more effective?
4. How has the research cooperation programme impacted on academic promotions at the university and to what extent has Post-doc³ training been conducted and how has these programmes been designed and executed?

E. Research capacity

1. Assess to what extent the programme has contributed to research capacity at the institution and in Uganda, as well as to creating a “critical mass” of competent researchers in specific areas.
2. Describe ways in which the research cooperation programme has contributed to viable and sustainable research environments, and elements of research environments that are not yet in place or likely to be sustainable.
3. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding? Describe the role and impact of the Faculty and University research funds?

F. Research environments and infrastructure

1. Asses the adequacy, functionality (use and maintenance) and impact of the research facilities (laboratories, Demographic Surveillance Site), equipment and infrastructure (ICT infrastructure and management and Library research and services) that the programme has contributed.

G. Research output

1. Asses the applicability of the research project results obtained from a Ugandan and developing country perspective.
2. Asses the research conducted and results obtained, in terms of publications in high ranking international scientific journals.

H. Collaboration

1. Asses to what extent regional and international long term research collaborations have been established and more specifically, how Ugandan and Swedish researchers have interacted and benefitted/or not, from them.

I. Relationship between funding and financial management to programme achievements

1. Could more results and better outcome have been achieved with the same resources?

³ PhD's graduating with support from the research cooperation programme.

2. To what extent can the costs of the research cooperation programme be justified by its results?
3. Should the resources allocated to the research cooperation programme have been used for other, more worthwhile, purpose within the bilateral research cooperation support to Uganda to produce a better outcome?

J. Gender mainstreaming

1. What has the impact been at the university level of the support to the Gender Mainstreaming Division?

Asses other considerations or viewpoints which may be of importance for the research cooperation.

5. RECOMMENDATIONS AND LESSONS LEARNT FOR THE FUTURE

The evaluation shall provide Sida with the following recommendations:

- How can present research cooperation with Uganda be improved and made more effective?
- How can the research cooperation's contribution to viable and sustainable research environments be further improved?
- How can the research cooperation's contribution to improved research management be enhanced?

The evaluation shall provide MAK with the following recommendations:

- How can the programme agreement be improved to ensure better performance by MAK?
- How can support to research at MAK be harmonised to ensure a better research environment at MAK?
- How can timely implementation of the projects in the programme be ensured?
- How can MAK play a stronger role in developing Uganda's research agenda?

The evaluations shall also include a section on lessons learned that include general conclusions that have a potential for wider application and use.

6. METHODOLOGY

The evaluation is seen as a process for learning and improvement and thus must be based on **participatory** evaluation methods. This implies that representative samples of stakeholders, e.g. PhD students, supervisors (both Ugandan and Swedish), the Steering Committee, shall be consulted through out the evaluation process and comment upon and validate the draft evaluation report before it is finalised. Comments should be considered before the final evaluation report is completed. The evaluation team should describe which groups that have been consulted and why they were selected.

Sida will provide necessary information and documentation to the evaluators about the programmes.

The methodology to be used must be identified and elaborated by the evaluators, but will include:

- Document review and analysis,
- Semi-structured interviews using interview instruments, with individuals and groups, in Uganda and Sweden,

- Focus group interviews,
- Surveys,
- Telephone communication and e-mails.

All conclusions should be supported by data and if not, it should be stated that the conclusions are based on the opinion of the authors.

The methodology used shall be described in more detail and annexed to the final report.

The evaluation should follow the DAC Evaluation Quality Standards⁴.

7. WORK PLAN AND SCHEDULE

The evaluation will be carried out between January and June, 2009. This is the suggested work plan.

Activity	Period	Date	Time duration						
			Original days ⁵			Additional days ⁶			
			JT	PF	EJ	JT	PF	EJ	NK
1. Preparations	Dec-Feb		10	10	15	-	10	-	10
2. Travel to Uganda	Feb-March	16/2-7/3 (PF) 23/2-9/3 (EJ) 1/3-13/3 (JT)	15	20	15	-	-	-	19
3. Interviews in Sweden	March	9-30/3	-	-	-	-	-	5	-
3. Report writing Draft report	April	15/4	5	-	-	10	30	15	-
4. Presentation of findings at Sida	May	20/5	-	-	-	1	1	1	-
5. Presentation of findings at MAK	June	2/6	-	-	-	6	-	6	1
6. Finalising Report	May-June	15/6				4	12	9	-
Total			30	30	30	21	53	36	30

8. REPORTING

A **draft evaluation report** should be submitted electronically to Sida no later than, 15 April, 2009. Two hard copies of the draft evaluation report must also be distributed to Makerere University and to the Embassy of Sweden in Kampala, no later than 15 April, 2009. Two **presentations** must be held where the draft report ought to be presented and discussed; one at Sida in the second half of May 2009 with participation of representatives from the Swedish collaborating partners and Sida and a second in Uganda with participation of the Ugandan stakeholders in June, 2009.

The **final evaluation report** shall be submitted to Sida no later than 15 June, 2009 in electronic form in Microsoft Word for Windows.

The Team will have the responsibility to develop the draft report and to conclude the final document to Sida. The report should be written in English and should not exceed 40 pages

⁴ Can be found at <http://www.oecd.org/dataoecd/30/62/36596604.pdf>

⁵ Included in contracts C75428 (EJ), C75429 (PF) and C75430 (JT) signed Dec 2005.

⁶ To be included in amendments of the above contracts from 2005. However, this does not pertain to a new contract to be signed with Mr Nelson Kakande.

excluding annexes. The evaluation report should also consider the report format presented in Annex B of the Sida Evaluation Manual “Looking back, moving forward” and a “Information to the Publication Database” form should be completed and submitted to Sida.

The evaluators should adhere to the terminological conventions of the OECD/DAC Glossary on Evaluation and Results-Based Management as far as possible. The report must begin with an Executive Summary and close with a section of Conclusions, Lessons learned and Recommendations.

Subject to Sida’s decision the report may be published and distributed within the Sida Evaluation series.

9. EVALUATION TEAM

The evaluation will be conducted by a team consisting of Eva Johansson (Swedish University of Agricultural Sciences), Phyllis Freeman (Centre for International Health, Boston University), Jerker Thorvaldsson (Freelance Consultant of Thorvaldssons Konsult- & Revisionsbyrå) and Nelson Kakande, Local Research Assistant. All in the evaluation team (except NK) have been part of a monitoring and evaluation team that has followed the research cooperation programme in Uganda since 2006 with the purpose to provide continuous scientific and financial monitoring of the research cooperation programme at MAK during the current agreement period (1 July 2005 to June 2009).

The monitoring was intended to assist MAK to:

- Increase clarity of planning/reporting documents,
- Improve reporting of research results and other outcomes, and
- Develop and institutionalize a continuous form of self-assessment of progress and challenges in strengthening research capacity.

The monitoring was intended to assist the Sida by:

- Providing yearly reports, independent of MAK, on progress within the programme, and
- Provide Sida with a final evaluation of the research cooperation programme at the end of the monitoring/agreement period.

APPENDIX B

Evaluation Study Inception: Participatory Process, Methods, Data, and Analysis

PART I: Schedule of Activities and Division of Labor of Evaluation Team

A. Evaluation Team Schedule of Steps and Division of Labor

2005

- Original Terms of Reference for Final Evaluation
 - Kept final evaluation in mind while monitoring, identify achievements, persistent problems, new challenges and opportunities as they arose

2008 – 2009

- Change of dates. In late 2008, Sida requested to change time of final evaluation from October 2009 to early spring 2009, in parallel with Sida's process of assessing Makerere University application for Phase III support.
- Evaluation Team (ET) responded by designating different members to different tasks and time periods based on availability on short notice in order to accommodate the revised schedule
 - Thorvaldsson: Had already reviewed most of the relevant financial material as of October 2008 Monitoring visit, as there were no new disbursements after that time. Thorvaldsson arranged schedule with SGS to prepare material for final report on financial matters. Proceeded with analysis of all financial elements, including management and governance for full accountability and toward linking budgeting to performance by researchers and research managers. Memorandum: Jerker Thorvaldsson preliminary list of issues for final evaluation, organized in Achievements, Persistent problems, newer opportunities and challenges, 19 Dec 2008. Then:
 - 1-13 March site visit
 - Summarized all interviews for Evaluation Team
 - Prepared text and appendices on financial matters and management
 - Edited text for first draft; second drafts.
 - Freeman:
 - October –December 2008. Compiled list of documents from 1999 forward, sent to ET to make additions.
 - Analytic preparation for final evaluation research elements started during drafting of final research monitoring report in October 2008 and continuing through 2008 with review of documents collected prior to the 2009 site visit;
 - January-February 2009. Preparation for Evaluation Team site visit to Makerere University through review of relevant methods literature, discussions with Sida and Evaluation Team members, advance work with colleagues at Makerere University on methods, priorities, scheduling, preparation of survey instruments for verifiable institutional profile data, etc. (principally Eli Katunguka, Director of SGS; Prof Edward Kirumira, Dean of Faculty of Social Sciences and social science methods expert; Ddembe Williams, Director of Quality Assurance to check alignment

with ongoing academic performance reviews required for national accreditation; Apolo Kyeune, representing the Steering Committee for the purposes of the survey to begin building a data base on research and graduate education to inform decision-making). Identified Research Assistant to join team (Nelson Kakande), and planned with him verification of Makerere University survey data (PhD students, MSc students and supervisor/senior scientists), selection criteria for those to invite to group interviews, and scheduling of Evaluation Team individual and group interviews. 9-10 February 2009 Visit to campus to finalize plans for ET site visit

- 16 February – 3 March 2009 interviews and data collection
 - Summarized every interview for ET
 - Prepared questions for all group interviews
 - First draft of main points for report
- March-April 2009: First draft of report text; drafting and editing of appendices for ET members decide priorities and shorten to 40 pages.
- End of May-June 2009: English language edit of final report after shortened version, and completion of appendices.

o Johansson:

- Jan –February 2009. Design of survey instrument for Swedish supervisor/senior scientist collaborators.
- February - March 2009 conducted survey and analyzed data from Swedish collaborators.
- 23 February – 8 March 2009 site visit; reviewed and revised questions for all group interviews; summarized all individual interviews.
- March 2009. Interviewed Swedish coordinators (traveled to conduct personal interviews); Analyzed data from School of Graduate Studies (2000 and 2008), and pursued individuals not having responded to survey Makerere University survey, then analyzed data for 90 of 94 identified PhD students.
- April 2009. Pursued students to respond and analyzed survey data for Msc students.
- April -May. Continued to pursue survey responses from senior researcher/supervisors at Makerere University.
- April. Edited/shortened first draft report, prepared appendices, posted on password protected SLU website for review by Sida and Makerere University colleagues.
- Preparation of appendices on baseline data, ISI contributions by participating groups, etc.
- May – June. Edited/shortened second draft of report.

o Kakande:

- January. Read background documents, worked on schedule planning and methods with Freeman by email, telephone. Worked with Apolo Kyeune and Freeman on Makerere University online survey template.
- February. Continued above; participated in planning meetings (in order of time) with Freeman, Nakyewa, Kirumira, Kyeune and Katunguka on 9-10 February; started scheduling interviews with individuals and groups for site visit. When site visit began on 16 February, Kankande continued to schedule ahead, and to call and confirm every appointment multiple times. Began collecting completed survey forms from Apolo Kyeune and entering data into program for analysis. Determined selection

priorities for scheduling of participants in group interviews with ET. Reviewed and revised questions for group interviews of MsC and PhD students and completers. Discussed concerns of students in group interviews to avoid creating any risks for participants; reviewed Evaluation Team summaries of all group interviews involving students to assure no identifying information presenting risk for participants would remain in drafts that might become part of the final report, or its appendices.

- March. Continued with all activities underway in February. When site visit ended, Kankande also pursued follow-up information from ET members upon request, for example with Finance Office on what external funders had contributed to Makerere University 2000 – 2008.
- April – May. Continued to follow-up information on request from members of the Evaluation Team.

B. Evaluation Team 2008-9 Schedule of Information Pursuit and Collection by Month

October - December 2008

- o Completed review of previously assembled documentation
- o Identified data elements for creating institutional profile of students enrolled at Makerere University and began planning with SGS and Steering Committee for data collection

January 2009

- o Review of Sida documents on requirements for final evaluations.
- o Consultations with Katunguka (SGS), Kirumira (FSS), Williams (QA), Kyeune (DICTS) on approach to final evaluation, gathering their perspectives and suggestions.
- o Engagement of Nelson Kakande to become ET Research Assistant as an independent contractor to Sida.
- o Telephone information-gathering interviews with Cristina de Carvalho Erickson (Sida on goals and history and contacts in other development partners and foundations), Prof. Eli Katunguka (on development of research management at SGS and arrangements with multiple granting organizations working with Makerere University), Claudia Fratelli (Carnegie Corporation)
- o Collaboration with Makerere University on preparation of survey instrument for data collection by Makerere University
- o Preparation of survey instrument for Swedish collaborators
- o Identification of key informants in participating units and others with information about different models of PhD education and research support at Makerere University, including systems for managing grants and contracts
- o Identification of categories of participants to interview for information and/or for perspectives and insights
- o Identification of categories of participants to interview in groups for experience and insights
- o Selection criteria for participants and for make up of each group
- o Identification of individuals to interview for validation of group interviews
- o Drafting of planning documents including summaries of all considerations

• February 2009

- o 9-10 February: Planning meetings (Freeman) with Nelson Kakande (scheduling), Apolo Kyeune (data organizing for Steering Committee), Prof Kirumira (on methods), Prof Katunguka (on approach, schedule)
- o Preparation of survey instrument for online survey of Swedish collaborators
- o Start of Site visit, 16 Feb
- o Individual interviews (see Appendix to Final Report with lists)
- o Kakande began entering Makerere University survey data into program for analysis
- o Attempted to complete lists of students (Masters and PhD), supervisors and senior scientists – never entirely successful identifying all participants, and less successful locating up to date contact information
- o Applied selection criteria to potential participants in group interviews and invited participants, conducted group interviews, validated with individual interviews
- o Started analysis of qualitative data
- **March 2009**
 - o Continuation of site visit until 13 March
 - o Continued data entry of Makerere University survey results into program for analysis
 - o Conducted online survey of Swedish collaborators and analyzed results
 - o Conducted interviews with Swedish Coordinators, analyzed results
 - o Followed up to increase response rate and analyzed data from online surveys by Makerere University (PhD students, PhD completers)
 - o Began drafting report elements: text and extensive appendices (30 appendices at start, to be reduced with further development of final report)
- **April 2009**
 - o Continued data collection, entry, and analysis activities from March
 - o Followed-up up to increase response rate and analyzed data from online survey by Makerere University (Masters students)
 - o Continued to draft report elements, exchange, edit
- **May 2009**
 - o Still following up survey requests to senior researcher/supervisors at Makerere University]
 - o Continued to draft report elements, exchange, edit
 - o Prepare final set of appendices

GROUP INTERVIEWS: Process to protect interviewees from identification on statements of opinion

Freeman drafted questions for each group interview—intended to supplement other data sources. Sent for comments to Nelson Kakande on scope, content, way of asking, Catherine Kanabahita Guma for Gender Mainstreaming (added good questions, e.g. to focus on why delay in completion times). EJohansson made final review just before interviews, and decided on final set of questions and order. During interviews, Freeman took extensive notes and summarized; Johansson redid without identifying information, sent to Kakande for review to assure protection of members of group from identification, sent back to Johansson to finalize, Freeman to edit.

Terms of Reference for Final Evaluation: Complete draft to ET, 2 February 2009; updated, 20 April 2009, final

PART II: BACKGROUND

A. Methods, Preparation for Site Visit, 2008 – 2009

2008

- o November-December. Review of all project documents
- December 2008.
 - o 10 Dec Review of literature on methods—selection of several key items for distribution to ET (Freeman):
 - On participatory research:
 - www.enterprise-impact.org.uk/word-files/ParticMethods.doc
 - <http://www.scn.org/cmp/modules/par-tech.htm>
 - http://findarticles.com/p/articles/mi_qa3800/is_199907/ai_n8833427/print?tag=artBody;col1
 - On research Impact analysis (see Appendix in Final Report with all impact analysis—based on the methods here)
 - Shyama Kuruvilla¹, Nicholas Mays², Andrew Pleasant³ and Gill Walt⁴ Describing the impact of health research: a Research Impact Framework, BMC Health Services Research 2006, 6:134 <http://www.biomedcentral.com/1472-6963/6/134/>
 - Shyama Kuruvilla, Nicholas Mays, Gill Walt. Describing the impact of health services and policy research. Department of Public Health and Policy, London School of Hygiene and Tropical Medicine, London, UK. Journal of Health Services Research & Policy. Vol 12 Suppl 1, 2007: 23–31 The Royal Society of Medicine Press Ltd 2007
 - o 14 Dec 2008. Freeman memo to ET #1: about data for assembling Makerere University Institutional Profile of graduate education and research--this year, and some more ambitious hopes for the future
 - o 19 Dec 2008. Thorvaldsson memo to ET: Achievements, Persistent problems, newer opportunities and challenges,

B. 8 January 2009 Evaluation Team Summary: Preparation for Evaluation:

PART A

BASIC INFORMATION TO GATHER FROM DOCUMENTS AND SURVEYS; AND SOURCES/APPROACHES for INTERVIEWS

Section I: BASIC 'institutional' DATA: Information from Mak U

for basis of evaluation: about PhD education, research, and management of both

I. PhD education

- A. All PhD students from Phase I and II,
- B. Completed PhDs
- C. MA, diploma students or other students supported by the program
- D. Coordinators, PI's and PhD Supervisors at Makerere University
- E. Cross-cutting courses at Makerere Univ.

II. Research by faculty other than PhD candidates

- A. Names of all faculty researchers conducting studies using funds from Sida
- B. Publications
- C. Research funds

III. Research Infrastructure

- A. Physical plant – on campus in Kampala
- B. Physical plant – field stations
 - 1. Research Administration
 - 2. Inventory of people, positions, responsibilities, training/experience in managing research, dates of

start-up with positions/research management responsibilities:
 Section II. SURVEYS: paper or online about PhD Education
 A. At Makerere U B. In Sweden

PART B

INTERVIEWS BY RESEARCH AND FINANCIAL Members of ET

Section I: Interviews by research monitors

- A. Interviews of Individuals
- B. GROUPS:

Section II. Interviews on financial aspects/by financial monitor

PART C

SUMMARY STATEMENTS OF WHAT WE ARE HOPING TO LEARN FROM EACH SORT OF INFORMATION/APPROACH/SOURCE.

1. About effectiveness, impact, relevance, sustainability, efficiency of Sida support to Mak U and to Swedish collaborators to work with Mak U towards 'research-driven university' able to make significant contributions to development of Uganda/reduction of poverty
2. 2. More generally, about the evolution of graduate education at Mak U since 2000
3. 3. About evolution of research
 About organization and administration of research education and research and research environment—all those participating in research administration in any way

B. For (MA? and) PhD education:

- C. Research

PART D

KEY RESEARCH QUESTIONS FOR EVALUATION 2000-2008

(use at least 2 frameworks—Sida evaluation 5 topics + monitoring of achievements, progress towards solving 'persistent problems', identification of and action on newer opportunities and challenges)

C. 15 January 2009 Memo: Information Sources, Types of information, Scope of Evaluation, and Methods

I. Types of Information and Sources

- A. Documentation from all sources:
- B. Factual information subject to verification

1. Information (also principally from Makerere University and Ugandan sources) to provide context for understanding the Sida support to build research capacity at Makerere University within the university's overall efforts to advance graduate education (particularly doctoral level research programs), research environment, research and management of all.
2. Information (also principally from Makerere University and Ugandan sources) to provide context for understanding the Sida support to build research capacity at Makerere University within the university's overall efforts to advance graduate education (particularly doctoral level research programs), research environment, research and management of all.
3. Information about finances (in Sida budget; CC's ToR also asks for comparison to other research/graduate education collaborations): total amounts in agreement documents for each Phase and each year; amounts actually disbursed from Sida during each Phase, and each year to Makerere University, Swedish universities or collaborators; amounts expended; amounts held over for future use each year; amounts accounted for; amounts unspent/returned to Sida (Phase 1); and amounts remaining.
4. About financial investments/systems for managing funds for other doctoral and research programs on campus.

C. Perceptions and insights of participants and informants at Makerere University and from Swedish universities (through interviews)

- A. Of Makerere University personnel who have been involved in some way in Phases I and II

1. Of those across the Makerere University campus who have been involved in other programs of graduate education and research, as a basis for comparison between the approach of Sida versus others. Graduate programs and research programs supported by other external partners, graduate programs (especially doctoral programs). Participants/informants to be identified soon.
2. At Swedish universities collaborating in supervision of supervisors, PhD students, and research
3. Sida (Stockholm and Uganda) and Swedish Embassy staff (in Uganda) for background information on history of the collaboration
4. Sources of support for research beyond Sida, Ugandan and international: Norad, Carnegie, Rockefeller, etc.; Ugandan government, industry
5. Other stakeholders:

II. Categories and Scope of Information to be gathered from interviewing individuals and groups:

- A. About graduate education
- B. About Research
- C. About management of graduate education
- D. About Research Capacity:

III. Elements of evaluation, methods, and division of labor among ET members through final report

- Questions for individual interviews drafted in advance where interviews of multiple persons with comparable responsibilities (e.g. Coordinators/Deans), shared between research members of team (Freeman, Johansson)
 - o Focus group discussions:
 - PhDs candidates recently through defense or completed degree (Freeman & Johansson);
 - PhD students in process; (Freeman & Johansson)
 - Masters' students in process with scholarships through Gender Mainstreaming Division; (Freeman & Johansson)
 - Senior researcher/supervisors; (Freeman & Johansson)
 - Unit accountants (Freeman & Thorvaldsson)
 - Steering Committee and SGS (3 March: Freeman, Johansson, Thorvaldsson)
 - Feedback session (6 March: Johansson, Thorvaldsson)
 - o Questions for focus groups drafted in advance (Freeman), sent for review to Johansson and Kakande
 - o List of those to interview prepared in advance

D. Research Monitors' Foundation for 2009 Evaluation: ISSUES that arose, 2004-2008 (excerpted from Research Monitors reports 2004-2008—available on request)

Attachment 4.

Attachment #1

14 December 2008—Freeman in anticipation of ET telephone meeting:

Reviewed:

1. Material sent by Sida about final evaluation: Goals from Phase 2, Matrix for Phase 3, sample report on Sri Lanka/Vietnam (*ask Cristina about relevance*)
2. All Monitoring Reports (excerpted key portions as basis for final evaluation)
3. Consulted methods specialist for evaluation research
4. Considered 'ideal' information base for final evaluation
5. Listed basic information that could be assembled by SGS (maybe with some research assistance?) by the end of January 2009 (see below)
6. Considered elements of report (and relation to what is above):

- a. Purpose(s) of final evaluation (need to learn from Cristina about purposes AND preparation for Phase 3—will SGS request funds for M&E, and if so, will staff be drawn from Mak U—or will someone(s) from outside come in—and if so, what knowledge, involvement in self-evaluation of research & PhD education at Mak U?)
 - b. Methods: Work toward consistency of methods in monitors' annual reports, final evaluation, and university approach to self evaluation
 - i. SGS assembly of core information/data (see below)
 - ii. Review of documents:
 - Achievements in 5 year period (same sources here for i-v)
 - Review Annual Activity Plans and Progress Reports (how many of these do we still have, or are easy to get from SGS?)
 - Review monitors' annual reports (pf will do before end of January—use 2004 pilot monitoring issues list and summaries as baseline). Review includes documents gathered each year (do we have those that appear more important when pf reviews in Dec-Jan; or will they easy to get on campus?)
 - iii. Interviews -- groups:
 - Groups of 6-12, similarities in rank/power, differences in characteristics to include range of perspectives (gender, age, ethnic identity, field, areas of research *fill in list*)—potential groups:
 - o Steering Committee (coordinators and deans/directors—how many if all? How many SGS in same group—Eli, George, Cristine, Mary=4 so more than one group?)
 - o “research administrators” (below coordinators)
 - o PhD students (not yet completed)
 - o PhD completed in this collaboration
 - o Supervisors
 - o Senior researchers (conducting research using Sida funds—outside of supervision)
 - o Others?
 - Interviews--individuals
 - o Decide once we see how we can formulate groups, and which approach to interviews
- Approach for interviews:
- “list and rank” exercises: participants **list** most important topics under each heading, then **rank** importance
 - mapping exercises: monitors offer chart/graphic showing evolution from our observations, participants comment: elaborate, differ, qualify, etc.
- c. Topics (consider scope of issues to cover—or see what emerges in interviews—potential to compare what emerges to history from our monitoring reports and other documents. I have worked on this—and there is a huge number of potential topics—I will continue working on this and come up with a proposal of what to include—in follow up questions if we do list and rank; as part of what we “map” as a starting place for discussions if we do a mapping approach)
 - **On campus/from campus participants**
 - i. Achievements

- ii. Progress or problems in addressing “persistent problems”
- iii. New opportunities emerging during Phase 2—steps taken, status
- iv. New challenges emerging during Phase 2—steps taken, status
- v. Development of vision of future (importance and role of research, desired impact, steps toward achieving desired impact)—evolution during Phase 2
- ***And from any players other than those on campus?***
 - i. Ugandan government bodies
 - ii. Stakeholders in university research: industry, communities, professional groups, other funders of research/development partners, others?

Information for SGS to assemble re Phase 2:

PhD education:

- A. PhD students (organize by unit, by research group within unit—share themes):
 - 1. Name, start date—*which date to use—full registration or earlier?*
 - 2. Female or male
 - 3. Where registered (Makerere University, Swedish University, joint, other)
 - 4. Supervisors (at Mak U, in Sweden, other)
 - 5. Thesis title, date of submission, date of defense, date degree awarded
 - 6. Papers published in peer review journals (full citations)
 - 7. Key research findings and implications (for field/discipline, practice, utility in Uganda, PEAP)
- B. Cross cutting courses at Makerere University:
 - 1. Name, # of times and dates offered (Phase 2 only—of Phase 1 for comparison?)
 - 2. Participating faculty and roles (Makerere University and Sweden)
 - 3. Enrollment
 - 4. Syllabi (for each offering if changed—to show evolution)
 - 5. Course evaluations
- C. PhDs completed (from Phase 1 forward, organize by unit, by research group within unit—share themes, *Sida/sarec supported only?*):
 - 1. In addition to information in IA above, add:
 - a. position/rank as of end of 2008
 - b. post doctoral research funds and source
 - c. any supervision of MA or PhD students since completion of PhD
- D. PhD supervisors at Makerere University (other than those included above as grads of Phase 1 or 2?):
 - d. Name, unit, position (rank and any administrative titles as well as academic)
 - 2. Date of highest degree and institution where highest degree granted
 - 3. Date of first employment at Makerere University, academic rank/position at start, any administrative, other roles at start
 - 4. Date of first involvement in Sida/sarec collaboration
 - 5. PhD students supervised (in Sida collaboration only, or all; also MA students?)
- E. PhD supervisors in Sweden (who has information?)
- F. PhD program administration:
 - 1. Central Administration: DVA AA, DVA F&A
 - 2. At SGS
 - 3. In units
 - 4. Sida

II. Research by faculty other than PhD candidates

- A. Identify all faculty researchers conducting studies using funds from Sida:
 - 1. Senior researchers (unit, on funds allocated to a unit, or by application by individual to faculty fund pool of funds awarded by competition, never allocated to a unit)
 - 2. Postdoctoral researchers
 - 3. Other?
- B. Publications: list all by PhD students and/or senior researcher/supervisors using any Sida funding? (including those based on more than this one source of funds)
- C. Research funds

II. Research Infrastructure

- A. Physical Plant—on campus in Kampala
 - 1. Laboratories—list (cross cutting, GIS, others?)
 - a. Equipment
 - b. People trained to maintain equipment
 - c. Use of facility
 - 2. Computers and Internet
 - a. DICTS
 - b. in/by units
 - 3. Library
 - a. resources
 - b. accessibility
 - c. utilization
 - 4. Offices, meeting, administrative spaces
- B. Physical plant: field stations
 - a. School of PH: DSS
 - b. Faculty of Agriculture:
 - c. Faculty of Technology:
 - d. Other?
- C. Research collaboration (growth of groups/addition of new collaborators from within university, Sweden, elsewhere)
 - a. ‘Baseline’—how were researchers organizing their work, collaboration, sources of support?
 - b. Current status
 - c. Process from 2004/5 until now

Within this: look at generating research ideas, preparing proposals (including any preliminary literature reviews, field work, consultation with potential collaborators); success in attracting support (including what sorts: competitive grants, contracts, use of equipment, access to populations, specimens, research assistance...), collaborators in which parts—field work, analysis, preparation of manuscripts, dissemination to interested parties other than other researcher/academics

- D. Use of research and research experience in supervision, teaching?
- E. Contributions of research/supervision/graduate teaching to achieving a “research-driven” university capable of making major contributions to development of Uganda, reduction of poverty?

1. Work on a realistic schedule to see how much we can fit in 2 weeks on campus each (overlapping for at least 8 days) and 2 weeks of review of documentation and writing after the campus visit.
2. Confirm schedule for site visit and drafting of report:
 - Freeman on campus from 16 Feb through 22 Feb alone—preparing group activities, doing some individual interviews, gathering documentation
 - Freeman & Johansson on campus together from 23-27 Feb together,
 - Overlap all team: pf, EJ & JT 1-3 March
 - Johansson & Thorvaldsson 4-7 March
 - Thorvaldsson 7-13 or 14 March
 - Report writing, review, finalize
3. Prepare outline for process, scope of evaluation and come to agreement on participant characteristics for groups, individuals to interview, approach and questions.
5. pf set out desirable aspects of finances that research monitors' would like Jerker to analyze if possible:
 - cost per PhD completed—and at different points in time?
- o Late December 2008. Consultations among members of ET and Sida in preparation for data collection (identifying key data elements for start of 'institutional profile on research and PhD education), Terms of Reference, and engagement of Uganda-based research assistant.
 - o 21 Dec Conference call (Cristina de Carvalho, P Freeman, E Johansson, J Thorvaldsson)
 - o 28 or 9 December email on data elements from CC to Makerere University

2009

- **January**
 - o Review of Sida documents on requirements for final evaluations.
 - o Consultations with Katunguka (SGS), Kirumira (FSS), Williams (QA), Kyeune (DICTS) on approach to final evaluation, gathering their perspectives and suggestions.
 - o Engagement of Nelson Kakande to become ET Research Assistant as an independent contractor to Sida.
 - o Telephone information-gathering interviews with Cristina de Carvalho Erickson (Sida on goals and history and contacts in other development partners and foundations), Prof. Eli Katunguka (on development of research management at SGS and arrangements with multiple granting organizations working with Makerere University), Claudia Fratelli (Carnegie Corporation)
 - o Collaboration with Makerere University on preparation of survey instrument for data collection by Makerere University
 - o Preparation of survey instrument for Swedish collaborators
 - o Identification of key informants in participating units and others with information about different models of PhD education and research support at Makerere University, including systems for managing grants and contracts
 - o Identification of categories of participants to interview for information and/or for perspectives and insights
 - o Identification of categories of participants to interview in groups for experience and insights
 - o Selection criteria for participants and for make up of each group (pf check wording in 10 Dec prep notes)
 - o Identification of individuals to interview for validation of group interviews

- o Drafting of planning documents including summaries of all considerations:
- **January:** Jerker Thorvaldsson preliminary list of issues for final evaluation, organized in Achievements, Persistent problems, newer opportunities and challenges, 19 Dec 2008
- **February 2009**
 - o 9-10 February: Planning meetings (Freeman) with Nelson Kakande (scheduling), Apolo Kyeune (data organizing for Steering Committee), Prof Kirumira (on methods), Prof Katunguka (on approach, schedule)
 - o Johansson preparation of survey instrument for online survey of Swedish collaborators
 - o Start of Site visit, 16 Feb
 - o Kakande began entering data into program for analysis
- **March 2009**
 - o Continuation of site visit
 - o Kakande began entering data into program for analysis
 - o Johansson conducted online survey
 - o Johansson conducted interviews with Swedish Coordinators
 - o Johansson followed up to increase response rate and analyzed data from online surveys by Makerere University (PhD students, PhD completers)
- **April 2009**
 - o Kakande began entering data into program for analysis
 - o Johansson followed-up up to increase response rate and analyzed data from online survey by Makerere University (Masters students)
- **May 2009**
 - o Johansson still following up survey requests to senior researcher/supervisors at Makerere University

APPENDIX C

Site Visit Schedule with All Persons Met

Monday/Tuesday 9-10 February 2009	Planning meetings to confirm plan and site visit schedule	
	Ms. Mary Nakyewa (Accountant, Coordinating office) Mr. Apolo Kyeyune (data collection, Steering Committee) Prof. Edward Kirumira (Dean, FSS—methods review) Prof. Eli Katunguka (Director, SGS, Coordinating Office)	Phyllis Freeman and Nelson Kakande – meetings and scheduling interviews for 16 February – 13 March 2009 site visit
Monday 16 February 2009	SITE VISIT Person Interviewed and Contact Information	Person who interviewed or Facilitated the Focus Group Discussion
9:00 am -10:3045 am	Prof. Wabwire J University Planning and Development Department (PDD) Lincoln Flats Flat C1 Telephone: 0782406319	Interview conducted by Phyllis Freeman
11: 00 am - 12:00	Prof. Eli Katunguka Director, School of Graduate Studies (SGS) Level Four Senate Building Telephone: 077754685	Confirmed and Interview conducted by Phyllis Freeman
12:00 -1: 40 pm/2pm	Dr. George W. Nasiyama Deputy Director for Research, SGS Post Graduate building Senate Building Telephone: 0772492865	Interview conducted by Phyllis Freeman

2:15pm - 3: 20 pm	Prof. Nakanyike B. Musisi Director Makerere Institute of Social Research (MISR) Telephone: 0772465220 Office: 0414 554582	Interview conducted by Phyllis Freeman
3 : 30 - 4: 20pm	Prof. Ddumba Sentamu Dean Faculty of Economics and Management Telephone: 0772387572 Office: 0414 530115/532356	Interview conducted by Phyllis Freeman
4: 30 – 5: 30 pm	Jude T. Lubega Deputy Dean for Graduate Education and Research Faculty of Computing and Information Science (CIT) c/o - Ronah at Office of Dean V. Barya Baryamureeba rarinanye@cit.mak.ac.ug or 0772 572454	Interview conducted by Phyllis Freeman
Tuesday 17 February 2009	Person Interview and contacts	Person who interviewed or Facilitated the Focus Group Discussion
	Prof. Kirumira Edward Dean Faculty of Social sciences Telephone: 0752767439	Interview conducted by Phyllis Freeman
	Ms. Catherine Kanabahita Guma, Director and Frances Nyacho Gender Mainstreaming Division Senate building 3 rd floor Telephone: 0772508476 fnyachwo@acadreg.mak.ac.ug	Interview conducted by Phyllis Freeman
	Dr. Ddembe Williams Acting Director of Quality Assurance E-mail: dwilliams@qad.mak.ac.ug Telephone: Telephone: 0782570594	Interview conducted by Phyllis Freeman

	Prof. Remigius Bukenya-Ziraba Main Project Coordinator NUFU-Linkage, Makerere University Telephone: 0712 803641 nufu@projects.mak.ac.ug	Interview conducted by Phyllis Freeman
	Dr. Vincent Ssembatya Dean, Faculty of Science	
Wednesday 18 February 2009	Person Interview and contacts	Person who interviewed or Facilitated the Focus Group Discussion
	Prof. Paul Waako Department of Pharmacology School of Medicine College of Health Sciences pwaako@med.mak.ac.ug	Interview conducted by Phyllis Freeman
	Dr. Ann Katahorire Director Child Health and Development Centre Makerere Telephone (Office) 04141- 541684/530325	Interview conducted by Phyllis Freeman
	Prof. Seggane Musisi College of Health Sciences Department of Psychiatry segganemusisi@yahoo.ca	Interview conducted by Phyllis Freeman
	Mr. Apolo Kyeune DICTS	Interview conducted by Phyllis Freeman
Thursday 19 February 2009	Person Interview and contacts	Person who interviewed or Facilitated the Focus Group Discussion

	Prof. Fred Wabwire College of Health Sciences MU School of Public Health fwabwire@infocom.co.ug	Interview conducted by Phyllis Freeman
	Prof. David Serwadde Dean, MU School of Public Health and Dr. William Bazeyo Deputy Dean	Interview conducted by Phyllis Freeman
	Mr. Edward Galiwango Makerere University School of Public Health DSS Field Station Manager Telephone: 0772 458233 egaliwango@musph.ac.ug	Interview conducted by Phyllis Freeman
	Dr. Christine Dranzoa Deputy Director (for graduate education) School of Graduate Studies	Interview conducted by Phyllis Freeman
Friday 20 February 2009 (holiday)		
Sunday 22 February 2009 10:30 a.m. – 12:30 p.m.	Prof. Nelson Sewankambo Acting Principal College of Health Sciences sewankam@infocom.co.ug	Interview conducted by Phyllis Freeman
Monday 23 February 2009	Person Interview and contacts	Person who interviewed or Facilitated the Focus Group Discussion

	Dr. Moses Joloba College of Health Sciences Department of Microbiology Telephone: 0782752582 m.joloba@gmail.com	Interview conducted by Phyllis Freeman
	Prof Charles Rawbukwali Faculty of Social Sciences	
Tuesday 24 February 2009	Focus Group Discussion at Gender Mainstreaming Division - Academic Stream, Masters Students	Focus Group Discussion Facilitated
	Wanzala Sylvia Nakamy Mary Frances Rita Nabachwa Nalubega Rebecca Syedde Sarah Tegule Tindyebwa Teddy Mary Mutiibwa Nankya Lois	Facilitated by Phyllis Freeman and Eva Johansson
Tuesday 24 February 2009	Focus Group Discussion at Gender Mainstreaming Division - Administrative Stream, Masters Students (and one PhD candidate)	Focus Group Discussion Facilitated
	Kabanda Dorothy Nanozi Hayoko Joyce Mukama Proscovia Helen Musanabera Naigaga Milly Irene Naggayi Eva Nalubowa Norah Nabirye Harriet	Facilitated by Phyllis Freeman and Eva Johansson
Wednesday 25	Focus Group Discussion with Students who completed PhD on	Focus Group Discussion

February 2009	Sida Support	Facilitated
	Dr. Justine Nambi-Kasozi Dr. Bagampadde Umaru Dr. Hakim Sendagire Dr. Williston Winstons Muhwezi Dr. Lynn Atuyambe Dr. Dan K. Kaye Dr. Joshua Tugumisirize Dr. Josaphat Byamugisha K. Dr. John Baptist Kirabira Dr. Assumpta Nnagenda –Musana Dr. William Ekere	Facilitated by Phyllis Freeman and Eva Johansson
Thursday 26 February 2009	Focus Group Discussion with PhD continuing Students (all men)	Focus Group Discussion Facilitated
	Swizen Kyomuhendo Mr. Bateganya Fred Mr. Frank Kizito Mr. Kizza Michael Mr. Kalibbala Herbert Mpagi Mr. Peter Walekhwa Mr. Katongole Constantine Bakyusa	Facilitated by Eva Johansson
Thursday 26 February 2009	Focus Group Discussion with PhD continuing Students (all women)	Focus Group Discussion Facilitated
	Ms. Sarah Kamya Ms. Solome Kweyunga Ms. Lillian Namuganyi Ms. Rose Namubiru Kirumira Ms. Sylvia Katende Nabiteko Ms. Tumuboine Rwere Mary	Facilitated by Phyllis Freeman

	Dr. Beyeza Jolly Kashesya Dr. Noeline Nakasujja	
Friday 27 February 2009	Focus Group Discussion with students' supervisors	Focus Group Discussion Facilitated
	Prof. Samuel Kyamanywa Prof. Felix Bareeba Dr. Charles Bwana Prof. Grace Bantebya K Dr. E. Lugujjo Prof. Sandy's Tockodru-Togboa Dr. Nassanga Goretti Linda	Facilitated by Phyllis Freeman and Eva Johansson
	Interviews	
	Dr. George W. Lugalambi, Head, Mass Communication (in Faculty of Arts) Dr. Monica B. Chibita Dr. Nassanga Goretti Linda	Interview by Phyllis Freeman
	Prof. Jasper Ogwal-Okeng Department of Pharmacology School of Medicine, College of Health Sciences jogwal@med.mak.ac.ug 0 712 389 888	Interview by Phyllis Freeman
	Prof. Venansius Barya Baryamureeba Dean, Faculty of Computing and IT, 0712 874925	Interview by Phyllis Freeman
Monday 2nd March 2009	Focus Group Discussion unit accountants	Focus Group Discussion Facilitated

	Mr. Sam Kwesiga Ms. Christine Nandugga Mr. Henry Amanyia Mr. Paul Kiggundu Ms. Mirembe Jane Mr. Kalungi James Ms. Sajjabi Enid Ms. Susan Sekasi Mr. Peter Mubiru-Finance Office Ms. Nakyewa Mary-SGS Coordinating Office	Facilitated by Phyllis Freeman and Jerker Thorvaldsson
Monday 2nd March 2009	Group Discussions with Steering Committee and SGS senior staff	Focus Group Discussion Facilitated
Service unit representatives: Group 1, 9:00-10:30	Mr. Apolo Kyeyune, DICTS Ms. Catherine Kanabahita Guma, Gender Mainstreaming Division Liz Nassali State, Library Galiwango Edward, DSS	Facilitated by Phyllis Freeman, Eva Johansson, and Jerker Thorvaldsson
Academic unit representatives: Group 2: 10:30-12:00	Prof. Barnabas Nwangwe, Chair, Dean, Faculty of Technology Dr. Charles Bwana, Faculty of Social Sciences Dr. George W Lugalambi, Mass Communication, Faculty of Arts Dr. Mackay Okure, Faculty of Technology Mr. Galiwango Edward, DSS (MUSPH) Dr. Ronald Kiguba, Lecturer, Dept of Pharmacology, School of Medicine	Facilitated by Phyllis Freeman, Eva Johansson, and Jerker Thorvaldsson
SGS representatives—for both Groups 1 and 2	Prof. Eli Katunguka, Director Dr. George Nasinyama, Deputy Director for Research Ms. Mary Nakyewa, Accountant	
Sunday 1 March 2009	Meeting Evaluation for the evaluation team	Discuss work plan

	Prof. Phyllis Freeman Dr. Eva Johansson Mr. Nelson Kakande Mr. Jerker Thorvaldsson	
Monday 2nd March 2009	Person Interview and contacts	
Monday 2 March 2009	Prof. Elly Sabitii, Faculty of Agriculture Dr. Mackay Okure, Faculty of Technology	Interview by Eva Johansson
	Mary Nakyewa, Accountant/Administrator Makerere University, School of Graduate Studies, Sida Program.	Interview by Jerker Thorvaldsson
	Prof. Eli Katunguka-Rwakishaya, Director. School of Graduate Studies	Interview by Jerker Thorvaldsson
	Dr. Maria Musoke, University Librarian and Ms. Liz Nassali State	Interview by Phyllis Freeman
Tuesday 3 March 2009	Steering Committee I Steering Committee II	Interview by Jerker Thorvaldsson
Wednesday 4 March 2009	Mr. John K.W. Wabwire, Planning Director, Planning and Development Department Ms. Margaret Abuze – Secretary, NUFU Project, Central Coordinating Office	Interview by Jerker Thorvaldsson
Wednesday 4 March		

2009	Dr. George Nasinyama, Deputy Director, SGS Dr. JS Tenywa, Faculty of Agriculture Mr. Moses Musinguzi, GIS lab	Interviews by Eva Johansson
	Mary Mabweijano, Senior Programme Officer, Norwegian Embassy Björg Leite, Ambassador, Norwegian Embassy	Interviews by Eva Johansson and Jerker Thorvaldsson
Thursday 5 March 2009	Peter Miburu Finance Department Enid Sajjabi, Accountant, Faculty of Social Sciences Moses Ntahobari Turyomurugyendo, Certified Public Accountant, Shore Partners	Interviews by Jerker Thorvaldsson
Thursday 5 March 2009	Dr. JS Tenywa, Fac of Agriculture	Individual interview by Eva Johansson
Friday 6 March 2009	Dr. Richard Edema, Ruforum and Prof Adepala, Ruforum	Interviews by Eva Johansson
Friday 6 March 2009	Presentation and discussing preliminary findings and discussion with selected makerere university staff (23 persons attended as indicated below)	Presentation and discussion of preliminary findings
	Dr. George Nafinyama. School of Graduate Studies Dr. Monica B-Chibita, Senior Lecturer, Mass Communication Dr. George Lugalambi, Senior Lecturer, Mass Communication Dr. Mackay Okure, Coordinator, Faculty of Technology Dr. Nassanga Goretti, Senior Lecturer, Mass Comm Dept Mr. Edward Galiwango, MUSPH & DSS Ms. Enid N Sajjalo, Accountant, Faculty of Social Sciences	

	Ms. Christine Naduggam Accountant, Library Ms. Harriet Kabanda, Research Assistant, SGS Prof. Samuel Kyamanywa, Senior Researcher & Dean Faculty of Agriculture Prof. Elly Sabiiti, Coordinator/Senior Researcher, Faculty of Agriculture Ms. Maria L N Mibre, Coordinator, Library Ms. Francis Nyachwo, Gender Mainstreaming Division Ms. Catherine Karabahta. Gender Mainstreaming Division Mr. Omolo Fredrik Okalebo, PhD Student, Faculty of Technology Dr. Catherine Abbo, PhD Student, Medicine Dr. Janet Nakasujja, PhD Student, Fac of Medicine Dr. Noelene Nakasujja, PhD Student, College of Health Studies Dr. Donsolata Kebonesa, Senior Researcher/Head, WhS Fac Social Sciences Mr. Nelson Kakande, Evaluation Team, Research Assistant on evaluation team Ms. Mary Nakyewa, SGS, Accountant/Administrator, Makerere University Sida Program	Presentation and discussion led by Eva Johansson and Jerker Thorvaldsson
Monday 9 March 2009	Persons interviewed	Individual interviews
	Mr. Paul O'Keefe, Planning and Development Department Mr. Levi Wilson Tushabe, Procurement Manager, Procurement and Disposal Unit Mr. Ndyamuba Milton, Procurement Officer, Procurement and Disposal Unit Mr. Apolo Kyeyune, DICTS	Interview by Jerker Thorvaldsson

	Mr. Joseph Kimaili, DICTS Ms. E.N. Sabiiti, Professor, Faculty of Agriculture Mr. Albert Muhumuza, Faculty of Agriculture Prof. Samuel Kyamanywa, Dean, Faculty of Agriculture	
Tuesday 10 March 2009	Mr. Alexis Tugume, Project Assistant, Faculty of Technology Mr. Henry Amany, Fac of Technology Ms. Enid N Sajjala, Accountant. Faculty of Science	Interviews by Jerker Thorvaldsson
Wednesday 11 March 2009	Dr. Gerald Eilu, Plant Ecology & Biodiversity, Fac of Forestry & Nature Conservation Mr. Eng. Balimunsi Hussein K, Forest Harvesting Technology, Fac of Forestry & Nature Conservation Mr. William Lutalo, Asst Computer Technician, Fac of Forestry & Nature Conservation Dr. Charles Ibingia, coordinator, Faculty of Medicine Ms. Caroline W. Amito, Business Solutions Specialist, Akiliafrica Mr. Julius Systems Specialist, Akiliafrica	Individuals interviewed by Eva Johansson
Thursday 12 March 2009	Ms. Catherine Kanabahita Guma, Deputy Registrar/Head, Gender Mainstreaming Division Dr. George W Pariyo, Senior Lecturer/Head – Dept of Health Policy.	Individual interview by Jerker Thorvaldsson

	School of Public Health Mr. Edward Galiwango, MUSPH – DSS Mr. Katungi James Kamanje, Accounts Asst, IgangaImayuge DSS Mr. Aikin Mike Angvilia, Auditor General’s Office Mr. Omagor Michael Okello, Auditor General’s Office Mr. Kasigwa Gerald, Auditor General’s Office Mr. Ben K Byambabazi, Makerere University	
Friday 13 March 2009	Christine Dranzoa, Deputy Director, School of Graduate Studies	Interview by Jerker Thorvaldsson

APPENDIX D

Documents Reviewed

(Includes official documents and informal ones, sometimes undated; some listed by date of issue, some by when gathered by Evaluation Team)

1996

- Guidelines for the Application of LFA in Project Cycle Management, March 1996.

1998

- Application for Bilateral Aid for Oct-Dec 2000 and Jan-Dec 2001, Prof Opuda-Asibo, J. AG Director and Coordinator, Sida/SAREC/Makerere University Bi-lateral collaboration

1999

- 3 May 1999 (or 5 March?). Draft Proposal, Makerere University Library
- 8 September 1999 Faculty of Medicine initial proposal, Nelson Sewankambo, Dean
- 26 November 1999 Workshop

2000

- Agreement regarding ICT workshop at Makerere University, Kampala 19-20 April, 2000, dated 4 April 2000 from SAREC (Anders Granlund) to SPGS Prof Opuda-Asibo for SEK 170 500.
- Agreement regarding ICT Workshop, letter from Makerere University, SPGS, Prof Opuda-Asibo, 12 May 2000, to Anders Granlund, request for payment of funds.
- Application for support to Makerere University – Uganda, for Preparatory Activities during 1 June to 31st December 2000, to Anita Sandström, SAREC, from Prof Opuda-Asibo, dated 16, June 2000.
- Agreement between the Swedish International Development Agency and Makerere University for planning of support to research activities during 1 June to 31 December, 2000, signed Stockholm 22 June 2000 by Anita Sandström and Makerere by Prof Opuda-Asibo June 16, 2000, SEK 350 000.
- 28 July 2000. Revised proposal, Faculty of Agriculture, Prof E.N. Sabiti, Dean
- Date? Department of Psychiatry Proposal from PhD candidate Elialilia S. Okello: Cultural Explanatory Models of Depression in Uganda: Implications for the Integration of Mental Health into Primary Health Care (Sub prog 2, project 3)
- 23 July 2000, Socio-Economic and Political Changes around Lake Victoria and Other Water Bodies, JC Kwesiga, Dean, Faculty of Social Sciences. Proposal to Sida
- 5 June 2000. Faculty of Technology Proposal to Sida
- February 2000. Price Waterhouse Coopers Makerere University Assessment of Administrative and Financial Capability
- Agreement between the Swedish International Development Cooperation Agency and Makerere University on support for Development of ICT Policy and ICT Master Plan during June to December 2000, Signed by Tomas Kjellquist, SAREC and P J M Ssebuwulu Vice Chancellor on 18 August 2000 and 5 September 2000.
- Copies of Sida's decisions about the above-mentioned SEK 170 500 ICT Workshop 19 – 20 April, 2000, and SEK 350 000, for preparation activities June – December, 2000, and SEK 1 200 000 for development of IT-Policy and IT-plan.

- Chapter 4. Procedures on Donor Funding University of Makere, checklist from the Auditor General's Office, Kampala, undated.
- Agreement between the Swedish International Development Agency and Makerere University, Uganda on support to research activities during 1 September, 2000 to 31 December, 2001. signed October 20 2000 and 30 October 2000. SEK 15 000 000.
- Requisition for support to research activities at Makerere University during 1 September 2000 to 31 December 2001 by the Swedish International Development Cooperation Agency from Prof P J M Ssebuwulu, Vice Chancellor, to Anita Sandström, dated October 25, 2000.
- Budgets for Calender Year 2000 and Calender Year 2001, undated.
- Agreement between the Swedish International Development Cooperation Agency and the Government of Uganda on Support to research activities during 1 January 2002 to 31 December 2004 at Makere University. Signed by Hans Andersson, Swedish Ambassador and -----(unreadable) For Ministry of Finance. Planning and Economic Development on behalf of the Government of Uganda, the document is an undated copy, but should be 2001. SEK 96 610 000.

Enclosures:

1. Sida's assessment of the cooperation 2002 – 2004
2. Project budgets 2002 – 2004
3. The Agreement between the Government of Sweden and the Government of Uganda on General Terms and Conditions for Development Cooperation, dated 6 May 1998.
4. Form for Annual Progress Report
5. Form for Statement of Accounts
6. Form for Project Activity Plan
7. Subsistence and other grants for participants in Research education/training at Swedish institutions within the projects funded by Sida.
8. General Guidelines on Procurement of goods, works and services under Swedish financial assistance

2001.

- Agreement of cooperation between Makerere University and Uppsala University. From Eng Dr F F Tusubira, Ag Director, DICTS to Prof Opuda-Asibo. 15 May, 2001.
- Allocation on the first installment under Integrating ICT in the University for the year 2001. From Prof Opuda-Asibo to Eng Dr Tusubira. July 9th, 2001.
- Submission of requisition for SEK 86 591 000 for the period 2002 – 2004, from Prof Opuda- Asibo to Hannah Akuffo, November 28, 2001.
- Amendment to the Agreement between Sida and Makerere University, Uganda, on support to research activities during 1 September , 2000 to December 2001, dated 27 April, 2001 and April 20 2001. SEK 10 000 000 regarding support for development of ICT-policy and ICT Master Plan.
- Financial statements June 2000 – December 2000, submission date 30th March 2001.
- Financial statements Sept 2000 – December 2000, submission date 20th April 2001.

25 September 2001--from Hannah: What is this document? (Cover sheet is in Swedish)

2002. January 2002.

- Hannah Akuffo's assessment memo for Phase 1, January 2002-December 2004:
- Financial statements January 2001 – December 2001, submission date 30th September 2002.
- Financial statements January – June 2002, submission date 31st October 2002.

- Makerere University: Financial Management Control Instructions & Accounting Procedures. Handbook. January 2002.
 - Makerere University/Sida Bilateral research Collaboration with the theme, Lake Victoria and other water (re)sources. Abstract – Overall Capacity Objectives – Capacity Objectives for Co-ordinating Office (within the funding period) – External results – Assessment by Sida – Proposed funding – (to each faculty/unit/SPGS). Revised version; 15 January. 2002
 - Bilateral Research Co-operation. Budgets 2002 – 2004.
 - Annual report for 2001 and Activity Plan for 2002 SAREC financial year. Letter May 6th 2002 from Professor Opuda.Asibo to Hannah Akuffo, not all appendices.
 - Extract of minutes from the Steering Committee(?) May 15, 2002, there Prof Opuda-Asibo gave Presentation on Annual Progress Report.
 - Agreement SAREC MAKERERE 2002, 2003, 2004, (only parts)
 - Amendment of the specific agreement between the Swedish International Development Cooperation Agency, Sida, and the Government of Uganda, dated 12 February 2002, on support to Research Activities during 1 January 2002 to 31 December 2004 at Makerere University. It concerns reallocation of an amount not exceeding SEK 6 250 000 from the budget for 2003 to the budget for 2002. The reallocated amount shall be utilized in accordance with the revised budget for 2002 and 2003 for support to ICT and the Library. Sida decision 2002-12-06. Revised budgets for 2002, 2003 and 2004 are enclosed, revised in November 2002.
 - Makerere University. Prospectus. College of Health Sciences
- 2003.** (Do not have activity plans or Annual Reports)
- In January 2003 Department of Psychiatry, Medical School made a lot of requisitions for budgeted funds to cover planned activities not finished in 2002 internally to the Director of SPGS with clarifications in February 2003.
 - Administrative Costs. 5 March 2003
 - The Public Finance and Accountability Regulations 2003
 - Makerere University Tender Board Regulations, (2003?)
 - Financial statements July – December 2002, submission date 31st March 2003.
 - Annual report for 2002 and activity plans for 2003 SAREC financial year. Letter April 11 with appendices, 2003 from Professor Opuda-Asibo to Hannah Akuffo.
 - Details of payments of funds for the agreement period 1/9 2000 – 31/12 2002 for Ingrid Rifflet, SAREC, 2003-04-22.
 - The Public Procurement and Disposal Assets ACT, 2003
 - The Republic of Uganda. Treasury Accounting Instructions Draft 2003. Part I - Finance. June 2003.
 - Audit of the Swedish Support to the University of Makerere. Ernst & Young (done by Jerker Thorvaldsson and Angela Bajt). Final report 9th September 2003, covering the years 2000, 2001 and 2002.
 - Comments in response to the follow-up of the abovementioned E & Y report, by Ben K Byambabazi, University Bursar, dated 30th April 2007.
- 2004.**
- Do not have activity plans or Annual Reports (read in 2004 in paper: Project Activity Plans for 2003/2004 and 2004/2005 and Annual Progress Reports from 2003 and 2004
 - Report of Pilot Research Monitors, 6 July 2004
 - Agreed minutes Annual Review Meeting 19th to 23rd April 2004
 - Makerere University International Procurement and Disposal Procedures Manual

- Makerere University: Strategic Plan 2000/01 – 2006/07. January 2004, Planning and Development Department

2005.

- March 2005 Hannah's assessment memo for Phase 2
- Goals for Phase 2 (Appendix 8—part of assessment memo?)
- Audit report for the period ended 31 December 2004. Support to research activities at Makerere University (Sida funded). Office of the Auditor General. Kampala 21 March, 2005.
- Norwegian support to Makerere University: A strategic approach to the IDP Implementation. Phase 2: 2005/06 – 2008/09
- General agreement on Research Cooperation between Uganda and Sweden for the period 1 st July 2005 – 30th June 2009, SEK 181 000 000, dated 11 April 2005-
- Final Reports Phase 1, September 2000-June 2005: SGS on University funds, GIS lab, Biomedical lab, DSS, Cross cutting courses, SGS; ICT, Library, Faculties of Agriculture, Medicine, Social Sciences and Technology
- 2005 Agreed Minutes, Annual Review Meeting and Planning meeting, April 18-22, [in Stockholm](#).
- Annual project cycle – Uganda 1 July 2005 to 30 June 2009.
- Specific Agreement on Research Cooperation between Sida and Makerere University for the period 1st July 2005 – 30th June 2009. 1 July 2005.
- Report on Sida/SAREC funded Procurement Capacity Building & Training Workshop held at Imperial Resort Beach Hotel, Entebbe on Friday 30th Sept – Sunday 2nd October 2005-
- 2005 Agreed Minutes Oct 17-21 (Completion meeting in Kampala and Iganga)
- 2005-2006 program Activity Plans for: Library, DICTS, Gender Mainstreaming, School of Graduate Studies, Social Sciences, Medicine, Technology, Mass Communication, Institute of Public Health, DSS
- (October 2005, CC begins communication with monitors about contracts, T of R)
- 30 August 2005 Norwegian Support to Maj U: A Strategic Approach to the IDP Implementation-Phase 2: 2005/06 – 2008/09 Norad (47 pages)
- The Proceedings/Report on The Sida/SAREC Financial Management Training Workshop at Jinja Nile Resort Hotel, October 14 – 16 2005
- November, Terms of Reference for Monitoring Team (no report)
- Procurement Guidelines and Procedures to be followed when requisitioning for requirements. Makerere University Intranet, by Rhoda B, Mugamaba, Contracts Committee Secretariat.
- Sida Supported ICT Project at Makerere University in Uganda, Sida Evaluation 05/17 by Alan Greenberg and Gerrit Versluis.
- Makerere University. Sida/SAREC Program. Financial Management Manual, Not dated but probably 2005.
- Makerere University Sida/SAREC Programme Phase I Progress Reports September 2000 to June 2005-

2006

- Financial statements consolidated for the period September 2000 – June 2005, 31 January, 2006.
- Strategic Impact Assessment Report for Makerere University/Sida research Program, March 2006 (environmental consequences. Enviro Consultancy League.

- Report. Workshop on procurement of science related goods and services for researchers, held at Speke Resort Hotel, Munyonyo, 28 – 30th April, 2006.
- Agreed minutes from the meeting between Sida/SAREC and Makerere University and KTH, Faculty of Technology programme. Stockholm 14 June, 2006.
- Terms of Reference for the External Audit of Sida/SAREC Makerere University Bilateral Research Collaborative Project 2005/2006 sent to The Auditor General July 28, 2006
- Audit report for the year ended 31 December 2005, Auditor General 16 August, 2006.
- Financial statements for the year 2005/2006. SGS 2006,
- 2006 Agreed Minutes, (Meeting 25-29 September 2006; Solveig Freudenthal)
- April 2006 presentations for Annual planning meeting: DICTS, DSS, IPH, Ag, Gender, Technology, Sida (CC)
- (from UNCST?)
- University and Faculty Research Funds at Universities in Mozambique, Tanzania and Uganda, by Göran Hydén, Sida Evaluation 23 June 2006
- Makerere university. Partnerships in National Development, paper for stakeholders meeting 26th April 2006-
- Annual Progress Reports for 2005-2006: Library, DICTS, Gender Mainstreaming, School of Graduate Studies, Social Sciences, Medicine, Technology, Mass Communication, Institute of Public Health, DSS
- July, *Uganda National Council for Science and Technology BACKGROUND STUDY ON STATUS OF RESEARCH AND RESEARCH TRAINING IN UGANDA*, Terms of Reference
- 17-19 September Conference on Science, Technology and Innovation, Communiqué
- 2006 papers for Stakeholders Meeting April
- 2006 brief on harmonized reporting system for Stakeholders meeting April
- Two research monitors' reports: March on reporting protocol; November final report, on new approach to clarify reporting
- [20 December, faculty voted to end strike-EK email reports on 21 Dec 06]
- Makerere University, School of Grad Studies, DRAFT Research Proposal. June 2004: A draft of Makerere University, Research, Publications and IPR Management Policies
- Workshop Proceedings on Supervision workshop, The Doctoral Supervisor: Broadening and Deepening of the Role. Jan-Feb 2006, A Draft Report
- Makerere University Strategic Plan 2000/1-2006/07 Jan 2004 Planning and Development Department
- Makerere University: Annual Report 2004 (dated?)
- Tusubira February 2006 draft memo to Eli Katanguka on Baseline data for self assessment of progress—research programs
- Makerere University, The Carnegie Corporation of New York, Makerere/Carnegie Female Scholarship Initiative (FSI)
- Faculty of Agriculture, Proceedings of the Workshop on Integrated Small Holder Dairy Systems in Peri-Urban Areas with Emphasis on Forages and Fodder Tree Utilization, Kenya, June 1999.
- Faculty of Agriculture, Report on the Sensitization Workshop on Research on Urban Garbage Management, Ed E.N. Sabiti, September 2002.
- Faculty of Agriculture Proceedings of the Dissemination Workshop on Utilization of Market Wastes, Ed E.N Sabiti and J Karungi, April 2004
- Faculty of Agriculture Proceedings of the Symposium on Alternative Approaches to Urban Market Crop Wastes Management, Ed E.N. Sabiti and J Karungi, July 2005

2007

- January, Jerker Thorvaldsson's report on Training Workshop on Capacity Building, 8-12 January 2007 in Project Financial Planning, Mobilization and Control in Makerere University, Uganda (organized by SGS)
- Audit report Support to Research Activities at Makerere University. Summarized account for the period September 2005 to June 2006. The Auditor General 8th February, 2007.
- School of Graduate Studies (SGS) Strategic Plan 2007/08 – 2017/18-
- Draft Guidelines for budgeting, accessing and accounting for Research fund at Makerere University 2007. Not yet through the Council.
- Guidelines on Division of Labor. SGS draft 2007.
- Accounting Procedures/Systems for Sida/SAREC Programme. Updated 2007.
- Extension of the Specific agreement between the Swedish International Development Cooperation Agency and the Government of Uganda on support to Research activities during January 2002 to 30th June 2005. April 2007.
- Terms of Reference for a Consultancy to develop a Strategy for a strengthened results orientation for Research Development Cooperation. Sida 2007 05 31.
- Activity plans 2007-2008: DICTS, FSS, Gender Mainstreaming, Medicine, SGS, Agriculture; missing several, don't know what we have, drafts v. final versions.
- Undated—? an update or revision of Gender Mainstreaming proposal to Sida from Joy G. Kwesiga and Frances Nyachwo—sent to us by Sida
- Draft financial statements for the year 2006/2007. SGS 2007.
- July 2006-June 2007 Annual Progress Reports: Library, DICTS, Gender Mainstreaming, School of Graduate Studies, Social Sciences, Medicine, Technology, Mass Communication, Mak School of Public Health, DSS
- Makerere University School of Public Health and Iganga/Mayuge Demographic Surveillance Site Project. A self assessment report (2005/2008)
- 20 August, notice of Supervision workshop distributed by email of E Katunguka
- October Research Monitors Report
- October Financial monitor's report for 2007
- Steering Committee meeting minutes
- 2 February 2007, Report of the Visitation Committee to Makerere University.
- MAKERERE UNIVERSITY HIV/AIDS POLICY 2006
- **Faculty of Medicine, Sida/SAREC Research Program, Publications since the beginning of the Program 2001-2007**
- Faculty of Agriculture, Influence of market crop waste on olfactory and visual stimuli in host finding by cabbage aphids, their predators and parasitoids, Project report for a Bachelor degree. Namuddu Annet.
- Faculty of Agriculture. Influence of market crop waste on olfactory and visual stimuli in host finding by bean aphids and their natural enemies. Project report for a Bachelor degree. Wasswa Peter.
- Faculty of Agriculture. Proceedings of the symposium on alternative approaches to urban market crop wastes management
- Carnegie Corporation of New York Support to Makerere University Institutional Development Program. Phase III Proposal. Draft
- Policies: Gender Mainstreaming. Policy & Regulations on Sexual Harassment Prevention; Research Policy. Draft; IPR Policy. Draft; Study Plan for PhD

2008

- Makerere University. Research and Innovations policy
- Terms of Reference for “Capacity Assessment and Advisory Support to develop the administration of the Makerere University including handling of external research grants. Sida 2008.
- *9 July: Mary Nakyewa distributed new reporting format template+example from Faculty of Technology, Jun 06- Jul 07 (versions showing budget lines, no guidance attached)
- Makerere University. Strategic Plan 2008/09 – 2018/19
- The Focus. Good Gender Practices for Development. Annual Magazine, Vol 5, 2008. A publication of the Makerere University. Gender Mainstreaming Division.
- July Standard Operating Procedures, distributed by E Katunguka (mime only, so do not have text)
- July 28-30 Self Assessment workshop.
- RESEARCH AND INNOVATIONS POLICY AS APPROVED BY THE UNIVERSITY COUNCIL AT ITS 112TH MEETING HELD ON THURSDAY, MARCH 13TH 2008
- INTELLECTUAL PROPERTY MANAGEMENT POLICY AS APPROVED BY THE UNIVERSITY COUNCIL AT ITS 112TH MEETING HELD ON THURSDAY MARCH 13TH 2008
- 22 July Financial Monitor’s Comments on Activity plans 2007/2008.
- August-September Activity Plans for July 2008-June 2009: DICTS (revised), library (revised), Gender (Catherine Kanabahita Guma—change from Joy G. Kwesiga), Faculty of Agriculture, Faculty of Medicine (revised), Mass Comm (revised), MUSPH (revised), SGS
- 8 July Questionnaire from Jerker Thorvaldsson for units, distributed by E Katunguka
- Budget Monitor/Analysis phase II 1 July 2005 – 21 August 2008. SGS 2008
- Financial statements for the period 1 July 2007 – 30 June, 2008. SGS 2008
- Letter from Hannah Akuffo to VC Luboobi about Phase 3
- Plan for preparative activities for renewed agreement for continued research cooperation with Uganda (planning schedule for Phase 3—not for general circulation)
- Agreed Minutes Annual Review November 2008
- CC presentation for Annual Review, November 2008
- Guidelines - Support to national research development (Sida edition 2008)
- Minutes from Sida meeting with Swedish collaborating universities, 2 Oct 2008
- Power Point presentation from Sida meeting with Swedish collaborating universities, 2 Oct 2008 (could not open)
- 22 October Invitation letter from Swedish Embassy in Kampala to Vice-Chancellor Makerere Univ. to Come in with a Concept note regarding the Makerere Univ. vision for research
- Communiqué from Stakeholders meeting in Kampala 17-19 Sept 2008 organised by UNCST
- Draft (early Oct) preparation plan for continued research support to Uganda 2010-2013
- DRAFT – 30 Oct 2008, Plan for preparative activities for renewed agreement for continued research cooperation with Uganda (schedule has Monitoring Team first draft to Sida on 31 March, and Mak U electronic transfer of proposal on 1 April 2009)
- June Guidelines for self-assessment workshop, July list of invited participants (mime only) from E Katunguka
- November, Annual Progress Reports (drafts or final set?)

- November, Research Monitors' Report
- 31 October draft Financial Monitor's report
- Capacity Assessment and Advisory Support to Makerere University in Uganda. Final report 24 November 2008. KPMH
- Undated for year?. Sida Evaluation 23 June University and Faculty, Research Funds at Universities in Mozambique, Tanzania and Uganda
- Jerker Thorvaldsson preliminary list of issues for final evaluation, organized in Achievements, Persistent problems, newer opportunities and challenges, 19 Dec 2008
- Updates from Eli Katunguka about Swedish Institute arrangements
- Steering Committee meeting minutes
- 2008 Sida Guidelines: Support to National Research Development
- Dissemination Workshop abstracts for meeting 1 April 2008
- School of Graduate Studies Strategic Plan 2008
- Makerere University Quality Assurance Policy (brochure)
- The Universities and other tertiary institutions (establishment and operation of private universities and private tertiary institutions) 2005 Regulations No 80.
- Makerere University Quality Assurance Policy Framework, April 2007
- Self Assessment Report for the B.Sc Agriculture Degree Program, Faculty of Agriculture (submitted to Quality Assurance Directorate), September 2008
- Makerere University Directorate of Quality Assurance, Guidelines on Structure of New Proposed/Revised Programmes, Version 1.5, February 2008
- A Summary of All the Academic Positions of Staff – Makerere University as per 28th Feb 2006
- A Summary of the Academic Qualifications of Staff –Makerere University as per 28th Feb 2006
- Program for Annual Review, November 2008
- Makerere University Prospectus, College of Health Sciences, October 2008 and Makerere University Statute for Constituent Colleges of Makerere University, July 2006
- Makerere University Gender Mainstreaming Programme Brochure GMP Vision Gender Mainstreaming Programme Annual Plan 2008
- Recommendations to the committee reviewing academic promotion criteria arising from a workshop for Makerere University senior women, which took place 12-13 Sept 2008 at Speke Resort Munyonyo, Kampala, organized by Gender Mainstreaming Division
- Way Forward: Makerere University women's forum (Activities and Volunteers)
- Norad Reporting formats 2&3
- Norad monitoring May 2008
- Sida evaluation of its own evaluation reports: Are Sida Evaluations Good Enough?
- An Assessment of 34 Evaluation Reports, Kim Forss, Evert Vedung, Stein Erik Kruse, Agnes Mwaiselage, Anna Nilsson Sida Studies in Evaluation 2008:1
- Library: Self assessment workshop charts, Kaunguka's report (table with numbers), Logical frame powerpoint, library slides to report Self Assessment, Performance indicators, Quantitative assessment of the Library Sida/SAREC project (more detail than we found at other units)
- Research Monitors Report 2008 83 24 November 2008
- Power Point Presentation, Workshop on Self-Assessment Using Results-Based - Management (RBM) Framework, 28-30 July 2008 Mak U-Sida (no consultant name)
- Faculty of Computing Sciences: Brochure --new
- From Faculty of Agriculture, related to self evaluation pilot exercise: Writing Learning Outcomes—ppt by Ddembe Williams; Choice of competencies by different stakeholders:

Academic, Grads, Students, Employers

- NCHE: Framework for Institutional Audits and Self Evaluations for Higher Education Institutions in Uganda, Oct 2006 (from NCHE in electronic form also)
- Quality Assurance for East African Universities, by NCHE
- Educational Aims of the program—example
- Linking Learning Outcomes to Assessment
- Personal Action Plan (PAP Matrix) for Program Evaluation
- The state of higher education and training in Uganda, 2007
- The Uganda Higher Education Review, Journal of National Council for Higher Education, vol 4, no 2, 2007
- The Uganda Higher Education Review, Journal of National Council for Higher Education, vol 5, no 1, 2008
- Minimum Standards for Courses of Study in Bachelor of Arts, Undergraduate Programmes, May 2008
- Makerere 1922-2000: Becoming an African University by Carol Sicherman, Fountain Publishers, Kampala, 2005.
- 2008 report on Faculty of Science and Staffing table, Faculty of science 2008

2009

- Makerere University, School of Graduate Studies: Report synchronizing previous Audit reports' recommendations for the Sida/SAREC collaboration Programme
- Self Assessment Workshop report (all but FSS and Medicine revised)
- Summary of Self-Assessments – Combined 5 programs
- Sida – Makerere Bilateral Research Support Program SGS Self Assesment 2001-2009
- Final Report on the Harmonised Reporting System. Oct 2006. AH Consulting
- Summary of the Self-Assessment from Units – Oct 2008
- GMD Self Assessment Report
- Draft MAKERERE UNIVERSITY GENDER POLICY (MUGP) 2009
- Iganga-Mayuge DSS Self Assessment Report
- Consultant's report: Capacity Assessment and Advisory Support to develop the administration of the Makerere University including handling of external research grants. Research Advisor: Cristina de Carvalho Eriksson Programme Officer: Sven Widerberg Date?
- Date? STANDARD OPERATING PROCEDURES FOR sida SAREC PROGRAMME
- 8 & 15 January, Evaluation Team planning memos (Freeman)
- Overall Monitoring and Evaluation Framework for the NORAD IDP Support, Phase II (2005/06 – 2008/09)
- Mak U Carnegie Programme Evaluation framework, 1 October 2007-30 Sept 2010
- MAKERERE UNIVERSITY CURRICULUM FOR CROSS-CUTTING COURSES 2008/09
- Draft MAKERERE UNIVERSITY GENDER POLICY (MUGP) 2009
- POLICY & REGULATIONS ON SEXUAL HARASSMENT PREVENTION year?
- Makerere University Strategic Plan 2008/9-2018/9
- MAKERERE UNIVERSITY HIV/AIDS POLICY 2006
- MAKERERE UNIVERSITY CURRICULUM FOR CROSS-CUTTING COURSES 2008/09
- School of Graduate Studies Strategic Plan 2008

- RESEARCH AND INNOVATIONS POLICY AS APPROVED BY THE UNIVERSITY COUNCIL AT ITS 112TH MEETING HELD ON THURSDAY, MARCH 13TH 2008
- INTELLECTUAL PROPERTY MANAGEMENT POLICY AS APPROVED BY THE UNIVERSITY COUNCIL AT ITS 112TH MEETING HELD ON THURSDAY MARCH 13TH 2008
- POLICY & REGULATIONS ON SEXUAL HARASSMENT PREVENTION year?
- Makerere University Strategic Plan 2008/9-2018/9
- Ruforum, Institutional capability statement
- Makerere University, Grants/sponsored projects -2008
- Makerere University, Gender Mainstreaming Programme
- Makerere University, Gender Mainstreaming Programme, Change a girl's life, An appeal for support
- Makerere University, Faculty of Forestry and Nature Conservation
- School of Graduate Studies (SGS) Strategic plan 2007/08 – 2017/18
- Promote Gender Equality and Womens' Empowerment, Makerere University, Gender Mainstreaming Division.
- PhD Programme in Plant Breeding and Biotechnology. A joint Regional Training Programme by the Member Universities of the Regional Universities Forum for Capacity Building in Agriculture (RUFORUM), RUFORUM Secretariat, Makerere Universty
- Brochure from NUFU House, Mak University.
- From Makerere University Institute of Social Research (MISR): Interactive CD on I@Mak (also see evaluation 2007 on World Bank Website)
- Draft Strategic Plan for Quality Assurance (based on Quality Assurance Policy)
- CARNEGIE PROGRAMMME EVALUATION FRAMEWORK, 1st Oct 2007 - 30th Sept 2010, MAKERERE UNIVERSITY, UGANDA, CARNEGIE PROGRAMMME, EVALUATION FRAMEWORK

APPENDIX E

Financial and Research Monitors' Previous Reports

1. Financial Reports 2007, 2008

Final version
2007-10-25

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA, PHASE II JULY 2005 – JUNE 2009

MONITORING TEAM

REPORT FROM THE FINANCIAL MONITOR
JERKER THORVALDSSON

AUGUST 2007
SEPTEMBER 2007

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BACKGROUND

Currently Sida/SAREC supports a programme to strengthen the research capacity in Uganda. The first agreement period for the Sida research support dated from 1 January 2002 to 30 June 2005, and allowed for a total of 104 110 000 SEK for 3, 5 years. The amount disbursed for the first phase could be utilized up to 31 December 2005. In 2003 Jerker Throvaldsson participated in an audit and review of all financial transactions of the Swedish support to Makerere University.

Continued support will total 181.0 million SEK over four years, 1 July 2005 – 30 June 2009 (23.35 million SEK for 2005, 46.25 million SEK for 2006, 46.15 million SEK for 2007, 44.25 million SEK for 2008, and 21.0 million SEK during 2009). This Sida/SAREC research support focuses on Makerere University.

A research theme, “Lake Victoria and other water sources” has been adopted by four faculties (Agriculture, Medicine, Social Science and Technology). In addition, the School of Graduate Studies, Directorate for ICT Support and Library receive Sida/SAREC support as overarching University activities. The Department of Mass Communication, the Institute of Public Health, and the Academic Registrars Office’s Gender Mainstreaming Division are new units designated to receive support during the current agreement period 1 July 2005 – 30 June 2009. The programme aims to support Makerere University towards the goal of becoming a vibrant, internationally competitive, research university.

PURPOSE AND SCOPE OF THE ASSIGNMENT

The monitoring is intended to assist programme participants at Makerere University to:

- Increase clarity of planning/reporting documents
- Improve reporting of research results

The financial monitoring is intended to assist the Sida/SAREC programme officers by:

- Providing reports, independent of Makerere University, on progress. The report shall include identified problems and/or obstacles, and suggest solutions to resolve them
- Provide Sida/SAREC with a final evaluation of the programme at the end of the monitoring/agreement period

The approach of the monitors with regard to project management, financial management and financial transactions, will be to:

- Follow up actions taken by the programme from financial reports, project activity plans, memorandums of understanding, annual progress reports, agreed minutes, external audited annual financial reports as well as audit reports from the Auditor General.

- Review, analyze and assess the programme in a forwarding looking context of the programme's project management, financial management and ability to govern and control operations so that funds are utilized for intended purposes.
- Follow-up of earlier findings and implementation of previous recommendations.

SPECIFIC ISSUES

In the layout below I have followed the ToR's "Issues to be addressed in the monitoring process be financial systems management and auditing monitor."

Operations:

The organisational structure of the programme.

See the Financial Management Manual page 14 1.8. *Organizational Structure*, also in Appendix 3.

The programmes organisational structure including communication and decisions making procedures in relation to the different levels and the School of Graduate Studies.

It is each faculty/unit which shall have the basic responsibility for planning, budgeting and follow-up of their project. The SGS shall have the responsibility to consolidate plans and budgets. The SGS shall also submit necessary financial information to each faculty/unit.

It is important that each faculty involve all concerned staff members/researchers in the planning so they apply to the Coordinator/Dean who analyse and compile the plans and budgets. After draft, the plans have to be discussed with the researchers. Even the Swedish coordinators should be involved. Then the faculty/unit brings the plans/budgets to SGS, who will take it to the Steering committee for approval and referring it to Sida for their approval, finally it is taken up in the Annual Review Meeting.

For the budget for planned activities 2007/2008 this procedure has not worked well and all formalities have not been followed. The total amount for consolidated budgets can not exceed the original totally agreed budgets. However most of the entities have budgeted for planned activities with amount exceeding the original agreement, there should have been a consolidation with reallocations either within the unit or between the different units. It is the responsibility of the Steering Committee to carry out this.

The comptroller position of the School of Graduate Studies (SGS).

SGS shall control that the budgets and outputs are in conformity with the agreements, rules and laws. Another important role is to follow-up timely reporting and brings this to the attention of the Steering Committee as well as Sida if there are big deviations from approved budgets and plans. With a better and more computerised accounting system there should more time for financial follow-up and the follow-up could be safer, another important duty is to follow-up advances given. The comptroller position of SGS has to be more developed and SGS shall require more feed-back from the respective units. They also have to prepare more in detail, matters on the agenda for the meetings of the Steering Committee. The Director of SGS had a suggestion that the Coordinating Office should meet faculties/units individually on a regular basis, which is a good idea. The comptroller position shall be further developed.

The planning and budgeting process, steering documents, regulations, mandates of operation, documentation procedures etc.

Preparing of budgets and budgeting principles are described in the Financial Management Manual.

The budget shall be based on work plans and estimates from the activity plans. Budgets are prepared by expense line item. When developing the budgets, it is necessary to determine the activities that are expected to take place in the year of the budget and the costs associated with implementing the activities. In the Annual Planning Meeting in March 2007 it is stated in the minutes; "In Project activity plans (starting with plans for 2007/2008) each activity shall be connected to budgeted cost items to enable follow-up." I do agree to this statement. It obvious that budgets shall be build up activity-wise and connected with cost-estimates, However, there be will one problem with the follow-up. With the present accounting-system with recording of expenditure, as it is only done directed to cost-item lines for each faculty/unit and not separately to each sub-program within the units. It should not be difficult to add sub-program recording but it will cause extra workload for accountants and SGS. On the other hand it will simplify and make the supervision and control better of each sub-program. The pros and cons have to be analysed and discussed.

In the issued budgets for planned activities the total costs are estimated to SEK 52 938 832 (see appendix 9), while the budget-frame in the original agreements amounts to

SEK 45 175 000, which makes an overdraft of SEK 7 763 832 = 17,2%. It was explained that they used a "bottom up planning procedure" involving students and researchers. So far that was good, but then the process should have continued until a budget proposal within the original framework was reached, as further funds was not possible to get. The Steering Committee should have had a more active role in finalizing the budget. There are also some miscalculations and in some cases the enclosures are not in conformity with the summaries.

Mass Communication claimed that there revised budget for the whole period has not yet been formally approved. The Steering Committee had this matter on their agenda already on a meeting in 10th July 2006. On 14th March the Steering Committee informed that a revised proposal for Mass Communication was sent to Sida/SAREC. The head of Mass Communication is claiming that the matter has not yet been solved.

Even the matter of reallocation of \$ 18 757 for non-approval from Sida/SAREC for the purchase of a car in Gender Mainstreaming Division has not yet been finalized.

The coordinators in each unit are responsible for the planning, budgeting and final financial reports. Financial reports in Annual Progress Reports shall be reconciled with the financial statements from the Coordinating Office (SGS).

Already in the Annual Planning Meeting in March 2007, there were discussions about reallocation of funds from Uganda to Swedish Institutions, but as late as one week before the Annual Review Meeting, no proposal was worked out or available.

In the Annual Review Meeting the roles of the coordinators in the planning and reporting procedures have to be clearly expressed as well as their responsibilities.

Internal controls and the internal and external audit.

Before payments are made, it is sent to the University's internal audit department for control.

In addition there is a team in the Bursar's office, who goes around looking for adherence to accountability, reconciliations and that other procedures are followed. Continuous Budgetary Control is an essential part of an internal control system. Control of Accountability of advances is another important. The Internal Control is well described in the Financial Management Manual, for further reference see that manual. There is also a central internal audit Team under the Bursar's office. This team makes ad hoc visits to all units within the project as well as others; they are following up different financial matter and as far as I understand all units have been visited. For better help to SGS they should give a report to SGS about their findings and recommendations.

External Audit is done by the Auditor General's office. I should have appreciated if they had had more management comments on the execution of the program and the utilization of funds.

The accountants have been professionally trained. However, there is a need of continuous professional development and training for University accountants who handle Sida/SAREC transactions.

Internal controls are instituted within the accounting procedures of the program by way of roles and procedures, laws and policies of Makerere University.

Steering Committee.

According to the Financial Management Manual for Sida/SAREC program (which has been adopted, as far as I know) shall "the Steering Committee sits monthly to plan and review the progress of the program in terms of the planned activities under the budgets". During the last year 2006/2007, the steering Committee has had meetings on July 10th, September 15th 2006 and on March 14th 2007 and during 2007/2008 on August 8th, 2007. So for the period July 2006 – June 2007, there has only been three meetings, four if the Annual Planning Meeting is counted as a Steering Committee meeting. Like the previous year I suggest that the Steering Committee should meet more regularly. I have also suggested that the utilisation of funds shall be on the

agenda, be evaluated with comments on how each unit has utilized the funds on basis of the feed-back given to SGS. The implication of the slow performance also has to be judged and justified. The Financial Management Manual is very clear on this matter as it states “On a periodic basis, Steering Committee shall review the budget performance (Actual activity Costs in comparison to planned activity costs)”. Another question to be taken up regularly should be the matter of outstanding advances and propose measures to be taken for advances outstanding for a long period. The continuously increasing amount of unaccounted advances has to be taken very serious. The Steering Committee informed on March 15th 2007, “That the accountability status showed that most of the advances were not yet accounted for.” and asked the coordinators to follow-up the accountabilities. However the advances has no reached an unacceptable level and firmer steps has to be taken.

From the dates and agendas for the meeting with the Steering Committee it can be noted that the first two meetings mainly concerned the previous year 2005/2006, so only one has had main issues for 2006/2007. By the Steering Committee taking more concern about utilization of funds, follow-up of achievements, follow-up of advances, making formally correct decisions about reallocations and so on, they will a good example for the coordinators to do the same. They also have to propose reallocations when necessary for a proper development of the program.

The Steering Committee has a big and important role to play, as they together with SGS is the only unit who has an overall knowledge of the project and is expected to finally decide about priorities. The Steering Committee should have had better governance of the budget and plans for 2007/2008. They have to be more efficient in their management of the program as a whole. The Steering Committee is those charged with governance of whole program. As the program is so much behind the execution the initial objectives set. Therefore they must meet more regularly and monitor the ongoing performance.

All members of the Steering Committee are involved in the execution of the program, therefore it should be advisable to enlarge the Committee with independent members. The ARM in September 2007 has taken up this matter.

Self-assessment tools and management response to audits/evaluations.

All payments are made by cheque, which makes it possible for an easier follow-up than what can be done by cash payments. The financial statements at the year-end is prepared on a simple cash basis of accounting with deduction of unaccounted advances, this basis of accounting requires that a transaction is recognized in the books of account as it is incurred. Revenues and expenditures are recognized as received of incurred respectively. The Cash book shows only payments and funds received on a continuous basis and are used to reconcile the bank records. From the Cash book are vouchers copied to separate ledgers for each unit. In that ledger the unit's expenditure items and revenue items are showed. In the Financial statements at the year-end, as stated above, the accountability are taken into consideration, which is not done in the monthly statements. For better follow-up of advances I suggest that in the financial statements per unit is added another line called Advances. That means that expenditure

are shown as advance and not as expense until accounted for. When accounted for it is moved from the Advance line to the respective expenditure line. Each unit's financial statement will also show a balance of outstanding advances, which can be reconciled every month with the Advance Register. With the present computer system extra work-load will be added, however, with the proposed new computerized accounting program this can be solved. This procedure will also act as a self-assessment tool and secure the follow-up of advances.

No reports have been issued by the internal auditors, so therefore no response has been given.

The SGS management and Steering Committee have responded to the external auditor's reports. As the matter taken up by the auditors are limited to a few simple recording matters concerning fixed assets and accountability of advances, the responses, so far, have been very short. As the audit for 2006/2007 is not yet ready there is no response available, the management has responded to the audit queries for 2005/2006. The management has responded to SAREC concerning the financial monitors report.

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Contracts with Sida/'SAREC, minutes from annual review meetings, memorandum of understanding.

There is only one Memorandum of Understanding and that concerns the Faculty of Technology and only one amendment. There are contracts and minutes in proper order. On 10th and 29th of April 2007 it was signed a contract "Extension of the specific agreement between the International Development Cooperation Agency and the Government of Uganda on support to research activities during January 2002 to 30th June 2005". The contract is an extension from 1st July 2005 to 30th November 2006 with a validity until 31st December 2006.

In the original "Specific Agreement on research Cooperation between Sida and Makerere University on support of research activities during 1 July 2005 to 30 June 2009", the attached budget for ICT shows Uga for Uga SEK 25 006 850, Swe for Swe 143 150, Swe for Uga 0 = 25 150 000 SEK. There is a revised budget which all seems to work after stating Uga for Uga 19 700 000, Swe for Swe 2 910 000 and Swe for Uga 2 540 000 = 25 150 000 SEK. Should there not have been an amendment about that, at least I have not got any, but I have the revised budget.

For Main Library, Mass Communication and ICT/DICTS there have been issued revised budgets, which I have received (See Appendix 1, but no memorandum about this was available at SGS, there should be formal decisions or Memorandum about this.

Sida has not transferred funds as per revised budgets for Main Library and Mass Communication (See Appendix 1)

Performance and achievements compared to budgeted costs and actual expenditure.

Sida transferred funds on December 20, 2006 but no funds for the first year of 2007 was transferred before June 30, 2007, depending on low utilization funds. According to the agreement 70% of the funds have to be utilized before any new transfer. On September 12, 2007 received the transfer for the first half of 2007.

Including the first half year's 2007 funds an amount of \$ 2 117 916 (SEK 15 884 372) for the activities of 2006/2007 was unutilized. On top of that was an advance amounting to \$ 918 430 unutilized. Measured in expenditure the project is between 6 – 8 months behind on June 30, 2007. If or how much the performance and achievements are behind have not been measured, as there is no format developed for such a measurement.

According to the Specific Agreement article 4 “Major reallocations of the budgets (+ or – 30% on each budget item) shall be agreed upon, in advance, in writing between the two parties and with explicit reference to this clause in the Agreement”. Even if there has not been any formal reallocations, there has been informal reallocations due to the big deviations reported in appendices 5a) to 5e). It also has to be explained what is meant by *each budget item*? Is it cost item line, subprogram, project.

For further reference, look at comments below under the heading “Financial reports alignment with financial system account”.

As there are so big deviations, it has to be considered and judged whether the budgets are realistic and comprehensive! Another question is, how realistic is it to budget planned activities with more than 16% above the originally approved budget?

“Harmonized reporting of donor funded projects” report has been produced, however nothing more seems to have happened, what is the stand of this project now?”

There is a need of improvement on the reporting system.

Timely and responsive reporting and auditing.

Annual Progress Report was submitted to Sida in August 2007, but without any External audited Annual Financial report. When visiting the Auditor General's office on September 11, 2007, I was told that the audit report for the year 2006/2007 should be ready during the week beginning September 17th, 2007, if they keep the promise, it will be ready before the Annual Review Meeting during the last week of September. In my opinion it is very important that the Annual Review Meeting can discuss on basis of audited financial reports. I suggest that the Bursar, Sida/SAREC and SGS discuss timing with the auditors. At the meeting at the Auditor General's Office we, even this year discussed, that part of the audit could be done as an interim audit, which essentially could shorten the time of auditing after the year-end. At least, it seems as they have started the audit work earlier this year.

Audit reports received during 2006/2007:

For the year ended 30th June, 2006 (=2005/2006) was issued 4th May, 2007.

Summarized Accounts for the period September 2000 to June 2005, issued 8th February, 2007, which included audit of the closure of the Bank account with a balance of \$ 79 887.

For the year ended 31st December, 2005, issued 16th August, 2006.

According to the signed agreement between the two parties it is stated: “External Audited Annual Financial Report incl Management Response shall be sent to Sida not later than 31 August” !!!

As part of the Annual Progress Report from each unit a Financial report has to be attached. Most of the units have not made any Financial report at all, and unfortunately those who had attached any report all showed quite wrong figures, as they had not

reconciled them with SGS. All coordinators are responsible for the issuance of reports for their unit and have the duty to do that. They shall report on all expenditure including those administered by the SGS. Differences /variances (positive or negative) between budgeted costs and actual expenditure shall be commented upon and justified/explained.

The systems and format requests for reallocation of the budget.

There has been no formal reallocation for phase II. The procedure for major reallocations are stated in the agreement: “Major reallocations of the budgets (+ or – 30% on each budget item) shall be agreed upon, in advance, in writing between the parties and with explicit reference to this clause in the Agreement” No reallocations have been reported to Sida/SAREC, nor reallocation has been reported to SGS. As there are unutilized amounts, the reallocation-instrument should have been used more frequently for a more efficient utilization of funds for a better management. In the Annual Planning Meeting March 2007 it was agreed: “Proposals for reallocations have to be sent together with the activity plans and budgets to SGS. These reallocations will then be discussed in the Sida/SAREC steering committee and decisions have to be made as to what reallocations are possible within the agreed amount of funding for the program as a whole.” This agreement is very straightforward. I am not aware of any clearly expressed proposals. A steering committee meeting was not held until August 9, 2007, and there was no clear decision of how the proposed budgets with high over-budgeting for planned activities could be possible within the agreed amount of funding. Only one reallocation was done in the proper way with amounts mentioned, which was the re-allocation in Gender where \$ 18 757 was reallocated from purchase of a vehicle to consumables to cater for another intake of female staff on Sida scholarship program. In addition I have seen few requests for smaller amounts. Some kind of “in principle agreement” is not enough.

Follow-up of the introduction of indicators.

Indicators for the activities are not at all utilized in the financial system or financial reporting. When asking at the various units, how they measured the progress, they answered that they could see it from the reports from the students and researchers. To me it seems to be a weakness. In cooperation with all staff-members indicators shall be developed and introduced. It is important that the indicators introduced are measurable and easy to follow-up. For the moment it is possible to follow-up the utilisation of distributed funds, but there is no such follow-up of the achievements.

Accounting and financial management:

Accounting system (chart of accounts, bookkeeping-procedures, financial statements, general ledger, payroll etc.

The accounting system is described in the Financial Management Manual for Sida/SAREC Program (October 2005). It constitutes the detailed breakdown of the general policy for handling DONOR FUNDS that is stipulated in the general Financial Management and Control Manual for Makerere University. The Financial Management Manual are utilised at SGS and the faculties/units, in some places it could have been better. In SGS the recording is done in a Cash Book, from there it is possible to get out

a Cash Book Analysis, from this is sorted out records for each unit into a Faculty/Unit Budget Monitor/Analysis Phase II-(Ledgers), when having copied it to the Monitor/Analysis list each and every voucher has to be moved manually to an Excel-sheet with various columns for the different cost items. In the Excel sheet is the recorded figures automatically added. From the Monitor/Analysis list are the grand total manually moved to the financial statement for each faculty/unit. In my opinion too much manual work is done for this exercise. In my opinion SGS has to buy a program, which automatically moves the figures around to correct destination. In that case also the matter with recording on activity level can easily be solved. When meeting the staff-members at Planning and Development Unit I was informed that they a accounting-system for the Norad and Carnegie, which maybe could be useful for the Sida/SAREC project as well. I think the knowledge in the SGS could be utilised better than do a lot of manual work, which easily can be computerised. For the recording on activity-levels, I understand there will be a suggestion that the accountants at each Faculty/Unit shall extract costs from their respective financial statement to separate financial statement lists for each activity. Firstly, this can be solved better by the computer system I have proposed above. Secondly, at least some accountants will not have the time to do it, and thirdly some may not have the capacity and quality to do it properly and in time.

Procedures for recording, use, safeguarding and disposals of assets including the end use of assets so they are used in accordance with agreement terms.

The accountants seem to know very well how to keep an asset register, even if omissions occur. SGS keeps a complete asset register for the whole programme by entity. Central Store as well has an asset register, when somebody takes out an item from the store it has to be registered. The External auditors have used much time for follow-up and reporting about the fixed asset registers and have in all audit reports commented on fixed assets. Log books are kept in every vehicle. The log book is kept by the driver and controlled every month by the coordinator in the concerned project, however there is not maintenance records kept. The external auditors have not made any complaints about the log books. There are insurances for vehicles but not for any other assets.

Procedures for travel and per diem as well as procedures for allocating scholarships and staff loans.

The Makerere University's rules and regulations are followed. All travel advances and travel payments are executed and controlled by the Coordinating Office at the School of Graduate Studies. University fees in Uganda for PhD-students are paid by the Program. No staff loans are given.

Transparency in the administration of funds and the corruption risk and compliance with legal requirements.

In the Annual Progress Reports it is supposed, that there should be a financial report following up the variances between the budgeted costs and actual expenditure. In addition there has to be comments and justification to the variances. It also very important that every bigger variances are related to the achievement in every

subprogram. Most of the units had not presented any financial reports, and if enclosed they are all wrong. In some cases they have not been adjusted after my visit. There are also lack of follow-up of variances in most reports. In my opinion such a follow-up should be done quarterly on faculty-level in a faculty-meeting, involving coordinators, supervisors, researchers, accountants and students.

As the procedure for this has not been changed, it can be expected to still be the same. The Director of SGS had a good solution, that the Coordinating Office should go to each unit and discuss and explain all financial procedures in a meeting with all staff connected to the Sida/SAREC-project, especially such there problems are arising frequently.

This anomaly makes is susceptible to abuse. I have not heard of any non-compliance with legal requirements. Some thought the procurement procedures, in the long run, could be implemented in a smoother way, than legally demanded.

A fairly big amount of advances, \$ 918 360 remained unaccounted for as at June 30, 2007. On faculty-level the follow-up should be strengthened.

Risk level in the financial transactions of the project.

One risk is that some students drop out of the program after they have done some activities which can affect the original budget. The Steering Committee has agreed to ask the University to work out a mechanism of requesting these students to refund funds spent by them. Sida requires that 70% of the disbursed funds have been utilised before another disbursement takes place, so therefore there is a risk that some units are very slow in utilization so the 70%-rule can delay the progress in units performing faster.

Reporting to internal and external stakeholders.

Financial statements are issued every months and sent to the Deans and the Accountants at each unit, Coordinating Office have also personally handed over financial statements to all who are coming to the Steering Committee meetings. I met almost all program coordinators at Faculty of Medicine, they claimed that they have not seen the financial statements regularly. If true or not, I think in the future the financial statements shall be mailed to all program-coordinators and sub-coordinators. Last year the financial statements were issued every six months, I suggested it should be issued every quarter, Coordinating Office has now chosen to issue it every months. Maybe it is too often to be taken into serious consideration? Anyhow I suggest that each program on a quarterly basis shall report back to Coordinating Office about differences and justifications for the differences. In the feed-back to SGS they shall also report about commitments for purchases done but not yet received.

In the Annual Report have those who have done any financial report, for example taken up only covered items paid directly through unit, mixed Ugandan and Swedish budget, relied on calculation from students and so on. If a unit had made a financial report in the Annual Report, unfortunately all of them differed from the financial statements issued by SGS. At least, in some cases the financial reports now agree with SGS, since I have pointed out the differences and they have reconciled it with SGS. If the figures in the financial reports in Annual Progress Report is wrong, how can the

conclusions then be correct. Financial statements and considerations about the utilization of funds has to be given high attention.

When getting the quarterly feed-backs from the units, SGS has to summaries it and present it to the Steering Committee. The Steering Committee has to be more effective and work with reallocations as an important tool. However, when taken decisions about reallocations it is very important that commitments are taken into consideration. As per the “Annual Project Cycle” in the agreement, draft Annual Progress Reports & External audited Annual Financial report, including management response shall be submitted to Sida not later than 31 August. A draft Annual Progress Report in connection with the research results has been produced in time but in most case no financial reports and not at all any audit report have been attached. The audit report was not ready at my time of visits. When visiting the Auditor General’s Office I was told that it should be ready the week before the Annual Review Meeting. In my opinion it is very import that audited financial matters can be discussed in the ARM September 24th – 28th 2007.

No follow-up of planned and achieved results compared to budget and actual expenditure has been made, which, in my opinion, makes it impossible to see if the project and programs are in right directions and achieving the targets set.

When it concerns reporting of research results, it will be covered by the research monitors in their report.

Cash management.

No petty cash or imprest system has been used so far, last year it was reported that they wanted to introduce it for minor payments, but that has not been done.

Administration in line with agreements and what it is used for.

Budgets will have a provision for comparison between actual expenditure and budgeted costs. In the last Planning Meeting it was stated that each activity should be connected to budgeted cost items to enable follow-up. As far as I can understand, the activity plans and budgets for planned activities for 2007/2008 have been developed in such a way. With the present recording instruction, can only follow-up be done on cost-item line for the whole faculty/unit, not on sub-program level. As it is necessary to determine the activity that are expected to take place in the year of the budget and cost associated with the implementing the activities. The budget shall be implemented both as a help for the direct supervision and guiding of activities, and a control mechanism to constant comparison of actual activities and achievements against set targets and timing within the annual Project Activity Plan. This issue has been taken up several times before, it is included in Sida’s Action Plan October 2003, as well as it is described in the Financial Management Manual. This has been implemented, but not fully on activity-level. Each there is a internal communication problem in each unit or program-coordinators and sub-coordinators are not enough concern about financial matters.

The coordinators have the responsibility for the planning and recording within their faculty/unit The SGS and the Steering Committee have the duty being comptroller for this matter.

In the Sida format for Annual Progress it is stated that variances shall be justified, in the greater part of units this has not been done in the draft Annual Progress Report. There is no doubt that it is the responsibility and duty of the coordinators to have the end-responsibility for financial matters concerning their projects as well as the reporting as per Sida's requirement and they are being paid an Extra Load Allowance for that.

Strong actions in this matter has to be taken, and it is important that the control system is not handed over to the units.

Salaries.

Normally salaries are not paid out from project funds, except for DSS field staff-members. The expenditure for these payments are shown in the financial statement for Coordinating Office under a separate cost item "Salaries". There are other units who has paid small amount for temporary work.

How is the accounting carried out in the various faculties and is the internal control of an acceptable standard.

The following have their funds with SGS for the moment, University Library, ICT, Gender and Mass Communication.

The single entry system is used at the units with their own accountants, which means that there is no self-assessment system for control in the system, reconciliations with SGS is therefore very important. The accountant at each unit also keep Advance Register and Asset Register manually as separate registers. However it is not up to date in some units, the external auditors have had certain comments about this.

Reflection of activities in the financial report.

The various units have not included any financial reports in the Annual Progress Reports, except summaries from the Faculty of Social Sciences and ICT, and a more detailed report from the Faculty of Technology. However the figures shown by the three abovementioned units, do not at all correspond with the official financial statements from SGS. The basis for their figures is based on information from their student, who sometimes do not have the complete picture, and some of the figures is said to refer from expenses in Sweden (Faculty of Technology). In the financial statements is the different cost items reflected but not activity-wise. This weakness has been pointed out before. This can not be accepted in the future. The least you can request is that they are giving comments to various variances on cost-item level. Justification for unutilised or overspent expenditure compared to budgeted amount should have been stated.

In the budget for planned activities 2007/2008 are cost-items reflected activity-wise, but then it is another question how can this be followed up?

Financial reports alignment with financial system accounts.

The Steering Committee has taken up that the financial statements shall be reviewed regularly and finances used accordingly by units. That units should always update at their respective centers. It was agreed that the distributed financial statements be

studied and a feed back forwarded to the School of Graduate Studies. (15th September 2006). This has not been done during the year, except from Technology. I suggest that it is formalized in that way, that each unit, quarterly after receiving the financial statement, in writing shall inform SGS for forwarding to the Steering Committee, about the variances between budget and actual expenditure and how it will affect the further work in the project as well as the effect of achieving the targets set. This comment shall not be long report, only ½ - maximum 1 page. It is the responsibility of the coordinator at each unit, that the accountability is handled in a correct manner and information submitted to School of Graduate Studies.

Financial audit:

Review whether Swedish funds are used according to agreement between Sida/SAREC and the Makerere University.

Development of joint audit with NORAD.

As long as a Harmonized Reporting System has not been developed, it does not seem to be actual or materialize.

External Audit.

The external audit is carried out by the Auditor General's Office. The University Bursar has issued Terms of Reference for the audit, dated July 28, 2006. One of the terms states: "Compare the use of the funding to the terms of the Specific Agreement regulating the use of these funds and report any deviation from the terms of the agreement;" and "Analyze the utilization of the funds in relation to agreed annual budget and comment on deviations and their causes;" as there is a lot of unutilized funds I had anticipated a deeper analysis of the performance and utilization of funds such as follow-up of actual expenditure as part of its internal control mechanism and flow of funds to end-users. I had therefore more comments on management issues.

Others:

Assessment of procurement procedures and practices including the customs handling of goods for the period.

Development of procurement plans.

Procurement plans have to be attached to the Annual Activity Plan, but this is not done properly. The procurement plan shall be the one of the basis for calculation of financial resources in the budget for planned activities. Procurement plans can be done

even if the funds is not physically available, as well as budget for planned activities can be done. The procurement plan can be a helpful guide for coordinators and supervisor, when requesting goods and materials. Even if procurement plans have been developed, they have to be utilized as a guide for procurement. DICTS, for example, said that they had a procurement plan, but at the same time complained about the long procedures for procurement, and therefore not utilized the funds for purchase of equipment, despite they had started already in March. However, the bureaucratic problems is not anything new, in fact many declared the procurement procedures had been smoother. DICTS with the procurement plan available as well as approved budgets should have started the planning and purchase procedures at least 6 months earlier.

Follow-up of advances.

All transactions are recorded as expenditure when paid (cash basis).

When the final financial statements for the year-end are closed, all advances are deducted, so only expenditure accounted for as at 30 June is included in the “expenditure-column”. It is correct that only accounted amounts shall be booked as expenditure. As so many advances are unaccounted, the financial statements are not giving a “true” picture of the development, I have therefore in appendices 5a – 5e included unaccounted advances and commitments in a separate column. As at June 30, 2007 advances amounting to \$ 918 360 was unaccounted, which can be compared to the total funds received for 2006/2007, which is \$ 2 166 286. The unaccounted advances amounts to so much as 42,4% of the received funds. Previous year was the unaccounted advances \$ 163 219. The accountability differs very much from unit to unit, see Appendix 7. Only one transfer was received for 2006/2007, which arrived on December 29, 2006. In 2005/2006 two transfers were received. The transfers for 2005/2006 were received on October 4, 2005 and on June 23, 2006.

It can also be noted that of the unaccounted advances were \$ 139 125 kept at separate Sida-bankaccounts at various units. These bank-accounts are not shown separately in the financial statement but is part of unaccounted advances.

When I visited faculties and units in September 2007, I found advances unaccounted for, which were old than one year. It can not be tolerated that individuals are advanced large amounts which they keep for long periods of time.

Such a big amount of unaccounted advances is not acceptable. The faculties and units are regularly informed about outstanding advances. It is the responsibility and duty of every coordinator to look after prompt settlement of advances. Most probably has at least some part of the advances been used for project-activities, but as long as they are not accounted for, nothing will be shown as an expenditure in the unit at the year-end, which makes it difficult to make a reliable assessment of unutilised funds.

On 14th March 2007, the Steering Committee informed “That the accountability status showed that most of the advances were not yet accounted for”, and requested “That the

coordinators with the help of their respective accountants continue with the follow up of accountabilities”. In my opinion the coordinators have been too weak on this and not taken their duty serious.

A solution for reducing the amount is that field advances and other advances are paid out in instalments, another can be that the outstanding advances being settled and accounted for partially.

Follow-up of Administrative Costs.

Payment of bank-interest.

During the year SGS has received \$ 4 652 as interest for the present year and paid bank charges, amounting to \$ 2 523, which makes a net gain of \$ 1 478. For the previous year (2005/2006) SGS received interest amounting to \$ 545 and paid bank charges with \$ 1,196, which makes a loss of \$ 651. The interest rate paid. seems to me, to be very low. Still no interest has been received for the periods November 2001 – September 2003 and from May 2004 – January 2006. Sida has earlier declared that they expected that retroactive payment must be obtained from the bank, but that did not happen.

The faculties, who have opened separate bank-accounts have not got some small amount of interest, but very small despite they kept larger amounts on their bank-accounts (for example Social Sciences got \$ 72.16 for the last year). The different entities are booking bank charges as administrative costs (for example Social sciences \$ 3789,89 for the last year)

The interest received has been separately accounted for under the coordinating office, SGS. The interest shall be utilized within the programme after approval by Sida. No approval has been decided on by Sida, so far.

The appropriate use of funds allocated to the budget post “Consumables and Administration”.

Separate bank-accounts for Sida-funds.

It seems that all units managing Sida-funds within the unit now have opened a separate bank-account for Sida-funds, except Main Library and ICT-DICTS, as SGS is managing their funds. Gender Mainstreaming has opened an account, but is not

utilising it. In Appendix 8 is the different accounts shown. The separate Sida bank-accounts are not shown separately but are part of unaccounted advances.

Exchange rate gain or loss.

For the second year of phase II there has been an exchange-rate gain.

Disbursements	<u>SEK</u>	<u>\$</u>	<u>rate</u>
1 st transfer was made on 20 th December 2006 from Sida and received on 29 th December 2006	14 792 747	2 161 634	6,8433
2 nd transfer for 2006/2007 has not been done before June, 30, 2007	<u>0</u>	<u>0</u>	<u>0</u>
	14 792 747	2 161 634	6,8433
Interest earned 2006/2007		<u>4 652</u>	
Funds as per statement June 30, 2007		2 166 286	
less interest as above		<u>(4 652)</u>	
Funds disbursed from Sida		2 161 634	
In the original budget has the rate of 7:50 per \$ been used. 14 792 747 : 7.50		<u>1 972 366</u>	
Exchange-rate gain for 2006/2007		189 268	
Exchange-rate loss for previous year 2005/2006		<u>48 507</u>	
Net exchange gain up to 30 June, 2007	140 761		

Exchange-differences as been accounted for as funds, which means it they will affect the funds in each unit either, as for the moment, increase their budgetframe, or if a loss decrease it.

Indicators.

There are no indicators introduced in the projects, but as far as I know prof Kirumira is supposed to design a format for introduction of indicators. As I already stated last year I think it is important that indicators, that are realistic, measurable and directly related to specified activities and objectives, are in place. Results-oriented plans and budgets, with measurable indicators shall be implemented. A major deficiency is the continued lack of indicators that allow the Program progress and impact to be measured. The fundamental question arises, which indicators are appropriate for the measurement of performance and how to collect them and how to connect them with the financial statements and budgets.

Performance indicators as well as financial indicators have to be developed. The connections between governance and performance are important. In the LFA-planning system used by Sida there is a table for Quarterly Progress Reports. Even if research is important, the governance of financial matters in most, or at least in this, case is a fundamental condition for each sub-programs. In an attempt to systematically review the Program it is important to define a Framework of Good Practice for effective, efficient program management, to which findings and conclusions could be linked. It is important that the Key Elements and their typical indicators are established and defined.

Hopefully prof Kirumira very soon will come up with a useful format.

Decentralisation.

Last year there were discussions about decentralisation. As far as I can understand the matter has been discussed in the Steering Committee and they thought that it will cause more problems for the accountability and therefore decided to wait with further development of decentralisation for the moment. I think that this was a good decision. When I met staff members from Planning and Development Dept (who is coordinating Norad and Carnegie projects) I was informed that Norad in the first project was allocating the funds directly to the different faculties, but now had change to centralisation in a Coordinating office, for better flexibility and better accountability, they claimed that decentralization was a catastrophe. The governance of financial matters in connection with the research projects has, so far, been disregarded to some extent. First basic recording, reporting and follow-up has to be working well on all levels. All coordinators are expected to contribute actively in follow-up of financial and budget matters. There is a need for a central follow-up of the quality of the accounting. As the financial reporting is consolidated centrally, there is a need to safeguard the quality of the accounting. For the moment, the stakeholders can not entirely rely on the internal control systems. Even if the control system has improved, it has to be further developed before any more decentralisation takes place.

Remarks to balances of phase I (2000 -2005).

In the bank account, for phase I, there remained a balance as at 31st December 2005 of \$ 79 887, which contained an unspent balance at Dicts of \$ 103 200 and overdrafts in various units amounting to \$ 23 313, after covering this overdraft it remained \$ 79 887, which was spent on the procurement of the Library circulation equipment (for registration of lending out books). The utilisation of the funds is in accordance with a prolongation of the project until 30th November 2006. This extension should be subject to external audit, to be submitted to Sida not later than 31st December 2006. The audit has been done, but was submitted 8th February 2007 together with the summarized accounts for the period September 2000 to June 2005. By this I think all formalities for phase I have been finalized and phase I can be closed except for follow-up of an amount of \$ 415 184 advanced to various implementers but remained unaccounted for at the time of audit in June 2006. which the auditors say they will follow during this years audit (2006/2007).

Internal Monitoring and Evaluation Unit.

In the Planning and Development Unit they have developed a proposal for having an Internal Monitoring and Evaluation Unit to look into the performance of the projects in each faculty. They say Carnegie has already approved the proposal and Norad will take it up in the Steering Committee next week (= the next last week in September 2007). I suggested that the proposal should be considered even in the Sida/SAREC project. Such a unit can either be placed in the Coordinating Office of SGS or work together with the planned unit in Planning and Development Unit.

Follow-up of earlier findings and implementation of previous recommendations:

- In the report from previous year I made a lot of recommendations, some have been introduced but others are still valid.
- The Coordinating office has improved there financial reporting
- Financial statements are regularly issued by SGS. However, it seems to be internal communication problem between coordinators and accountants with program coordinators and sub-coordinators
- Coordinators are in most cases not following up and commenting on financial matters and reconciling their reports with the official financial statements of the total programme and not justifying the variances in the Annual Progress Report.
- A big amount of funds are unutilized and the implication for the future is not commented on.
- .Financial statements and the utilization of funds are followed up in the Steering Committee. However without taking straight forward decisions, at least not entered in the minutes.
- Annual Progress Reports have been delivered in time, however, in most cases without commenting on financial matters.
- It has not been considered whether the budgets and plans are realistic due to big deviation. I therefore think the planning could have been better on faculty/unit-level.
- SGS keeps a summarized Advance Register, however it has to be followed up in a better way and the issuance of advances has to be managed better at faculty/unit levels. In the Steering Committee shall take actions on advances unaccounted for long time.
- The Steering Committee shall meet more regularly.
- The reporting to the Steering Committee have been managed better, however the Steering Committee has to be more straight forward in their planning and decision-making procedures.
- In the activity plan for 2007/2008 have been included cost items for every planned activity within the entity concerned.
- Bank-interest has been received at the bank-accounts, however, at a very low interest rate, but not getting compensation for the previously omitted payment of interest.
- Training and development for University Accountants, who handle Sida/SAREC transactions has been given.
- The Sida/SAREC Program Financial Management Plan is followed in most cases, but can still be better.
- Major reallocations of the budgets (+ or – 30% on each budget item) have not been agreed upon, in advance, in writing between the two parties.
- Procurement procedures have improved very much.
- External Audit Reports have not been delivered in time to the Annual Report Meeting, and the external auditors should have put more emphasis on management's and performance audit as specified in the ToR for the audit.
- No indicators have introduced, so therefore is difficult to verify achievements in a systematic way

Recommendations:

- Finalize approval of the revised budget for Mass Communication.
- Some of the present manual recording in SGS has to be done by a more developed computerized accounts-system. Reallocation for purchase of such a system has to be found.
- It has to be decided who shall keep the records of the expenditure which shall be distributed to each sub-program in each faculty/unit. If the above computerized system the recording to sub-program can be solved and done by SGS.
- What is the present position of the “Harmonized reporting of donor funded projects”?
- That each unit shall carefully study the financial statements and quarterly forward a feed-back report in writing to the School of Graduate Studies (and Steering Committee) about the variances in their statements and expected future development.
- Each time when budgets are reallocated, the amount for the reallocation has to be stated in monetary terms and in writing.
- The Steering Committee has to meet more regularly (as per the adopted Financial Management Manual it has to be monthly) at least every second month
- The Steering Committee, as the only who has an overall knowledge of the total programme, shall play a more active role in regular follow-up of utilization of funds, achievements, advances and making formally correct decisions about reallocations, as well as propose reallocation when necessary.
- Follow-up of unaccounted advances to an amount of \$ 415 184, which remained unaccounted for at the time of audit in June 2006.
- Indicators have to be developed for results monitoring.

Overall conclusions.

Appendix 5a)

**COMPARISON OF VARIOUS COST ITEMS AND UNUTILIZATION OF THEM IN DIFFERENT PROJECT FOR THE
PERIOD JULY 1, 2006 - JUNE 30, 2007. IN \$.**

Cost item	T E C H N O L O G Y				Balance 2007-06-30	Funds for 2007/I \$ not yet rec.	Unaccounted advances and commitments	Unutilized 2007-06-30
	Balance b/forward \$ 2006-06-30	Funds for 2006/II \$	Expenditure \$					
Equipment	33 409	67 233	0	100 642	19 067		0	119 709

Minor equipment	33 258	23 394	16 359	40 293	33 107	3 854	69 546
Regional Development	63 158	73 064	71 664	64 568	66 667	89 250	41 985
Consumables	24 330	37 586	45 035	16 881	35 816	23 185	29 512
Travel	79 829	120 646	223 290	-22 815	119 647	9 865	86 967
Allowances field work	30 846	51 071	109 980	-28 063	48 419	108 803	-88 447
Subsistence grants	-4 464	51 336	39 903	6 969	44 705	47 126	4 548
Faculty funds	6 775	14 613	0	21 388	13 333	20 000	14 721
Unforeseen	14 809	8 925	3 140	20 594	5 164	0	25 758
Administrative costs	11 296	24 842	11 931	24 207	22 667	24 000	22 874

Grand Total \$	293 246	472 710	521302	244 664	408 592	326 083	327 173
					SEK 3 064 440		

Equipment	45 690	27 837	42 180	31 347	18 918	0	50 265
Minor equipment	33 560	16 738	31 456	18 842	12 025	2 098	28 769
Regional Development	0	0	0	0	0	0	0
Consumable	12 139	79 270	51 655	39 754	71 462	47 537	63 769
Travel	49 145	62 056	102 349	8 852	48 407	2 242	55 017
Allowance Fieldwork	72 171	88 568	64 075	96 664	100 600	(240 553)	(43 289)
Subsistence grants	31 418	38 678	83 040	(18 945)	23 282	0	4 337
Faculty funds	18 949	20 458	0	39 407	18 667	39 000	19 074
Unforeseen	7 625	3 785	0	11 410	3 226	0	14 696
Administrative costs	18 415	19 883	18 400	19 898	17 789	19 000	18 697

Grand Total \$	289 112	351 273	393 155	247 230	314 446	350 430	211 245

APPENDIX 5 B

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA PHASE II, JULY 2005 - JUNE 2009.

COMPARISON OF VARIOUS COST ITEMS AND UNUTILIZATION OF THEM IN DIFFERENT PROJECT FOR THE PERIOD JULY 1, 2006 - JUNE 30, 2007. IN \$.

F A C U L T Y O F A G R I C U L T U R E							
Cost item	Balance	Funds for	Expenditure	Balance	Funds for	Unaccounted	Unutilized

	b/forward \$	2006/II		2007-06-30	2007/I \$	advances and	2007-06-30
	2006-06-30	\$	\$	\$	not yet received.	commitments	\$
Equipment	0	0	0	0	0	0	0
Minor equipment	5 245	4 676	8 531	1 390	2 333	0	3 723
Consumable	6 445	3 726	15 117	-4 946	4 267	0	-679
Travel	16 860	21 700	35 322	3 238	19 533	5 027	17 744
Allowance Fieldwork	16 151	27 399	43 178	372	33 333	15 405	18 300
Subsistence grants	1 376	9 937	5 569	5 744	9 067	1 730	13 081
Faculty funds	68 217	43 838	65 530	46 525	40 000	64 134	22 391
Unforeseen	2 707	2 923	2 923	2 707	667	0	3 374
Administrative costs	13 508	7 672	19 424	1 756	7 333	1 757	7 332

Grand Total \$ 130 509 121 871 195 594 56 786 116 533 88 053 85 266

SEK 874 000

F A C U L T Y O F S O C I A L S C I E N C E S

Equipment	0	0	0	0	0	0	0
Minor Equipment	46 979	38 216	27 124	58 071	11 200	19 977	49 294
Consumables	26 175	35 454	25 945	35 684	62 052	63 817	33 919
Travel	9 224	16 931	11 251	14 904	17 825	1 392	31 337
Allowance Fieldwork	65 986	53 936	37 602	82 320	32 013	54 577	59 756
Subsistence grants	7 142	6 302	4 444	9 000	5 917	0	14 917
Research Capacity Build.	26 190	70 393	26 190	70 393	60 000	70 393	60 000
Unforeseen	30 981	14 754	35 318	10 417	13 303	2 617	21 103
Administrative costs	18 284	19 740	18 284	19 740	15 333	19 740	15 333

Grand Total \$ 230 961 726 * 255 186 158 300 529 217 643 232 513 285 659

* Including correction of unpaid from 2005/2006, SEK 144 114 = \$ 19 215. SEK 1 632 328

**Appendix 5
c)**

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA PHASE II, JULY 2005 - JUNE 2009.

COMPARISON OF VARIOUS COST ITEMS AND UNUTILIZATION OF THEM IN DIFFERENT PROJECT FOR THE PERIOD JULY 1, 2006 - JUNE 30, 2007. IN \$.

Cost item	L I B R A R Y A C T I V I T I E S						
	Balance b/forward \$ 2006-06-30	Funds for 2006/II \$	Expenditure \$	Balance 2007-06-30 \$	Funds for 2007/I \$ not yet rec.	Unaccounted advances and commitments	Unutilized 2007-06-30 \$
Equipment							
Minor equipment							
Consumable	83 304	48 837	116 273	15 868	41 259	0	57 127
Travel	1 605	8 090	6 615	3 080	7 381	3 802	7 379
Allowance Fieldwork							
Subsistence grants	18 027	18 448	5 388	31 087	49 500	0	80 587
Unforeseen	0	0	0	0	0	0	0
Administrative costs	6 077	6 137	4 800	7 414	5 600	0	13 014
Grand Total \$	109 013	81 512	133 076	57 449	* 103 740	3 802	158 107

Total funds 2006/07 SEK 1 335 860

received 2006/II SEK 557 810

* SEK 778 050 = \$ 103 740

M A S S C O M M U N I C A T I O N D E P T							
Equipment	13 894	3 259	0	17 153	4 000	18 968	2 185
Minor equipment	640	0	0	640	4 000	0	4 640
Consumables	3 241	4 393	0	7 634	4 000	23 171	-11 537
Travel	-1 413	3 054	7 930	-6 289	10 000	1 701	2 010
Allowance Fieldwork	-438	736	2 539	-2 241	0	2 800	-5 041
Subsistence grants	6 741	4 720	8 606	2 855	26 400	0	29 255
Research Capacity							
Buil	0	0	0	0	0	0	0
Unforeseen	3 009	2 557	0	5 566	1 600	0	7 166
Administrative costs	1 827	1 973	0	3 800	0	3 126	674
Grand Total \$	27 501	* 20 692	19 075	29 118	** 50 000	49 766	29 352

* Original budget for 2006/II is SEK 212 500 but

only SEK 141 600 was disbursed awaiting for approval of revised budget

difference SEK 70 900 = \$ 9 453

** Funds 2007/I SEK 375 000 = \$ 50 000 = original budget

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA PHASE II, JULY 2005 - JUNE 2009.

COMPARISON OF VARIOUS COST ITEMS AND UNUTILIZATION OF THEM IN DIFFERENT PROJECT FOR THE PERIOD JULY 1, 2006 - JUNE 30, 2007. IN \$.

Cost item	I N S T I T U T E O F P U B L I C H E A L T H						
	Balance	Funds for	Expenditure	Balance	Funds for	Unaccounted	Unutilized
	b/forward \$ 2006-06-30	2006/II \$	\$	2007-06-30 \$	2007/II \$ not yet received	advances and commitments	2007-06-30 \$
Equipment	0	0	0	0	0	0	0
Minor equipment	6 060	0	0	6 060	0	3 369	2 691
Consumable	3 672	1 298	2 439	2 531	938	1 159	2 310
Travel	-123	3 244	5 972	-2 851	5 090	4 789	-2 550
Allowance							
Fieldwork	33 692	29 488	2 987	60 193	26 794	29 162	57 825
Subsistence grants	3 498	3 302	1 604	5 196	5 132	723	9 605
Faculty funds	0	0	0	0	0	0	0
Unforeseen	0	0	0	0	0	0	0
Administrative costs	3 434	2 240	0	5 674	2 277	0	7 951
Grand Total \$	50 233	39 572	13 002	76 803	40 231	39 202	77 832

SEK 301 742

G E N D E R M A I N S T R E A M I N G D I V I S I O N							
Equipment	18 757	14 965	0	33 722	0	0	33 722
Minor equipment	1 204	6 906	0	8 110	6 301	1 250	13 161
Consumables	27 968	22 749	22 812	27 905	24 801	5 823	46 883
Travel	954	2 426	2 515	865	4 760	3 099	2 526
Allowance							
Fieldwork	30 046	23 208	22 816	30 438	28 235	29 315	29 358
Subsistence grants	0	0	312	-312	0	0	-312
Faculty funds	0	0	0	0	0	0	0
Unforeseen	0	0	0	0	0	0	0
Administrative costs	1 832	2 810	4 701	-59	2 569	0	2 510
Grand Total \$	80 761	73 064	53 156	100 669	66 666	39 487	127 848

SEK 500 000

Appendix 5 e)

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA PHASE II, JULY 2005 - JUNE 2009.

COMPARISON OF VARIOUS COST ITEMS AND UNUTILIZATION OF THEM IN DIFFERENT PROJECT FOR THE PERIOD JULY 1, 2006 - JUNE 30, 2007. IN \$.

Cost item	Balance	Funds for	Expenditure	Balance	Funds for	Unaccounted	Unutilized
	b/forward \$	2006/II		2007-06-30	2007/II \$	advances and	2007-06-30
	2006-06-30	\$	\$	\$	not yet received	commitments	\$

SCHOOL OF GRADUATE STUDIES, COORDINATING OFFICE.

Equipment	58 285	49 318	86 236	21 367	23 000	0	44 367
Minor equipment	-2 420	0	5 448	-7 868	0	438	-8 306
Consumable	32 445	129 708	184 959	-22 806	179 197	50 026	106 365
Travel	60 409	37 989	58 192	40 206	29 115	2 186	67 135
Allowance Fieldwork	-1 065	4 019	12 941	-9 987	767	4 009	-13 229
Subsistence grants	16 917	7 266	7 001	17 182	2 413	0	19 595
Research grants	122 101	73 064	82 430	112 735	0	33 698	79 037
Salaries	41 733	72 873	91 317	23 289	50 051	27 487	45 853
Unforeseen	4 447	2 512	0	6 959	1 524	0	8 483
Administrative costs	9 862	11 550	21 412	0	7 933	0	7 933

Grand Total \$ 342 714 388 299 549 936 181 077 294 000 117 844 357 233

SEK 2 205 000

I C T AND BIBLIOGRAPHIC SUPPORT.

Equipment	573 102	325 573	780 833	117 842	333 425	11 921	439 346
Minor equipment	0	0	2 769	-2 769	0	0	-2 769
Consumables	-6 047	0	3 420	-9 467	0	556	-10 023
Travel	7 635	11 398	4 595	14 438	0	2 198	12 240
Allowance Fieldwork	3 384	3 654	2 551	4 486	0	7 600	-3 114
Subsistence grants	7 835	16 293	16 084	8 044	83 333	0	91 377
Unforeseen	0	0	0	0	0	0	0
Linkage Costs	0	0	0	0	0	0	0
Administrative costs	0	0	0	0	4 667	0	4 667

Grand Total \$ 585 909 356 918 810 252 132 574 421 425 22 275 531 724

SEK 3 160 685

Appendix 7.

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA, PHASE II, JULY 2005 - JUNE 2009

Advances unaccounted for compared to total funds, 2006/2007 and 2005/2006, in \$.

Faculty/unit	Unaccounted advances June 30, 2007	Total funds received 2006/2007	Unaccounted advances June 30, 2006	Total funds received 2005/2006
Technology	185 414	472 709	56 974	807 476
Medicine	306 531	351 273	28 584	648 895
Agriculture	81 296	121 871	11 782	188 169
Social Sciences	144 522	255 726	0	417 305
Main Library	2 330	81 512	0	157 510
Mass Communication	29 237	20 692	0	38 364
Institute of Public health	29 396	39 572	2 439	60 662
Gender Mainstreaming	33 007	73 064	18 553	131 695
School of Graduate Studies	98 471	388 298	44 887	744 059
ICT – DICTS	8 156	356 917	0	695 511
Interest		4 652		545
Grand Total	918 360	2 166 286	163 219	3 890 191

Appendix 8

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY,
UGANDA, JULY 2005 - JUNE 2009.**

List of separate Sida Bankaccounts at various faculties/units June 30, 2007.

	Amount in \$	
Faculty of Technology	0	
Faculty of Medicine	44 982	
Faculty of Agriculture	5 820	
Faculty of Social Sciences	44 716	
Iganga DSS	31 776	
Institute of Public Health	11 831	
Dept of Mass Communication	0	Not utilised and will maybe not be utilised
Gender Mainstreaming Progr.	0	

Total amount	139 125	This amount is recorded as unaccounted advances.

Main Account

Coordinating office SGS	507 554

Total kept in bankaccounts	646 679

Appendix 9

Comparison of various budgets 2007/2008.

Approved budget in agreement	In activity plans 07/08 Approved	In activity plans 07/08 Planned

	SEK	SEK	SEK	
Coordination off.	5 089 500	5 089 500	7 783 806	+ 52,9%
Agriculture	2 150 000	2 150 000	2 603 050	+ 21,0%
Social Science	4 060 000	4 073 800 *)	4 477 369	+ 9,9%
Technology	12 965 500	12 965 500	15 646 760	+ 20,7%
Medicine	9 735 000	9 735 000	11 524 575	+ 18,4%
Library	1 950 000	1 975 000 **)	1 950 000	
ICT	6 350 000	6 350 000	6 350 000	
Public health	1 100 000	1 100 000	1 365 122	
Mass communicat.	775 000	1 045 000 ***)	238 150	
Gender	<u>1 000 000</u>	<u>1 000 000</u>	<u>1 000 000</u>	
	45 175 000	45 483 800	52 938 832	+ 17,2%

Notes: *) Revised for this year with SEK 13 800, but the total for the whole period will be the same as in the original agreement.

**) Swe for Uga has been increased by SEK 25 000 as the students will stay longer in Sweden.

***) The budget is still pending awaiting for final approval, has been taken up in the Steering Committee.

	Approved budget in agreement	Planned budget 2007/08	Difference	
Uga for Uga	28 045 420	32 795 751	4 750 331	16,9%
Swe for Swe	11 557 090	14 997 854	3 440 764	29,8%
Swe for Uga	4 568 827	4 145 227	(423 600)	9,3%
Regional	<u>1 000 000</u>	<u>1 000 000</u>	<u>0</u>	0 %
Total	45 175 000	52 938 832	7 767 496	17,2%

Final version
2008-11-15

**RESEARCH COOPERATION BETWEEN SIDA AND
MAKERERE UNIVERSITY, UGANDA, PHASE II
JULY 2005 – JUNE 2009**

MONITORING TEAM

REPORT FROM THE FINANCIAL MONITOR
JERKER THORVALDSSON

NOVEMBER 2008

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BACKGROUND

Currently Sida supports a programme to strengthen the research capacity in Uganda. The first agreement period for the Sida research support dated from 1 January 2002 to 30 June 2005, and allowed for a total of 104 110 000 SEK for 3, 5 years. The amount disbursed for the first phase could be utilized up to 31 December 2005. In 2003 Jerker Thorvaldsson participated in an audit and review of all financial transactions of the Swedish support to Makerere University.

Continued support will total 181.0 million SEK over four years, 1 July 2005 – 30 June 2009 (23.35 million SEK for 2005, 46.25 million SEK for 2006, 46.15 million SEK for 2007, 44.25 million SEK for 2008, and 21.0 million SEK during 2009). This Sida research support focuses on Makerere University.

A research theme, “Lake Victoria and other water sources” has been adopted by four faculties (Agriculture, Medicine, Social Science and Technology). In addition, the School of Graduate Studies, Directorate for ICT Support and Library receive Sida support as overarching University activities. The Department of Mass Communication, the School of Public Health, and the Academic Registrars Office’s Gender Mainstreaming Division are new units designated to receive support during the current agreement period 1 July 2005 – 30 June 2009. The programme aims to support Makerere University towards the goal of becoming a vibrant, internationally competitive, research university.

PURPOSE AND SCOPE OF THE ASSIGNMENT

The monitoring is intended to assist programme participants at Makerere University to:

- Increase clarity of planning/reporting documents
- Improve reporting of research results

The financial monitoring is intended to assist the Sida programme officers by:

- Providing reports, independent of Makerere University, on progress. The report should include identified problems and or obstacles, and suggest solutions to resolve them
- Provide Sida with a final evaluation of the programme at the end of the monitoring/agreement period

The approach of the monitors with regard to project management, financial management and financial transactions, will be to:

- Follow up actions taken by the programme from financial reports, project activity plans, memorandums of understanding, annual progress reports, agreed minutes, external audited annual financial reports as well as audit reports from the Auditor General or its representative.
- Review, analyze and assess the programme in a forwarding looking context of the programme’s project management, financial management and ability to govern and control operations so that funds are utilized for intended purposes.

- Follow-up of earlier findings and implementation of previous recommendations.

SPECIFIC ISSUES

In the layout below I have followed the ToR's "Issues to be addressed in the monitoring process be financial systems management and auditing monitor."

Operations:

The organizational structure of the programme.

The organisational structure of the programme is well developed in The Financial Management Manual page 14 1.8. *Organisational Structure*. The organogram is also shown in Appendix 3, below.

The programmes organizational structure including communication and decision-making procedures in relation to the different levels and the School of Graduate Studies (SGS).

It is each faculty/unit which shall have the basic responsibility for planning, budgeting and follow-up of their project. The SGS shall have the responsibility to consolidate plans and budgets. The SGS shall also submit necessary financial information to each faculty/unit for their planning and budgeting, as well as assisting units in carrying out that work. It is important that each unit involve all concerned staff members/researchers/students in the planning so they apply to the Coordinator/Dean who analyse and compile the plans and budgets. Coordinators are not deans, except in two instances. After being drafted, the plans have to be discussed with the researchers. Even the Swedish coordinators should be involved. Then the faculty/unit brings the plans/budgets to SGS, for consolidation and comparison with arrangements in the original framework. It is necessary that the faculties/units stick to the original plans. If changes .the conditions in Article 4 of the agreement have to be followed. For the budget for planned activities 2007/2008 this procedure did not work well and all formalities were not followed. The same applies for 2008/2009. The Steering Committee should have taken a much more active participation of the finalization of the planning work.

The comptroller position of the School of Graduate Studies (SGS).

SGS shall control that the budgets and outputs are in conformity with the agreements, rules and laws. Another important role is to follow-up timely reporting and brings this to the attention of the Steering Committee as well as Sida if there are big deviations from approved budgets and plans. Follow-up seems to have been taken up in the Steering Committee, but only few with decided actions (as least as per minutes) With a better and computerised accounting system introduced there should be more time for financial follow-up and the follow-up could be safer. Another important duty is to follow-up advances given. The comptroller position of SGS has to be more developed

and SGS shall require more feed-back from the respective units. They also have to prepare more in detail, matters on the agenda for the meetings of the Steering Committee. The Director of SGS had last year a suggestion that the Coordinating Office should meet faculties/units individually on a regular basis, which is a good idea. In these quarterly follow-up meetings, specific matters can be taken up concerning the unit in question. In Appendix 12 I have tried to develop a checklist as a proposal for these quarterly meetings. As there are different levels of knowledge about financial matters, planning and utilization of funds, meetings in smaller groups would be more valuable. The coordinator for the Faculty of Medicine is new, and there seems to be overlapping problems, which to some extent could be minimized by SGS. The controller position in the SGS should be further developed and be given more time. When meeting the different units, I recognised that there is a big need of coordination between the units and SGS up to Steering Committee.

The Steering Committee has shown concern about the slow performance and low absorption capacity, as some units still have big balances on their respective budgets. In the Steering Committee minutes 22nd February, 2008 it was agreed: "That units study their financial statements and send a written feed back to the coordinating office for reference and record keeping" No written feed-back has so far been sent to SGS.

In my opinion the comptroller position at SGS is very important and has to be considered very carefully. This work should be done by strengthening the financial part of SGS so more time for management information can be allocated.

The planning and budgeting process, steering documents, regulations, mandates of operations, documentation procedures etc.

Preparing of budgets and budgeting principles are described in the Financial Management Manual.

The budget shall be based on work plans and estimates from the activity plans. Budgets are prepared by expense line item. When developing the budgets, it is necessary to determine the activities that are expected to take place in the year of the budget and the costs associated with implementing the activities. The starting post shall be the activities described in the original agreement. From 2007/2008 it has been decided that each activity shall be connected to budgeted cost items to enable follow-up. For 2007/2008 the budgets have been build-up activity-wise and connected with cost-estimates. However, the present accounting-system with recording of expenditure manually on an Excel-sheet, only directing the expenditure to cost-item lines for each faculty/unit, does not make it easy to follow-up the costs for each activity. When preparing the Annual Progress Report for the fiscal year, this has caused extra workload for the Accountants at each unit, especially those with many activities. In my opinion the follow-up, in at least some of the units does not show an exact picture for the different activities due to a new format for Annual Progress Report and only summarised cost-items. Fully implemented this will simplify and make the supervision and control better of each sub-program. I judge the new format to be very good and helpful for follow-ups and evaluations. Achievements can be verified to planed

activities and related to actual expenditure which can be compared to budgeted costs for the same activities.

It is the Makerere University, which is the owner of the program, and it is in my opinion no need for any more approvals from Sida, so long as the planning and budgeting follows the original agreement. If deviations occur, these can be presented for approval by the Steering Committee and in rare cases from Sida (+ or – 30% on each budget item). The original agreement has already been approved and signed. With the new reporting format achievements can be compared to originally planned goals and anticipated activities and actual expenditure can be compared to budgeted costs. Here the crucial point will appear, if there are big differences from original the agreement repayment of funds can be needed, if reallocations have not been decided or approved as stated in Article 4 in the agreement.

If need arises for reallocations/additions and the faculty/unit shall carefully justify this to SGS, who will summarize it to the Steering committee for further actions there. It is important that the total planning does not exceed the original framework, as no further funds, at least for the moment, will be provided. The Steering Committee shall have the overall overview and judge the different faculty/unit requests approve necessary changes and refer these to Sida for their approval if the reallocations are greater than 30%. Finally decisions should be taken up in the Annual Review Meeting.

Reallocations should be avoided as much as possible. New activities, which diverge from the original agreement, should be very rare except when it is new findings from the research that are the cause of changes.

For the budget for planned activities 2007/2008 this procedure did not work well and many formalities were not followed. Unfortunately the planning process for 2008/2009 activity planning has not been better. Of course the planning stage is an ongoing process until the final stage is reached. The total amount for consolidated budgets can not exceed the original totally agreed budgets. As I see it, the planning for the year 2008/2009 only reach some kind of first step. The first consolidated estimated budgets summarized by SGS ended up to SEK 64 645 580, while the approved framework in the original agreement amounted to SEK

43 153 600. For more reference see Appendix 9. Most of the faculties/units have budgeted for planned activities with amounts exceeding the original agreement. There should have been a consolidation with reallocations either within the unit or between the units or among the different units. The budget should not at all have been sent to Sida or to the coordinator in such a fashion. Makerere University is now, running the project and it is not up to Sida to sit and check each activity. Only major differences should be referred to Sida. As far as I can understand there has been a mixture of approved activities, new activities, activities funded by Sida and/or by other donors and maybe some optimistic desire for more funds. It should have been the duty of the coordinators, and SGS to clear this out and see to it that the budget is within the framework of the agreement. Finally it is the responsibility of the Steering Committee to submit a reasonable document. In the light of the huge amount of unutilised funds it is remarkable that planned activities and budgets are presented with such major

overdrafts. In the future the programme has to plan better and utilise the procedures laid down for budgeting, planning and reporting, as they seem to be very clear.

One of the most urgent needs for the future is to develop the budget and planning process so it works well. Program participants should plan and make decisions, not be sitting awaiting actions from Sida. Sida shall fund the planned activities and act on changes, rather than trying to manage what should be routine operations.

It is worth emphasizing that coordinators in each unit are responsible for the planning, budgeting and financial reports. Up to now some Annual Progress Reports are missing, and others are not yet complete. That is an important matter to take up in the Annual Review Meeting the roles of the coordinators in the planning and reporting procedures. I am surprised that this has to be taken up again as the procedures and responsibilities have been expressed clearly on several previous occasions.

Internal controls and the internal and external audit.

Before any payments is made, it is sent to the University's internal audit department for control. This is, of course not the correct way of doing internal audit. If they have time and money for this, it can be accepted as an additional control measure before payment is done. In addition there is a team in the Bursar's office, who goes around looking for adherence to accountability, reconciliations and that other procedures are followed. Continuous Budgetary Control is an essential part of an internal control system. Control of Accountability of advances is another important thing. The Internal Control is well described in the Financial Management Manual, for further reference see that manual. There is also a central internal audit Team under the Bursars's office. This team makes ad hoc visits to all units within the project as well as others; they are following up different financial matters and as far as I understand all units have been visited. For better help to SGS they should give a report to SGS about their findings and recommendations.

For the future a real internal audit has to be developed, that unit shall also report to the program in writing,

External Audit is done by the Auditor General's office. From the fiscal year 2007/2008 Shore Partners have been appointed. I appreciate if the new auditors will be able to have more management comments on the execution of the program and the utilization of funds.

The accountants have been professionally trained. However, there is a need for continuous professional development and training for University accountants who handle Sida transactions.

Internal controls are instituted within the accounting procedures of the program by way of roles and procedures, laws and policies of Makerere University.

Steering committee.

According to the Financial Management Manual for Sida supported program (which has been adopted as far as I know) shall “the Steering Committee sits monthly to plan and review the progress of the program in terms of the planned activities under the budgets”.

During the last year 2007/2008, the Steering Committee has had meetings on August 6th, September 21st 2007, February 22nd, March 18th, and June 23rd 2008, and on 2008/2009 on July 17th 2008. So for the period July 2007 – June 2008, five meetings have been held, six if the Annual Planning Meeting March/April 2008 is counted as a Steering Committee Meeting. Compared to the previous year with only three meetings (four), this is much better. There have not been any meetings during the five months from September 2007 to February 2008. I, therefore, still suggest that the Committee should meet more regularly. From the minutes it can be noted, that the Committee showed much more concern about utilization of funds, accountability, low consumption, coordinators responsibility, planning for the next year, progress report, financial update and so on. It has also been agreed on different actions to be taken, which so far is good. For example on February 22nd 2008 it was agreed “That those who do not account on time should have their salaries deducted and the bursar be directed on which account to deposit the deductions”. Unfortunately all the good decisions and intentions have not been properly followed-up. Advance payments from 2006 and 2007, are in October 2008, still in arrears not accounted for, the activity plans for 2008/2009 are not yet adjusted to fit into the framework of the original agreement (Appendix 9), annual progress reports for 2007/2008 are not yet completely ready, very few justifications for the big variances from original plans are presented. The Steering Committee has a big and important role to play, as they together with SGS are the only unit who has an overall knowledge of the project and is expected to finally decide about priorities. The Steering Committee should have better final governance of the budget and plans for 2008/2009. The Steering Committee shall finally adopt the final Annual Activity Plans and budgets before presentation. They have to be more efficient in their financial management of the program as a whole, debate quarterly the summaries from the SGS of progress reports as well as the financial statements for the previous period and the forecast for the period ahead. The Steering Committee is those charged with governance of the whole program. The program is so far behind in execution of the initial objectives set. Therefore they must meet more regularly and monitor the ongoing performance.

Even if there has been notable progress compared to previous years, the next step is still lacking. The decisions shall be followed-up and actions taken, as already decided upon, either directly by the committee or by delegating to certain persons or working groups. I think that SGS should be given more power for coordination, internal control, follow-up, financial guidance and so on with frequent reporting to the Committee. The coordinators’ roles and responsibilities in connection with financial matters and financial reporting should be better emphasized. The Standard Operating Procedures for Sida Programme (SOP) under development of SGS will cover some of these problems.

All members of the Steering Committee are involved in the execution of the program. In the ARM September 2007 it was discussed if it would be useful to have people outside of the Sida supported program as members of the committee.

The biggest problem is that it takes too long from the times decisions are made until they are implemented and that all members watch their funds too much, even if huge unutilized funds are available. Reallocations should be used more frequently. It shall also be strongly noted that it is Makerere who is the owner of the project, sometimes it seems as the project is awaiting decisions from Sida, but it is not Sida who is running the project, Sida shall only be involved in bigger deviations and variance. Sida's role is then to follow-up the execution from the Annual Progress Reports. With the new reporting format the follow-up has been simplified.

The Steering Committee has taken very clear and concise decisions, but the next steps are not fulfilled. 22/02/2008 – “That all units work on their activity plans and forward them to the coordinating office by 26th February 2008”, very good, but still the final completion to bring the plans within the expected framework is not yet ready. A lot of such examples can be found.

Self-assessment tools and management response to audits/evaluations.

All payments, except in DSS, are made by cheques, which makes it possible for an easier follow-up than what can be done by cash payments. The accounting is done manually (single-entry system on an Excel-sheet), which does not facilitate a simple follow-up. The financial statements at the year-end are still prepared on a simple cash basis of accounting with deduction of unaccounted advances. This basis of accounting requires that a transaction be recognized in the books of account as it is incurred. Revenues and expenditures are recognized as received or incurred respectively. The Cash books show only payments and funds received on a continuous basis and are used to reconcile the bank records. From the Cash book vouchers are copied to separate ledgers for each unit. In that ledger the unit's expenditure items and revenue items are shown. In the Financial statements at the year-end, as stated above, the accountability is taken into consideration, which is not done in the monthly statements. I have previously suggested that for the advances in the financial statements be added another expenses line, one called Advances. That has not been done, but hopefully this problem will be solved with the new computerized accounting-system (double entry account system). The new system shall also contain a separate Advance Register for continuous follow-up, and then function as a self-assessment tool, which it does not do for the moment.

Internal auditors does not work as internal auditors, instead the position is more like that of controller. The special Internal Audit team at the bursar's office does not issue any reports, at least not to SGS, coordinators or the Steering Committee. This should have been a matter of course.

The SGS and Steering Committee have responded to the external auditor's reports and also made an action plan. As the audit for 2007/2008 is not yet ready there is no response available for that.

Contracts with Sida, minutes from annual review meetings, memorandum of understanding.

There is only one Memorandum of Understanding. It concerns the Faculty of Technology and there is only one amendment. There are contracts and minutes in proper order. On 10th and 29th of April 2007 a contract was signed, "Extension of the specific agreement between the Swedish International Development Cooperation Agency and the Government of Uganda on support to research activities during January 2002 to 30th June 2005". The agreement is an extension from 1st July 2005 to 30th November 2006 with validity until 31st December 2006.

In the original "Specific Agreement on research Cooperation between Sida and Makerere University on support of research activities during 1 July 2005 to 30 June 2009", the attached budget for ICT shows Uga for Uga SEK 25 006 850, Swe for Swe 143 150, Swe for Uga 0 = 25 150 000 SEK. There is a revised budget which all seems to work after stating Uga for Uga 19 700 000, Swe for Swe 2 910 000 and Swe for Uga 2 540 000 = 25 150 000 SEK. Should there not have been an amendment about that? At least I have not seen any, even though I have the revised budget.

For Main Library, Mass Communication and ICT/DICTS, revised budgets have been issued, which I have received (See Appendix 1, but no formal decisions or Memorandum about this has been available for me, except for Mass Communication, which was formally approved in the agreed minutes for the Annual Progress Meeting in September 2007. I have noted that in the same meeting SEK 197 100 was reallocated to the Department of Mass Communication exceeding the framework in the original agreement. Sida has now transferred funds as per revised budgets for Main Library. However there is a difference in transfers for Mass Communication, of SEK 101 600, which has to be adjusted in the next transfer. For Coordination Office SEK 748 000 has been kept in Sweden, and I have not seen any formal approval for the change from Uganda to Sweden. (See Appendix 1) I am not quite sure about this amount.

Performance and achievements compared to budgeted costs and actual expenditure.

Sida transferred funds on August 30, 2007, which was the second payment for previous year (2006/2007) and on April 11, 2008, which was the first payment of funds for the fiscal year 2007/2008. The late payment was entirely depending on very low utilisation of funds within the program as a whole. According to the agreement 70% of the funds have to be utilised before any new transfer takes place. The transfer of funds for the first half of 2008 has not yet been done (mid-October 2008).

As of June 30, 2008, the following amount was unutilised	\$ 2 321 934
Additional funds for 2008: I not yet paid or utilised	\$ 1 845 832 (at 7:50)
most probable this amount will be higher to low \$ rate	(at 6:50 \$2 129 806)
Part of funds for Mass Co not yet paid (SEK 161 800)	\$ 21 573
Part of funds for Coord off not yet paid (SEK 748 000)	\$ 99 723
	\$ 4 289 062

Comittments, not included in above

??

Advances, unaccounted not unutilised (Appendix 7)

as at August 31, 2008

\$ 339 293

Measured in expenditure the project is about 12 months behind on June 30, 2008. If or how much the performance and achievements are behind have not been measured.

According to the Specific Agreement article 4 “Major reallocations of the budget (+ or – 30% on each budget item) shall be agreed upon, in advance, in writing between the two parties and with explicit reference to this clause in the Agreement”. Reallocations have been discussed in the Annual Review and Annual Planning Meetings and for 2 items decided upon in ARM September 2007 (see more under reallocations) (as well as under the heading “Financial reports alignment with financial system account”)

It has to be explained what is meant by *each budget item*? Is it cost item line, or subprogram, or project? If on each cost item line it can be very cumbersome, however I will not advise it shall be on unit-level, as it can result in not expected reallocations of big amount within the original framework, for example purchase of vehicles and so on (see Gender below).

As there are so big deviations, it has to be considered and judged whether the budgets are realistic and comprehensive! Another question is how realistic is the next year’s planned budget is, as planned activities are 19% above the originally approved budget? Last year only 16% above the originally approved budgets. It has to be considered that there is no extra money available, and Makerere is the owner of the program and therefore has to adjust the plans to the funds available, it is not Sida who is running the project.

Timely and responsive reporting and auditing.

Project Activity plans 2008/2009 have been prepared and submitted from February to June 2008, however in some cases with big variances from the budget-frame determined in the original Specific Agreement. (See Appendix 9). The biggest difference between activity plans for 2008/2009, had Technology, with plans amounting to SEK 27 330 412 compared to approved budgets in the original agreement of SEK 12 029 000, later on (2008-09-25) Faculty of Technology revised their activity plans for 2008/2009 to SEK 15 048 733 (all including Regional Collaboration). It should have been the responsibility of the Steering Committee as the governing body together with concerned units to prepare and submit Final Programme Activity Plans to Sida no later than 30 June 2008. However the plans are not yet (end of October 2008) within the framework of available funds.

Draft Annual Progress reports and External Audited Annual Financial reports should have been submitted to Sida no later than 31 August 2008, some have done the drafts, however not complete. Final Annual Progress report should have been submitted to Sida no later than 1 October 2008, this has not been done. One explanation can be that a new reporting format are in use from this year, however that was discussed and made clear last year. Some are not at all ready in late October, for example Faculty of Medicine and Coordinating Office. The financial matters have only been dealt with partly in the Annual Progress Report submitted so far. There shall only be one Annual Progress Report, which shall cover both the research achievements as the financial outcome. Planned activities compared to achieved activities together with budgeted costs for each activity (as it is in the Activity Plans) compared to actual expenditure.

The new format is developed to provide for this formulation. Most units have not made complete financial reports, and some with wrong figures, as they have not reconciled them with SGS. There are units, who have submitted annual reports with correct figures, so it is not an impossible task to do it. All coordinators are responsible for the issuance of reports for their unit and have the duty to do it. Difference/variances (positive or negative) between budgeted costs and actual expenditure shall be commented upon and justified/explained. Involved staff members are paid additional incentives for extra workload. The overall supervision rest on the Steering Committee. Finally, as per article 4 in the specific agreement, “Makerere University is responsible for planning, implementation, follow-up and reporting of the programme”. Due to late appointment of External Auditors, they are not yet ready with the audit report, but have promised to have it ready, including management response in time before the Annual Review Meeting in November 2008. Makerere University also has to submit an action plan in response to the financial and management audit to the Annual Review Meeting

The systems and format requests for reallocation of the budget.

The procedure for major reallocations is stated in the agreement: “Major reallocations of the budgets (+ or – 30% on each budget item) shall be agreed upon, in advance, in writing between the parties and with explicit reference to this clause in the Agreement”. In the agreed minutes from the Annual Progress Meeting, September 2007 reallocations were taken up and decided upon: 850 000 SEK in the Social Science program and 600 000 SEK in the Faculty of Agriculture program was decided to be reallocated from Uga for Uga to Swe for Swe. SGS has not got information from Sida if these transfers have been executed in Sweden, nor have the new allocations been deducted from any transfer from Sida to the program. SGS states that the minutes are not enough for the Auditor General, there has to be formal agreement in writing between the two parties with reference to article 4 in the agreement. Concerning the reallocation of funds for Faculty of Medicine (which is said to be SEK 2 928 590), it is stated in the abovementioned minutes that it will be discussed further by Sida and SGS before a decision can be made. The parties will be informed by October 31, 2007. The parties may have discussed, but no formal decision is available. The agreement is very straight forward on this procedure, with amount to be mentioned. The concerned units were not aware, that the reallocations shall be reduced from their funds; they imagine that the funds should be taken from some kind of general pool.

The formal procedures shall immediately be fulfilled and the funds in question shall be withdrawn from the next transfer of funds from each unit in question, as there is no general pool and no other decision has been taken. Each faculty in addition has to calculate from which cost items in the financial statement the deduction shall be made. I have informed the concerned faculties about my personal opinion. It is now stated, that it is agreed, that 50% of the reallocations from Uga to Swe will be deducted from next disbursement in December. The next 50% will be deducted from the disbursement in April, a decision about this has to appear in the minutes.

It seems to be other reallocations in the “pipe-line”, it is now important that they follow the correct procedures and it is not acceptable that it will take more than one year to formally finalize already approved reallocations, as the abovementioned. Some kind of “in principle agreement” is not enough and not acceptable. The earlier reallocation of \$ 18 757 from purchase of a vehicle to consumables to cater for another intake of female staff on Sida scholarship program for Gender now seems to be reallocated once more as the first reallocation has not been effected. Gender is now asking for purchase of a vehicle for \$ 43 736, to be paid within the framework of the present budget.

Follow-up of the introduction of indicators.

Indicators for the activities are not at all utilized in connection with the financial system or financial reporting. To me it seems to be a weakness. It is important that the indicators introduced are measurable and easy to follow-up not only the utilization of distributed funds, but also follow-up of achievements. Both performance and financial indicators have to be developed.

Accounting and financial management:

Accounting system (chart of accounts, bookkeeping-procedures, financial statements, general ledger, payroll etc.

For the moment the accounting is done on an Excel sheet. With the present size and the allocation basis on sub-activity-level, this is not satisfactory. A new Financial System Software for the program has been purchased. The system procured is Microsoft Dynamics NAV, which is explained to be a cost effective, integrated business management solution that is fast to implement and easy to customise, maintain and use. It shall be delivered by Akiliafrica Ltd at the lump sum price of \$ 13 224.00. The installation has not yet started, but the system is expected to work from January 1, 2009, the transactions from July 1, 2008 shall be incorporated in the new system. Unfortunately the decision to buy a new computerized system has taken a long time to finalize. The old manual system has taken a lot of manual work; the system will also be better and above all a better management system for the government of the program.

Now it is important that all concerned such as accountants, coordinators and others are trained on the new system, so it can be fully utilized.

Procedures for recording, use, safeguarding and disposals of assets including the end use of assets so they are used in accordance with agreement terms.

The accountants keep an Asset Register at each faculty/unit however in some cases it is not up to date. However no continuous physical count does not seem to be done. SGS keeps a complete asset register for the whole program. Central Store as well has an asset register, when somebody takes out an item from the store it has to be registered. As far as I understand nobody keeps a continuous control if the assets still are available. Log books are kept in every vehicle, the coordinator at each concerned project is supposed to check the logbook every month. There are insurances for vehicles but not for any other assets.

Procedures for travel and per diem as well as procedures for allocating scholarships and staff loans.

The Makerere University's rules and regulations are followed. All travel advances and travel payments are executed and controlled by the Coordinating Office at the School of Graduate Studies. University fees in Uganda for PhD-students are paid by the Program. No staff loans are given.

Transparency in the administration of funds and the corruption risk and compliance with legal requirements.

In the Annual Progress Reports the format is developed so that there should be a financial report following up the variances between the budgeted costs and actual expenditure. In addition there has to be comments and justification to the variances. It is also very important that every bigger variance is related to the achievement in every subprogram. Most of the units had not presented complete financial reports, and in some cases wrong. In some cases they have now been adjusted after my visit. There is also lack of follow-up of variances in most reports. In my opinion such a follow-up should be done quarterly on faculty-level in faculty-meeting, involving coordinators, supervisors, researchers, accountants and students.

As the procedure for this has not been changed, it can be expected to still be the same. The Director of SGS had last year a very good solution, that the Coordinating Office should go to each unit and discuss and explain all financial procedures in a meeting with all staff connected to the Sida supported project, especially units/faculties where problems are arising frequently. Due to time limits that cannot have been done as wanted. In Appendix 12 I have enclosed a checklist for follow-up of financial matters. Still a fairly big amount of advances remain unaccounted for, on faculty level the follow-up shall be strengthened. Even if the unaccounted advances have decreased very much, it is still too big, with unaccounted amounts from both 2006 and 2007. As long as advances are not accounted for, it is impossible to judge how and if that part of the funds have been utilized.

Another risk in the implementation of the program has so far been the late issuance of external audit reports, as possible discrepancies will be reported too late and could therefore not have been considered in the Annual Review Meetings.

The big amounts of funds unutilized, continuously increasing, should have concerned the coordinators. The Steering Committee has discussed the matters. The reasons for delays, the implications on future development and implementation of activities until the end of the present agreement in 2009, are some of the questions still unanswered. This question should be a matter to discuss in this year's Annual Review Meeting, some have suggested that this shall be taken up in April 2009, but in my opinion, that is too late.

Risk level in the financial transactions of the project.

One risk is that some students drop out of the program after they have done some activities, which in some cases have affected the original budget.

Sida requires that 70% of the totally disbursed funds must be utilized before another disbursement takes place (article 8). Units, which are very slow in utilization, can therefore delay the progress in units performing faster.

The present manual accounting system can imply risks in handling the transactions. It is therefore very important that the purchased computerized accounting system can be utilized as soon as possible.

Another risk is the big variations in the conversion rate between SEK and \$, which can end up in an exchange loss.

Reporting to internal and external stakeholders.

The reporting from SGS to each unit seems to have been working well during the last year. Unfortunately some coordinators do not understand the statements submitted to them. Therefore it is important that SGS has continuous meeting with each unit to make the financial statements/reports easily-understandable. The Coordinating Office has now chosen to issue Budget Monitor/Analysis phase II every month. Maybe it is too often to be taken into serious consideration?? Anyhow I again, as last year, suggest that each program on a quarterly basis shall report back to Coordinating Office about differences and justifications for the differences. In the feed-back to SGS they shall also report about commitments for purchase done but not yet received. When getting the quarterly feed-backs from the units, SGS has to summaries it and present it to the Steering Committee.

As can be seen in the minutes from the Steering Committee has been well informed about financial matters when they have met. So far the Steering Committee has discussed slow utilization and so on but no further steps have been taken. The Steering Committee has to be more active and effective and work with reallocations as an important tool. However, when taking decisions about reallocations, it is very important that commitments are taken into consideration.

Annual Progress Reports are about financial matters better than previous year.

However they are not delivered in time and some has even not yet submitted the Annual Progress Report. It is important that financial reporting is correct and complete, if not that will influence that conclusions drawn are not correct for further governing of the program or project. Financial statements and consideration about the utilization of funds have to be given high attention/priority.

In my opinion no summarized follow-up of planned and achieved results compared to budget and actual expenditure has been made, which, in my opinion, makes it impossible to see if the project and programs are in right directions and achieving the targets set.

Most probably there will remain funds unutilized at the end of the agreement period.

Now is the time to plan for such a possible scenario.

Cash management.

No petty cash or imprest system has been used so far, except for the DSS-office in Iganga, but on a small amount-level. There have been discussions about introduction of petty cash-system, but as far as I know, it exists at in DSS in Iganga. Some advances can however be compared to petty cashes.

Administration in line with agreements and what it is used for.

Budgets for the fiscal year 2007/2008 have been developed so that each activity has been connected to budgeted cost item to enable a better follow-up. With the present accounting system follow-up can only be done on cost-item line for the whole faculty/unit not on sub-program level. At present each accountant at every unit has to split each cost-item line to the various activities, which is time-consuming and not safe. Therefore the implementation of the new computerized accounting-system is a matter of urgency, after that follow-up of each activity shall be possible to do every month or quarter. The budget shall be incorporated into the computerized system.

The budget shall be implemented both as a help for the direct supervision and guiding of activities, and a control mechanism for constant comparison of actual activities and achievements against set targets and timing within the annual Project Activity Plan. This issue has been taken up several times before, it is also included in Sida's Action Plan October 2003, as well as it is described in the Financial Management Manual. This has been implemented, but not fully on activity-level. There is also an internal communication problem, in each unit program-coordinators and sub-coordinators as well as researchers are not enough informed and concerned about financial matters. The coordinators have the responsibility for the planning and recording within their faculty/unit. The SGS and the Steering Committee have the duty being comptroller for this matter. There is no doubt that it is the responsibility and duty of the coordinators to have the end-responsibility for financial matters concerning their projects as well as the reporting as per Sida's requirement. It is important that SGS and the Steering Committee have full responsibility of the control system.

In faculty of Medicine there is a new coordinator, who in my opinion has not got full support during introduction phase.

Salaries.

Normally salaries are not paid from project funds, except for DSS field-staff members. The expenditure for these payments is shown in the financial statement for Coordinating Office under a separate cost item "Salaries". There are other units who has paid small amount for temporary work. Extra load allowances are paid to members of staff involved in the administration of Sida supported activities, even if this is a kind of topping of salaries it is booked as an Administration Cost.

How the accounting is carried out in the various faculties and in the internal control of an acceptable standard.

Some units have up to now had separate Sida-bank-accounts, with the new advance-system all separate bank-accounts will be closed, except for DSS. There has not been any self-assessment system for control of units, reconciliations with SGS has therefore been very important. The accountants at each unit keep Advance Register and Asset Register manually as separate registers. However the accountants are not up to date with the registration.

Reflection of activities in the financial report.

Comments on various variances at the cost-item level should have been included more frequent and clearer. Justification for unutilized expenditure compared to budgeted amount should have been stated. In the monthly Budget Monitor/Analysis the different

cost items are reflected but not related to activities. This weakness has been pointed out before. This can not be accepted in the future, and must therefore be solved in the new accounting-system. As there are such big unutilized balances left at June 30, 2008, not very many overdrafts appear (See Appendix 5). In Technology there is one big overdraft on Allowances field work with \$ 103 404. This has occurred as a number of students apply for Field work funds and include components of Consumables therein and hence the amounts in those requisitions end up being charged on Fieldwork budget line instead of splitting it to come from the Consumables budget line as well. In addition there has been a higher level of research activity among the staff of Technology. Many researchers are interested in going to the field to do research and so on.

On the Consumables cost line \$ 65 311 is unutilized. In the future the division among different cost items should be more careful.

Technology has also an overdraft on Regional Development because Technology held two Regional Conferences this year, because one of the other partners was not able to host one of these conferences.

Financial reports alignment with financial system accounts.

It was agreed in the Steering Committee Minutes of 15th September, 2006, that the units should study the financial statements and forward their feedback to the School of Graduate Studies; most of the units have not done that. I again suggest that this is formalized in that way that each unit, quarterly after receiving the financial statement, in writing shall inform SGS for forwarding to the Steering Committee, about the variations between budget and actual expenditure and how it will affect the future work in the project as well as the effect of achieving the targets set. This comment shall not be a long report, only ½ - maximum 1 page. It is the responsibility of the coordinator at each unit, that the accountability is handled in a correct manner and information submitted to School of Graduate Studies.

Financial audit:

Review whether Swedish funds are used according to agreement between Sida and the Makerere University.

Funds shall be utilized with reference to the agreement. Annual budgets and planned activities are approved in the Annual Review Meetings. ICT/DICTS has more funds available than they have planned in the original agreement. I suggest that these “Plans for Equipment funds utilization for period 2008-09” is taken up and discussed at the coming Annual Review Meeting in November 2008.

Most probably there will be unutilized fund balances as at June 30, 2009. I suggest that plans for this utilization of these funds shall be discussed at this year’s Annual Review Meeting.

Development of joint audit with NORAD.

For the moment it does not seem to be actual.

External Audit.

The external audit has previously been carried out by the Auditor General's Office, but unfortunately very much delayed and in the management audit only few management matters have been illustrated. For the year 2006/2007 Ernst & Young have been appointed as external auditors. They delivered the report on 2008-04-05 for the fiscal year ending 2006/2007. Both the Financial Audit as well as the Management Audit has remarks and recommendations. They also recommend Sida to prepare an action plan, which Sida has done. However, action plans, either emanate from Audit reports, Minutes from Annual Review Meetings – Annual Planning Meetings – Steering Committee Meetings, have to be followed up and executed. However, these last steps are not implemented in all cases.

In Ernst & Young's Final Conclusion the first sentence reads: "Our overall conclusion is that the Program is developing well and in accordance with the plan." What is the basis for this general conclusion? On June 30th 2007 the program was financially about 8 months behind in the implementation, unaccounted advances amounted to \$ 918 360 as at June 30th 2007, which can be compared to total funds received from Sida during 2006/2007, in addition the unaccounted advances as at July 31st 2007 have increased to \$ 1 021 831, in addition a very big amount of funds were unutilized June 30, 2007 (balance + funds 2007/1 not yet received – unaccounted advances and commitments = \$ 2 191 439. The planning for 2007/2008 was 17,2% above the available framework and so on. The bursar has issued Terms of reference for the audit, dated July 28, 2006 "Compare the use of the funding to the terms of the Specific Agreement regulating the use of these funds and report of any deviation from the terms of the agreement;" and "Analyze the utilization of the funds in relation to agreed annual budget and comment on deviations and their causes;". I had anticipated a deeper analysis of the performance and utilization of funds such as follow-up of actual expenditure as part of its internal control mechanism and flow of funds to end-users.

For the fiscal year 2007/2008 the Auditor General had appointed Shore Partners (Certified Public Accountants) to carry out the audit of Sida, Makerere University, Bilateral Research Collaborative Project Phase II. I have met the appointed auditors and then got a promise that the audit together with management response should be ready and available before the Annual Review Meeting in November 2008.

Other:

Assessment of procurement procedures and practise including the customs handling of goods for the period.

No faculties or units report that they have serious procurement problems for the moment.

Some units thought it was unnecessarily bureaucratic to get three quotations for approval of a purchase as required by the procurement office. However, in my opinion, it is necessary with three quotations of many reasons, such as better follow-up, better control environment and better competition. As the bureaucratic procedure for the University is well known, in most cases it is only a question of starting in time. As far

as I understand a workshop on procurement matters is planned for the whole University. To some extent, I can agree that some procedures seem to be very bureaucratic, as the regulations intend to discourage any employee from making abuse of public property.

Some units claim that it is easier and cheaper if they could make the purchase through their Swedish counterpart. However, it is essential to develop purchasing habits within Uganda; especially in those cases where the goods are available in Uganda. There can also be a matter of guarantees – services – spare parts and so on.

Development of procurement plans.

Procurement plans have to be attached to the Annual Activity Plan, for easier planning, however this is not done properly. Faculties and units are obliged to compile procurement plans for the whole faculty to the University. Procurement plans limited to the units in the program could be a good basis for calculation of financial resources in the budget for planned activities. Procurement plans can be done well ahead even if the funds are not physically available, as well as budget for planned activities can be done, there is an agreement with approved funds until 2009, so there is no reason to wait. The procurement plans can be a helpful guide for coordinators and supervisors, when requesting goods and materials. In the minutes for the Annual Planning Meeting March/April 2008 it is stated for DICTS “Since the unit had to procure a number of equipment, it was advised to continue with preparing procurement plans to avoid delays in procuring those items. That a time plan for all activities and their related costs should be included in the write-up or attached as an appendix”. As far as I can understand DICTS has done this. The financial development for DICTS has turned to be good, exchange gain of about \$ 113 500 and lower prices on equipment than estimated. Therefore they have calculated to have about \$ 300 000 – 400 0000 more available than originally planned. In their plans they have therefore included new activities and procurement of additional equipment, even if this is within the original fund framework, I think it needs to be discussed in the coming Annual Review Meeting due to the big difference. In my opinion DICTS is now planning their procurement in a better way.

Still the procedure for procurement takes long time, however, the bureaucratic problems are not new and not specific for this program, in fact many declared that the procurement procedures had been smoother and have adjusted their procurement procedures to be well ahead of the need. I judge that if there are procurement problems, in most cases it depends on lack of discipline in the planning ahead process.

Follow-up of advances

All transactions are recorded as expenditure paid (cash basis) during the year. However an advance is not expenditure. For the moment, until the computerized accounting system has been installed, I suggest that this shall be changed so advances, for the meantime, shall be recorded on a separate cost item line in the financial statements for each unit. The whole amount paid out for the unit will be shown as now, but outstanding advances will appear as a separate amount each month and only accounted advances will be shown as expenditure. When the advances are accounted for, they

will be moved from the advance cost-item-line to the adequate expenditure. With this system the balance of advances can easily be reconciled with the Advance Register kept. When now introducing separate Shilling accounts, that has also affected the correct bookkeeping of expenditure – advances. Furthermore all Advance Registers have to be saved as document at the end of each month; there all changes of payments as well as accountability during the month can be followed.

When the final financial statements for the year-end are closed, all advances are deducted, so only expenditure accounted for as at 30 June is included in the “expenditure-column”. It is correct that only accounted amounts shall be booked as expenditure. As so many advances are unaccounted, the financial statements are not giving a “true” picture of the development.

As at August 31, 2008 advances amounting to \$ 339 293 was unaccounted, which can be compared to the total funds received for 2007/2008, which is \$ 4 458 470. The unaccounted advances has decreased this year from \$ 918 360 for the fiscal year 2006/2007, but still it is too much, and not fully comparable - as this year's unaccounted advances are shown as unpaid at the 31st of August of advances paid out up to 30th June 2008. Probably the unaccounted amount at June 30th, 2008 was higher, as no advance list as at June 30th 2008 was available. Last year, unaccounted advances amounted to as much as 42,4% of the received funds. The year 2005/2006 was the unaccounted advances \$ 163 219. The accountability differs very much from unit to unit, see Appendix 9. The programme received two transfers from Sida for the fiscal year 2007/2008, September 10, 2007 and April 18, 2008. Only one transfer was received for 2006/2007, which arrived on December 29, 2006. In 2005/2006 two transfers were received. The transfers for 2005/2006 were received on October 4, 2005 and on June 23, 2006.

It can also be noted that of the unaccounted advances were \$ 60 085 kept at separate Sida-bank accounts at various units. These bank-accounts are not shown separately in the financial statement but are part of unaccounted advances. Advances have sometimes been kept in bank-accounts until paid out or partly of the whole calculated advances.

As per appendix 10 it can be found that in September 2008, advances there were unaccounted for, which were unaccounted for since 2006 and 2007 (\$ 28,199 + \$ 187 952). This is not acceptable, it can not be tolerated that individuals are advanced large amounts which they keep for long periods of time.

Such a big amount of unaccounted advances is not acceptable as there are clear rules and guidelines about advances. The faculties and units are regularly informed about outstanding advances. It is the responsibility and duty of every coordinator to look after prompt settlement of advances. Most probably at least some part of the advances has been used for project-activities, but as long as they are not accounted for, nothing will be shown as expenditure in the unit at the year-end, which makes it difficult to make a reliable assessment of unutilised funds. Some month ago a format was

developed with rules and information; there the payees have to sign. SGS thinks this will affect the accountability.

The Steering Committee has taken up the accountability status and at least showed some concern about the advances not yet accounted for, and requested "That the coordinators with the help of their respective accountants continue with the follow up of accountabilities". In the Steering Committee meeting 22nd February, 2008 it was decided: "That those who do not account on time should have their salaries deducted and the bursar be directed on which account to deposit the deductions". No deductions have so far been done. In my opinion the coordinators have been too weak on this and not taken their duty serious.

The advance lists are prepared as Excel-sheet and advances accounted for deleted, this has to be changed, so each month's advance lists are filed with remarks and dates for accountability of each and every advance.

Advances have started to be paid out in instalments. Another action is that the outstanding advances should be settled and accounted for partially. The best solution seems to be the change from paying out advances from SGS instead of faculties/units.

Follow-up of Administrative Costs.

Instructions about Administrative Costs were issued 2003-03-05 for phase I. For phase I it was the opinion of Sida that it was essential for the running of the programme that an average of 6% administrative funds remained unchanged, the use of the administrative funds were exemplified for each faculty. For phase II, I have not seen any instructions about Administrative Costs, and nobody knows any recommended limit. In appendix 4, I have made a schedule covering the Administrative/Overhead and Unforeseen Cost during 2007/2008.

Only two units have disclosed Unforeseen Costs openly. Only two units exceed the abovementioned 6%: Social Sciences 12,1% (in the original budget 13,4%) and Main Library 6,1%.

As administrative Costs are not directly connected to a certain activity it is essential to describe what it can be used for within the framework of the program, of course with variances between the different units.

However, still at the end of June 30th 2008 \$ 141 939 of Administrative Cost were unutilised. The Administrative Costs 2007/2008 amounted to 4,1% of the year's total expenditure (last year 4,9%).

Payment of bank-interest.

On the SGS bank-account is credited very small amounts of interest.
2005/2006 \$ 545

2006/2007 \$ 4 657

2007/2008 \$ 2 178 bank charges \$ 4 240.

in addition very small additional amounts have been credited to each units separate Sida-bank accounts.

The interest received on the main bank account has been separately accounted for under the Coordinating Office, SGS. The interest shall be utilized within the programme after approval by Sida. In Article 7 in the Specific Agreement it is stated. "Any interest that Swedish funds may yield shall be separately accounted for in the financial reporting and utilized within the programme after approval by Sida. Interest not utilized within the Programme shall be repaid to Sida." No approval has been decided on, by Sida, about the utilization of interest earned, so far.

The appropriate use of funds allocated to the budget post "Consumables and Administration".

In Appendix 4 I have shown the administrative costs. I judge the administrative costs, on the whole, to be on an acceptable level. The funds allocated for the budget post Administration seem to have been used for the purposes earlier specified in the memo "Administrative Costs" dated 2003-03-05.

Even this year, payments have been done for extra load allowances per month for some members involved in the Administration of Sida supported activities.

In Appendix 6, I have compared budgeted Consumables with the actual Consumables expenditure during the year 2007/2008. 19,9% (22,0% last year) of the total budget was designated for Consumables, but 18,8% (16,3% last year) of total expenditure was actually used for Consumables. The proportion of the expenditure for consumables varies very much between various units, but to me the differences seem to be obvious. When discussing various cost items at units, surprisingly I have got answers, some items have been booked as Consumables but are other activities and now we will correct that. Such corrections should have been done continuously during the year, if financial reports have been studied carefully.

Separate bank-accounts for Sida-funds.

All units managing Sida-funds have opened separate bank-accounts. The separate Sida bank-accounts are not shown separately but are part of unaccounted advances. In Appendix 8 the different bank-accounts are shown. It has now been decided that SGS shall handle all the advances to the researchers, therefore there shall not be need for bank-accounts at unit-level, and all those bank-accounts shall now be closed.

The only problem I have faced in connection with these separate bank-accounts, concerns the DSS. SGS therefore has to follow-up reconciliations of their accounts and all transactions for the last fiscal year. I also request that the external auditor shall do a thorough analysis and review of all transactions concerning the DSS for this fiscal year and also report explicit on that part of the audit.

Exchange rate gain or loss.

For the third year of phase II there has been an exchange-rate gain.

During this year there have been two disbursements. Due to low utilisation the previous year, only disbursement took place, so the funds for the first half year 2007 were not carried before this year. The low utilisation has then continued to affect this years payment from, so the funds for 2008:I have not been received by the program.

<u>Disbursements</u>	<u>SEK</u>	<u>\$</u>	<u>Rate</u>
Funds 2007:I was made from Sida on 30 th of August 2007 and received on September 10 th , 2007	14 308 782	2 058 747	6,9502
Funds 2007:II was made from Sida on April 11 th 2008	<u>14 213 582</u>	<u>2 399 724</u>	<u>5,9230</u>
	28 522 364	4 456 293	6,4005
Interest earned 2007/2008		<u>2 178</u>	
Funds as per statement June 30 th , 2008		4 458 471	
less interest above		<u>(2 178)</u>	
Funds disbursed from Sida		4 456 293	
In the original budget has the rate of 7,50 per \$ been used 28 522 364 : 7,50 =		<u>3 802 983</u>	
Exchange-rate gain for 2007/2008		653 310	
Exchange-rate gain for 2006/2007		189 268	
Exchange-rate loss for 2005/2006		<u>(48 507)</u>	
Net exchange-rate gain up to 30 June, 2008 for phase II		\$ 794 071	
Exchange-differences have been accounted for as funds. When funds come, the difference has been distributed accordingly to each cost item in each unit, which means, that the gain will increase the budget-frame.			

With the present global financial crisis it is very uncertain which conversion-rate will be available. On Friday 17th October 2008, the conversion rate was 1\$ – 7,41 SEK, and on Monday 27th October 1\$ = 8,08 SEK.

Indicators.

As far as I know there are no indicators introduced in the projects. In my opinion results-oriented plans and budgets, with measurable indicators shall be implemented. It is important that indicators, which are realistic, measurable and directly related to specified activities and objectives are in place, that allows the Program progress and impact to be measured. Also the connections between governance and performance are important. In the LFA-planning system used by Sida, Progress reporting is developed.

Decentralisation.

The previous year's discussion of decentralisation is not more on the agenda, as there still are problems with the accountability. All advances to researchers shall now be paid through the Coordinating Office (see more under advances). However the coordinators are still responsible for the follow-up of the advances within their unit. Therefore it is very important that actual advance registers are kept and advance-list used continuously. I have before suggested that such list shall be issued not later than 7 days after the end of each month.

Remarks to balances of phase I.

The audit for the “Summarized accounts for the period September 2000 to June 2005 together with the report and opinion thereon by the Auditor General” was submitted on 8th February 2007. In the status of previous year’s audit findings, the issue was raised about Outstanding advances amounting to \$ 415,184. November 06, 2007 the Inspector General requested the Makerere University to provide him with the present status and an explanation. A report was sent from the office of the University Secretary, Makerere University on May 29, 2008 indicating the status of the old advances. For most of them is stated that they are accounted for, however still some are not accounted for, others there are given a vague explanation. In my opinion, the present auditor shall be asked to audit the provided report so the books for the previous phase can be closed. This advance matter, which derives from the implementation of phase I of the program, now has to be disclosed properly.

One experience from this endlessly discussion, among other reason, is – have a close and proper and immediate follow-up of the advances originating from payments in phase II.

Follow-up of earlier findings and implementation of previous recommendations:

- The reporting from SGS to each unit has been working well. However some coordinators shall be given more guidance as they do not fully understand the financial information.
- The coordinators have in most cases not reported back to SGS on financial matters.
- The Coordinating Office has not met each unit separately for discussions of financial matters.
- The Steering Committee has been well informed about financial matters and followed up and commented on, but without taking straight forward decisions.
- Annual Progress Reports are better concerning financial matters better than last year. However, more improvements can be expected.
- Project Activity Plans have been issued on activity-levels.
- In the Steering Committee Meeting September 15, 2006, it was agreed that distributed financial statements should be studied at each unit and a feed-back forwarded to SGS. Most of the units have not done this.
- The Steering Committee shall met more regularly, even if it has been better last fiscal year.
- A big amount of funds were unutilized, however, in most cases that has not been commented on and neither the implications for the future.
- Plans for the use of unutilized funds have not been developed, except in few cases
- Reallocations have not been dealt with in a formally correct way.
- The follow-up of advances have been improved, but still there are unaccounted advances from 2006 and 2007 unsettled and not accounted for, and in most cases this is not acceptable.
- It was expected that External Audit should be ready before the Annual Review Meeting, but that have not been done.

- Improvements seem to have been reached in connection with procurement procedures, even if the regulations more intend to discourage any employee from making abuse of public property.
- Some units have made procurement plans (ICT) but not all.
- Very low bank-interest has been earned.
- No indicators have been introduced.
- Finalizing of the budget and planning process to be in conformity with the original agreement has not been done.
- Computerized accounting-system has not been implemented, but has now been purchased.
- Most of the advances from phase I have been reported accounted for, but not all and not audited by External Auditor.
- The Advance Register is still prepared on an Excel-sheet, which is not acceptable.

Recommendations:

- Even if accountability of advances has improved, the amount of still outstanding amounts is too high. Special emphasis must be put on old advances from 2006 and 2007. The Steering Committee shall execute their previous decision about actions against those who do not account in time. As long as advances are not accounted for, it is impossible to judge how and if that part of the funds have been utilized according to the agreement. An advance can never be assessed as expenditure. The follow-up of the advances are still a matter of urgency.
- The budget and planning process must in the future be governed better, especially by the Steering Committee. Still the planned activities for 2008/2009 are not in conformity with the original agreement and not within the time limits set up.
- The Steering Committee shall take a much more active role and participate more in the finalization of the planning work. The finally suggested plans must be kept within the framework of the original agreement, as no more funds will be available.
- The annual progress reports are not yet ready, but can to some extent be explained by the new format introduced.
- The purchased computerized accounting system shall immediately be implemented and working satisfactory. All receivers of reports shall be thoroughly informed about the new system.
- More time has to be allocated in the Coordinating Office for guidance to the different units as well as for follow-up. Also the Comptroller position shall be further developed.
- It is important that the new coordinator at the Faculty of Medicine is getting support and guidance about financial matters during the introduction phase.
- The Coordination Office shall regularly meet each unit separately for discussions of financial matters.

- Each unit shall quarterly give a feed-back on financial statements to SGS. This small report shall report on variances and justification for them and take up expected consequences for the future development. The Director of SGS shall amalgamate the feed-backs and report to the Steering Committee.
- It is important that the coordinators follow-up the financial statements continuously and adjust any wrong bookings immediately and not at the end of the year.
- Financially the project is now about one year behind the originally expected implementation. The Steering Committee shall be more active and firmly in governing financial matters and plan for future implication of the slow utilization of funds.
- Outside persons shall be elected as members of the Steering Committee, already decided but not yet executed.
- It has to be pointed out that coordinators in each unit have the responsibility for the planning, budgeting and financial reports. The coordinators should have been more concerned about the continuously increasing unutilized funds.
- It is important that SGS and the Steering Committee have full control of the system of control.
- Unaccounted advances from phase I, \$ 415 184 have in most cases been reported to have been accounted for. This has to be audited by the external auditors.
- The Internal audit within the University shall organized in a more adequate way.
- The special Internal Audit team at the bursar's office shall send copies of their report to the Steering Committee and SGS for appropriate action.
- External Audits together with management responses shall always be ready well ahead the Annual Review Meetings.
- Decided reallocations have to be formally documented and executed and for Faculty of Medicine also the final amount (SEK 2 928 590) has to be stated.
- In the Annual Review Meeting in September SEK 197 100 was reallocated to the Department of Mass Communication exceeding the framework of the original agreement. This matter has to be solved formally.
- Sida should transfer remaining funds for Mass Communication SEK 101 600 for 2007 according to revised budget. Sida shall investigate if the SEK 748 000 (Coordinating Office), which was kept in Sweden shall be transferred or not.
- With the slow utilization of funds it can be judged whether budgets and plans have been realistic.
- The reasons for delays in utilization of funds shall be discussed as well as the implications on future development and implementation of activities until the end of the present agreement in 2009. This matter should be discussed already in this year's Annual Review Meeting.
- In the current recording, during the year, the SGS accounting system has not catered for registration on each sub-activity.

- Summarized follow-up of planned and achieved results compared to budget and actual expenditure shall be done. Now it is impossible to see if the project and programs are in right directions and achieving the targets set.
- Actions plans have been done in connection with financial matters. The Project has been requested to report back to Sida, this has not been done in time, but some has been reported back verbally, but not for the big unaccounted advances.
- Development of procurement plans for the project-activities should facilitate smoother procurement procedures.
- A Risk Analysis has to be developed.
- It has to be an instruction for the use of Administrative funds, as not all know how they shall be used.
- The bank shall be requested to pay a higher interest and Sida shall approve the utilization interest earned so far.
- The exchange gain shall be discussed at the Annual Review Meeting and the utilization of that big amount, this fiscal year, \$ 653 310.
- The design of the planning activities should have the same design as the Annual Progress Report to facilitate comparisons.
- Only one Annual Progress Report shall be done for the Sida supported project, covering research matters as well as financial matters.
- Follow-up of DSS bank-accounts and advances.

Overall conclusions.

There has been progress concerning the accounting. The planning of sub-activities with costing of each cost item is good and done for this year as for last year, now it is important that the new accounting-system is developed for follow-up of this planning-system and that accounting-system shall be put in place urgently.

Still the follow-up of advances is very important, even if there is better accountability now, it can improve and a delay of one year or more is not on an acceptable level.

The financial management has to become better developed and used for governing and monitoring of the different activities.

The governance from the Steering Committee has to be firmer and decisions have to be followed-up and executed. It is important to get an overview of the progress of the different activities in relation to plans. Such information should routinely be compiled and consolidated briefly.

Coordinators shall report on deviations from plans and the consequences of that.

Still it is impossible, at least at present, to verify achievements and costs in any systematic result oriented way. This is important for verifying and assessing the actual impact of the Programme Support after its completion in 2009.

The budget shall be implemented both as a help for the direct supervision and guiding of activities, and a control mechanism of actual activities and achievements against set targets and timely and compared with budgeted (planned) costs for the activities in question with the actual expenditure, how else can the coordinators govern the research work in the most effective way using limited resources maximally? How can SGS and the Steering Committee control that funds are utilized in accordance with the agreement. The external auditor shall also compare the use of the funding to the terms

of the Specific Agreement regulating the use of these funds and report of any deviation from the terms of the agreement.

Financially the project is about one year behind, the future implications of this are alarming and doubtful and development and use of unutilized funds after the end of the present agreement period shall be considered.

The comptroller role of the Coordinating Office has to be further developed and strengthened, and it is important that SGS gives more guidance to the faculties/units in financial matters so the coordinators can utilize the financial statements better. It is important that planned activities can be compared with achieved activities with budgeted costs and actual expenditure as this is an important part of the governance of limited resources.

Appendix 1.

RESEARCH COOPERATION BETWEEN SIDA AND MAKARERE UNIVERSITY, UGANDA. PHASE II JULY 2005 – JUNE 2009.

SIDA FUNDING 2007/2008

Due to low utilization 2006/2007, no transfer due to 2007 was made. During 2007/2008 only transfer 2007:1 and 2007:2 was made and therefore those transfers are used in the below columns.

Units	Original Budget Uga for Uga SEK 2007:1 & 2007:2	Revised Budgets + original SEK 2007:1 & 2007:2	Funds Received From Sida SEK	Differences SEK	Comments
Technology	5 128 863				
Tech Regional	<u>1 000 000</u>				
Development	6 128 863	6 128 863	6 128 864	0	ok
Medicine	4 716 696	4 716 700	4 716 700	0	ok
Agriculture	1 748 000	1 748 000	1 748 000	0	ok
Social Sciences	3 264 656	3 264 656	3 264 656	0	ok
	431 061	1 045 860	1 045 860	0	ok
Main Library					
Mass Communi	750 000	1 103 200	654 800	448 400	See below
Public Health	603	603 484	603 484	0	ok
	484				
Gender	1 000 000	1 000 000	1 000 000	0	ok
Mainstreaming					
Coordinating	4 410 000	? 5 158	4 410 000	748 000	Kept in
Office		000			Sweden
ICT/DICTS	6 321 370	4 950 000	4 950 000	0	ok
Grand Total	29 374 130	29 718 763	28 522 364	1 196 400	

Notes:

Dept of Mass Communication:	budget 2006	SEK	82 300	
	budget 2007:1	SEK	551 600	
	budget 2007:2	SEK	<u>551 600</u>	1 185 500
	(2008:1; 429 050			
	2008:2; 429 050)			
	received from Sida 2006		287 500	
			<u>141 600</u>	429 100
	2007:1		375 000	
	2007:2		<u>279 800</u>	<u>654 800</u> - <u>1 083 90</u>
Additional funds to be transferred from Sida				SEK 101 600

2006	82 300 – 429 100 = +	346 800	too much paid that year
2007	1 103 200 – 654 800 = -	<u>448 400</u>	too little paid this year
Net to claim from Sida		101 600	

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The reallocation for revised budget for Department of Mass Communication in the Annual Review Meeting September 2007, is SEK 197 100 above the original agreement framework.

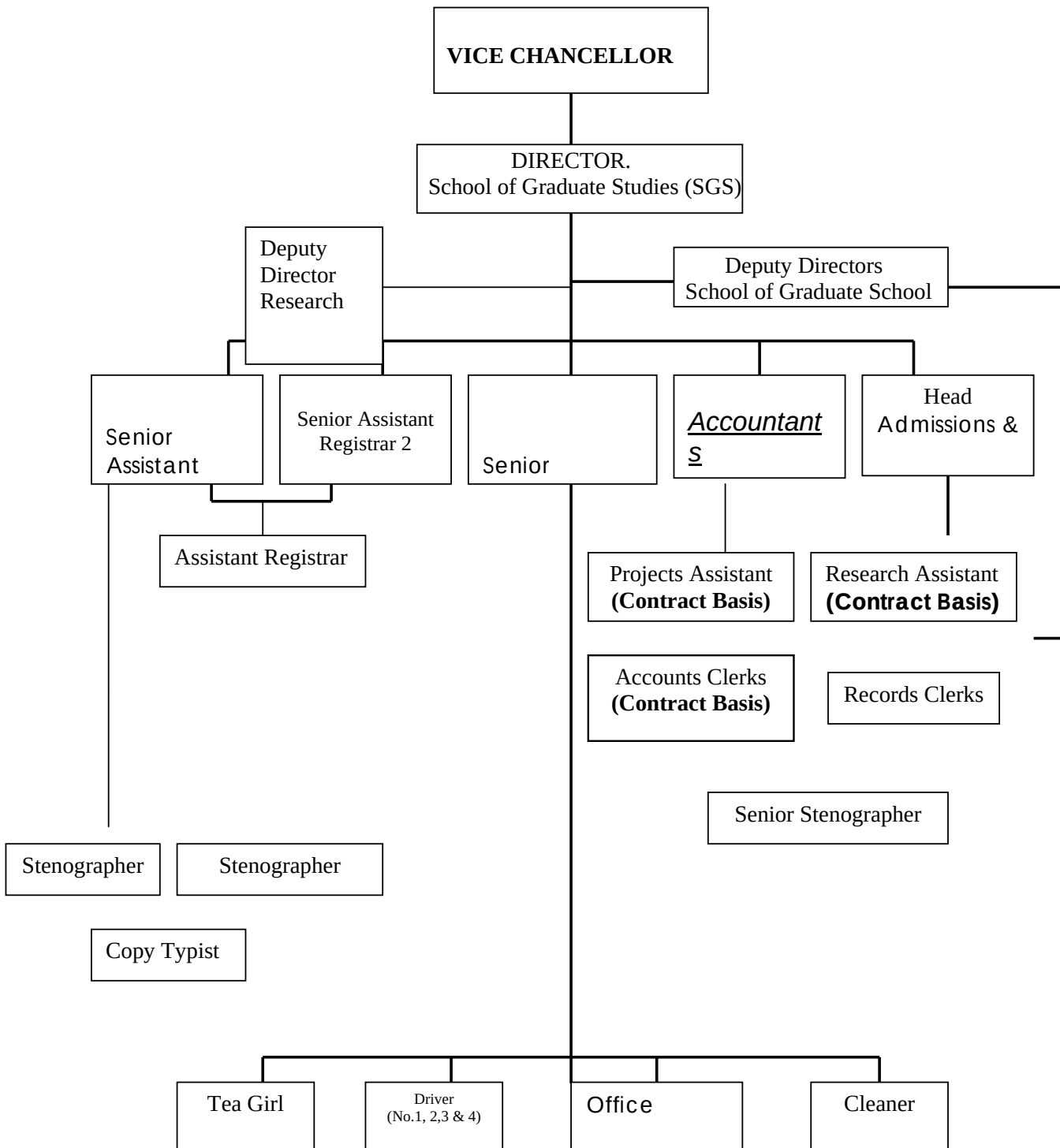
Appendix 2.

Transfer of fund in from Sida 20070101-20080916			Sent from Sida in \$ at the rate 7:50		Received by Makerere 10/9 2007 & 18/4 2008 \$		Exchange rate gain \$
Faculty	Date	Amount					
Coordination office	20070830	2 205 000	294 000		317 255		
	20080411	2 205 000	<u>294 000</u>	588 000	<u>371 939</u>	689 194	+ 101 194
Agriculture	20070830	874 000	116 533		125 751		
	20080411	874 000	<u>116 533</u>	233 067	<u>147 426</u>	273 177	+ 49 110
Fac SS	20070830	1 632 328	217 644		234 859		
	20080411	1 632 328	<u>217 644</u>	435 287	<u>275 348</u>	510 204	+ 74 913
Fac Tech	20070830	3 064 432	408 591		440 910		
	20080411	3 064 432	<u>408 591</u>	817 182	<u>516 908</u>	957 818	+ 140 636
Fac Med	20070830	2 358 350	314 447		339 319		
	20080411	2 358 350	<u>314 447</u>	628 893	<u>397 806</u>	737 125	+ 108 232
Library Act	20070830	522 930	69 724		75 239		
	20080411	522 930	<u>69 724</u>	139 448	<u>88 204</u>	163 447	+ 23 999
ICT Lib Infra	20070830	2 475 000	330 000		356 103		
	20070411	2 475 000	<u>330 000</u>	660 000	<u>417 483</u>	773 586	+ 113 586
Public Health	20070830	301 742	40 232		43 415		
	20080411	301 742	<u>40 232</u>	80 465	<u>50 898</u>	94 313	+ 13 848
Fac Arts Mass	20070830	375 000	50 000		53 955		
	20080411	279 800	<u>37 307</u>	87 307	<u>47 197</u>	101 152	+ 13 845
Gender	20070830	500 000	66 667		71 940		
	20080411	500 000	<u>66 667</u>	133 333	<u>84 340</u>	156 280	+ 22 947
Grand Total		28 522 364		3 802 982		4 456 292	+ 653 310

The exchange rate gain has been credited to each faculty/unit accordingly.

Appendix 3.

**MAKERERE UNIVERSITY ORGANISATIONAL FLOW CHART
FOR THE SCHOOL OF GRADUATE STUDIES (received from SGS)**



Appendix 4.

Research Cooperation between Sida and Makerere University, Uganda. phase II, July 2005 – June 2009.

Comparison between Administrative/Overhead and Unforeseen costs in:

- Original budget 2007/2008
- Actual expenditure 2007/2008

Uga for Uga

Original Agreement

Actual Financial statement 2007/2008

1	2	3	4	5	6	7	8	9	10
Unit	Funds SEK	Administr/ Overhead SEK	Unforeseen SEK	3 + 4 in % of 2	Funds Received \$	Administ/ Overhead \$	Unforeseen \$	Total Expendit \$	7 + 8 in % of 9
Technology	5 181 565 1 000 000	340 000	67 784	6.6%	957 817	44 886	0	773 448	5,8%
Medicine	4 602 222	260 503	50 507	6.8%	737 126	20 449	0	704 462	2,9%
Agriculture	1 598 000	110 000	38 750	9.3%	273 176	1 756	0	143 730	1,2%
Social Sciences	3 143 590	235 000	184 798	13.4%	510 200	36 286	2 618	322 789	12,1%
Main Library *	1 020 860	84 000	0	13,4%	163 447	9 500	0	155 440	6,1%
Mass Communi- cation *	1 010 750	27 000	35 500	6,2%	101 149	4 025	0	97 821	2,4%
Public Health	464 479	26 291	0	5.7%	94 314	0	0	71 264	0%
Gender Main- streaming	1 000 000	38 543	0	3.9%	156 283	5 288	0	122 371	4,3%
Coordinating Office	4 417 750	120 132	27 050	3.3%	689 194	10 536	12 596	667 338	3,5%
ICT *	4 920 000	0	0	0%	773 587	0	0	502 012	0%
Interest	0	0	0	0	2 178			4 240	-
Grand Total	28 359 216	1 241 469	404 389	5,8%	4 458 471	132 726	15 214	3 564 915	4,1%

* revised budgets

Notes:

The columns 2 – 5 are in SEK, while columns 6 – 9 are in \$

Funds received in column 6 apply to

- funds 2007:I

- funds 2007:II
- funds for 2008:I, January – June 2008 has not yet been transferred from Sida.

Appendix 5.

Research Cooperation between Sida and Makerere University, Uganda, phase II, July 2005 – June 2009.

Summary of overdrafts phase II 2007/2008.

Below is listed the overdraft-balances as at June 30, 2008. However Sida has not transferred the funds for 2008:1 (January – June 2008), therefore most of the overdrafts can be covered by this transfer.

Faculty/unit	Cost item	Total budget 2007/2008	Overdraft in the balance as at 30 June 2008
Technology	Allowances field work	101 076	(103 404)
	Regional Development	133 333	(17 541)
Medicine	N/A	N/A	N/A
Agriculture	Travel	33 467	(1 265)
Social Sciences	N/A	N/A	N/A
Main Library	N/A	N/A	N/A
Mass Communication	Consumables	0	(11 537)
	Allowances field work	12 880	(14 674)
Public health	Travel	10 407	(1 314)
Gender Mainstreaming	Travel	13 507	(5 364)
Coordinating office	Minor equipment	0	(2 769)
	Allowances field work	0	(10 203)
	Consumables	349 589	(45 785)
	Unforeseen	3 607	(2 064)
ICT/DICTS	Minor equipment	0	(2 769)
	Consumables	0	(10 023)

Note:

- When appraising the overdrafts, it shall be in the light of a totally low utilization of funds.
- Some of the overdrafts should have been charged to other cost item lines.

Appendix 6.

**Research Cooperation between Sida and Makerere University, Uganda,
July 2005 – June 2009.**

**Comparison between budgeted (approved) Consumables and Actual Expenditure
of Consumables phase II the fiscal year 2007/2008.**

Uga for Uga.

Approved budget 2007/2008		Actual Expenditure 2007/2008				
Unit	Total budget in \$	Consumables in \$	Consumables in % of total budget	Total expenditure \$	Consumables in \$	Consumables in % of total expenditure
Technology	824 209	73 421	8.9%	773 448	35 530	4.6%
Medicine	613 630	153 085	24.9%	704 462	104 454	14.8%
Agriculture	213 067	8 400	3.9%	143 730	3 370	2.3%
Social Sciences	419 145	106 271	25.4%	322 789	89 454	27.7%
Main Library	136 115	90 879	66.8%	155 440	112 394	72.3%
Mass Comm	134 767	57 200	42.4%	97 821	27 180	27.8%
Public health	61 931	3 067	5.0%	71 264	3 033	4.3%
Gender Mainstr	133 333	44 475		122 371	7 465	6.1%
Coordinating of	589 033	216 255	36.7%	667 338	286 772	43.0%
ICT/DICTS	656 000	0	0	502 012	556	0.1%
Bank charges	-	-	-	4 240	-	-
Grand Total	3 781 230	753 053	19.9%	3 564 915	670 209	18.8%

Consumables phase II fiscal year 2006/2007

Uga for Uga

Unit	Total budget in \$	Consumables In \$	Consumables in % of total budget	Total expenditure \$	Consumables in \$	Consumables in % of total expenditure
Technology	838 231	92 944	11.8%	521 302	45 035	8.6%
Medicine	634 963	143 794	22.6%	393 155	51 655	13.1%
Agriculture	227 733	7 667	3.4%	195 594	15 117	7.7%
Social Sciences	431 764	114 551	26.5%	186 158	25 945	13.9%
Main Library	69 377	28 854	41.6%	133 076	116 273	87.3%
Mass Comm	88 533	35 993	40.2%	19 075	0	0%
Public health	76 339	2 124	2.8%	13 005	2 439	18.8%
Gender Mainstr	133 333	45 558	34.2%	53 156	22 812	42.9%
Coordinating of	648 300	364 214	56.2%	549 936	184 959	33.6%
ICT/DICTS	655 667	0	0%	810 252	3 420	0.4%
Bank charges	-	-	-	2 253	-	-
Grand total	3 804 240	835 696	22.0%	2 877 727	467 653	16.3%

Appendix 7.

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY, UGANDA, PHASE II, JULY 2005- JUNE 2009

Advances unaccounted for compared to total funds, 2007/2008, 2006/2007 and 2005/2006 in \$

Faculty/unit	Unaccounted advances August 31, 2008*	Total funds received 2007/2008	Unaccounted advances June 30, 2007	Total funds received 2006/2007	Unaccounted advances June 30, 2006	Total funds received 2005/2006
Technology	40 446	957 818	185 414	472 709	56 974	807 476
Medicine	89 946	737 125	306 531	351 273	28 584	648 895
Agriculture	72 063	273 177	81 296	121 871	11 782	188 169
Social Sciences	37 742	510 200	144 522	255 726	0	417 305
Main Library	0	163 447	2 330	81 512	0	157 510
Mass Communica	0	101 152	29 237	20 692	0	38 364
Inst. of Public health	0	94 313	29 396	39 572	2 439	60 662
Gender Mainstreaming	11 880	156 280	33 007	73 064	18 553	131 695
School of Graduate St	85 981	689 194	98 471	388 298	44 887	744 059
ICT – DICTS	1 235	773 586	8 156	356 917	0	695 511
Interest	0	2 178	0	4 652	0	545
Grand total	** 339 293	4 458 470	918 360	2 166 286	163 219	3 890 191

Note:

- The date for 2008 is August 31, as no amounts for June 30. 2008 were available
- ** Out of the above advances are \$ 51 035 kept at separate Sida-accounts at various faculties/units see Appendix 8.

Transfers of funds from Sida were received:
for 2005/2006 on 4 October 2005 and 23 June 2006 and
for 2006/2007 on 29 December 2006 and
for 2007/2008 on 10 September 2007 and 16 April 2008.

Appendix 8

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY,
UGANDA, JULY 2005 - JUNE 2009.**

List of separate Sida Bank accounts at various faculties/units June 30, 2008.

	Amount in \$	
Faculty of Technology	0	\$ 16 858, only for Reg Development
Faculty of Medicine	19 489	
Faculty of Agriculture	1 707	
Faculty of Social Sciences	13 162	
Iganga DSS Shs 146,935	9 070	
Institute of Public Health	5 887	For DSS
Dept of Mass Communication	0	Not utilised and will maybe not be utilised
Gender Mainstreaming Progr.	1 720	
ICT/DICTS	0	
Main Library	0	
Total amount	51 035	
Main Account		
Coordinating Office SGS \$	1 086 757	
Coord.off SGS Shs acc. = \$	898 746	
Total kept in bankaccounts	\$ 2 036 538	

As the advances to researchers now shall go through SGS, most of the bank-accounts shall be closed.

Appendix 9.

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, PHASE II, JULY 2005 TO JUNE 2009.
Comparison of various budgets 2008/2009.**

	Approved budgets in the original agreement + revised SEK	Budgets in activity plans 08/09 Approved as per MAK Summary SEK	Budgets in activity plans 08/09 Planned as per each faculty/unit SEK	Estimated budgets as per MAK summary of 2008/2009 budgets planned activities SEK
Coordination off.	4 998 500	4 998 500	7 543 767**	7 906 237
Agriculture	1 850 000	1 850 500	1 765 700	2 590 700
Social Sciences	3 930 000	3 886 100	4 114 415	3 885 600
Technology + Reg Coll	12 029 000	12 029 000	15 048 733	15 048 733
Medicine	9 142 500	9 142 471	11 379 998***	11 433 009
Library *	1 925 000*	1 925 000*	1 925 000*	1 925 000
ICT (revised)	6 350 000	6 350 000	6 350 000	6 350 000
Public health	1 100 000	1 100 000	1 365 122	1 365 112
Mass Communicat	828 600	828 250	859 500	859 500
Gender	<u>1 000 000</u>	<u>1 000 000</u>	<u>1 000 000</u>	<u>1 000 000</u>
	43 153 600	43 109 821	51 352 235	52 363 901
*) = revised budget?				**) 5 116 681
**) = see calculation, and not approved reallocations				1 464 600 DSS
***) = total budget including others				360 000
				132 750
				<u>468 736</u>
In ARM September 24-28, 2007 SEK 197 100 was approved				7 543 767
for Dept of Mass Communication above the original agreement				<u>362 470 ?</u>
				7 906 237

Approved budget in agreement	Planned budget 2008/09	Difference	Of difference referring to rev budget Library

Uga for uga	25 099 900	25 039 903	59 997	973 325	- 913 328
Swe for Swe	12 370 856	12 371 076	- 220	265 940	- 266 160
Swe for Uga	4 682 844	4 698 844	- 16 000	- 264 265	+ 248 265
Regional	<u>1 000 000</u>	<u>1 000 000</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total	43 153 600	43 109 823	43 777	975 000	-931 223

From the beginning the amount of SEK 51 352 235 above was presented as SEK 64 645 580.

Appendix 10.

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009**

List of unaccounted advances as at August 31st, 2008, from payments made before June 30th, 2008.

Description of payees of advances given, in the Advance Register in \$

Unit	Regional Development	Faculty	Faculty members	Standard Chart Bank	Total amount of advances given	Out of this given 2007	Out of this given 2006
Technology	0	35 000	5 446	0	40 446	35 000	0
Me	0	18 000	71 946	0	89 946	35 986	0
dicine							
Agriculture	0	60 836	11 227	0	72 036	45 001	25 062
Soc Sciences	0	8 461	29 281	0	37 742	26 801	0
Library	0	0	0	0	0	0	0
Mass Comm	0	0	0	0	0	0	0
Public health	0	0	0	0	0	0	0
Gender	0	0	11 880	0	11 880	2 743	3 137
SGS	0	0	83 011	0	83 011	41 186	0
DSS	0	0	2 970	0	2 970	0	0
ICT	0	0	1 231	0	1 235	1 235	0
Grand total	0	122 297	216 996	0	339 293	187 952	28 199

Summary	2006	28 199
	2007	187 952
	2008	<u>123 142</u>
		\$ 339 293

No list of unaccounted advances as at 30th June 2008 was available, as accounted advances had been deleted from the Excel-sheet and no documentation kept.

Appendix 11.**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budgets in planned
activity
plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

The total program.

Faculty/unit	Original budget as per agreement 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual expenditure the fiscal year 2007/2008 \$
Coordinating Office	4 417 750	589 033	6 578 476	877 130	667 336
Agriculture	1 598 000	213 067	2 027 050	270 273	143 731
Social Science	3 143 590	419 145	3 146 930	419 591	322 786
Technology+Reg dev	6 181 565	824 209	9 024 074	1 203 210	766 598
Medicine	4 602 222	613 630	4 839 051	645 207	722 463
Library (revised)	1 020 860	136 115	1 390 620	185 416	155 440
ICT (revised)	4 920 000	656 000	4 920 000	656 000	502 012
Public health	464 479	61 930	724 600	96 613	71 262
Mass Com (revised)	1 010 750	134 767	238 150	31 753	97 822
Gender	1 000 000	133 333	1 000 000	133 333	122 370
Grand Total	28 359 216	3 781 229	33 888 951	4 518 526	3 571 820

**Comments: \$ in the budget columns are calculated at the rate of 7:50 as per
original agreement.**

Proposal**Appendix 12**

Draft version 2008-02-07.

RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE UNIVERSITY

CHECKLIST FOR FOLLOW-UP OF FINANCIAL MATTERS in connection with the continuous quarterly follow-up meetings between SGS and each faculty/unit

FACULTY/UNIT:.....

Financial statement as at	30/9 200..	31/12 200..	31/3 200..	31/5 200..
Follow-up date				
Received feed-back on financial statement (comments on variances)				
Discussed the actual expenditure compared to budgeted expenditure				
Unutilized funds in \$				
Achievements compared to targets set				
Unaccounted advances \$				
Bookkeeping up to date				
Accounting for sub-program- activities up to date				
Advance register up-to-date				
Asset Register up to date				
Justification for unutilized funds				
Future effects of not utilizing funds as per budget				
Reallocations of funds necessary				
Formalities with reallocations:				
Decisions – minutes. Steering Committee and so on				
Information flow				

within the faculty/unit about the project Procurement plans available Committed expenditure \$				

Comments:.....
.....

Present at the follow-up
meeting:.....

Appendix 13: a)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Faculty of Technology incl Reg Collabo-

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	413 000	55 067	744 000	99 200	12 965	
Minor equipment	466 300	62 173	612 200	81 627	12 772	
Consumables	550 655	73 421	1 357 000	180 933	35 530	
Travel	1 706 680	227 557	2 276 341	303 513	153 427	
Allow fieldwork	757 934	101 058	1 507 458	200 994	188 845	Exceeded
Subsistence grant	679 212	90 562	962 675	128 357	86 634	
Salaries	0	0	0	0	0	
Unforeseen	67 784	9 038	24 400	3 253	0	
Administration/ Overhead	340 000	45 333	340 000	45 333	44 886	
Faculty funds	200 000	26 667	200 000	26 667	0	
Reg collaborat.	1 000 000	133 333	1 000 000	133 333	238 389	Exceeded
Grand total	6 181 565	824 209	9 024 074	1 203 210	773 448	

**Comments: \$ in budgetcolumns are calculated at the rate of 7:50 as per origina
agreement.**

Unutilized balance as at June 30, 2008 \$ 429 033

Funds not transferred for January – June 2008. \$ 415 618 (at 7:50)

Unutilized \$ 844 651

Budget for 2008/2009 SEK 5 774 948 = \$ 769 993 (at 7:50)

Exchange gain 2007/2008 \$ 140 636

Appendix 13:b)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY,**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Faculty of Medicine

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	141 885	18 918	254 387	33 918	51700	Exceeded
Minor equipment	133 320	17 776	243 821	32 509	14 550	
Consumables	1 148 140	153 085	1 013 687	135 158	104 454	
Travel	736 002	98 134	835 573	111 410	122 321	Exceeded
Allow fieldwork	1 480 722	197 430	1 477 585	197 012	330 466	Exceeded
Subsistence grant	371 144	49 486	424 295	56 573	21 522	
Salaries	0	0	0	0	0	
Unforeseen	50 506	6 734	49 200	6 560	0	
Administration/ Overhead	260 503	34 734	260 503	34 734	20 449	!!
Faculty funds	280 000	37 333	280 000	37 333	39 000	
Reg collaborat-	0	0	0	0	0	
Grand total	4 602 222	613 630	4 839 051	645 207	704 462	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 279 894

Funds not transferred for January – June 2008 \$ 299 183

Unutilized \$ 579 077

Budget for 2008/2009 SEK 4 223 695 = \$ 563 159

Exchange gain \$ 108 232

Appendix 13:c)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Faculty of Agriculture.

Cost item	Original budget as per agree- ment 2007/2008 SEK	\$	Budget in planned activity plans 2007/2008 SEK	\$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	0	0	0	0	0	
Minor equipment	18 000	2 400	45 000	6 000	1 915	
Consumables	63 000	8 400	276 400	36 853	3 370	
Travel	251 000	33 467	484 000	64 533	50 292	
Allow fieldwork	399 750	53 300	366 050	48 807	72 227	Exceeded
Subsistence grant	117 500	15 667	107 600	14 347	10 872	
Salaries	0	0	0	0	0	--
Unforeseen	38 750	5 167	38 000	5 0	0	
Administration/ Overhead	110 000	14 666	110 000	14 666	1 757	
Faculty funds	600 000	80 000	600 000	80 000	3 298	
Reg collaborat-	0	0	0	0	0	
Grand total	1 598 000	213 067	2 027 050	270 273	143 731	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 186 232

Funds not transferred for January – June 2008 \$ 96 533

Unutilized \$ 282 765

Budget for 2008/2009 SEK 1 412 000 = \$ 188 267

Exchange gain 2007/2008 \$ 40 110

Appendix 13:e)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Library activities

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	0	0	0	0	0	
Minor equipment	0	0	40 000	5 333	0	
Consumables	681 595	90 879	716 740	95 566	112 394	
Travel	119 950	15 993	171 280	22 837	18 118	
Allow fieldwork	0	0	45 000	6 000	0	
Subsistence grant	135 315	18 042	333 600	44 480	15 428	
Salaries	0	0	0	0	0	
Unforeseen	0	0	0	0	0	
Administration/ Overhead	84 000	11 200	84 000	11 200	9 500	
Faculty funds	0	0	0	0	0	
Reg collaborat-	0	0	0	0	0	
Grand total	1 020 860	136 114	1 390 620	185 416	155 440	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 65 456

Funds not transferred for January – June 2008 \$ 66 391

Unutilized \$ 131 847

Budget for 2008/2009 SEK 912 930 = \$ 121 724

Exchange gain 2007/2008 \$ 23 999

Appendix 13:f)**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Mass Communication

	Original budget as per agree- ment 2007/2008 SEK	\$	Budget in planned activity plans 2007/2008 SEK	\$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	0	0			19 235	
Minor equipment	67 750	9 033			1 002	
Consumables	428 900	57 187			27 180	
Travel	172 850	23 047			12 833	
Allow fieldwork	96 600	12 880			16 206	
Subsistence grant	132 050	17 607			17 341	
Salaries	0	0			0	
Unforeseen	35 500	4 733			0	
Administration/ Overhead	27 000	3 600			4 025	
Faculty funds	0	0			0	
Reg collaborat-	0	0			0	
Grand total	960 650	128 087	1 042 750	139 033	97 822	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 32 446

Difference in fund transfer 2007, SEK 101 600 \$ 13 547

Funds not transferred for January – June 2008 \$ 54 540

Unutilized \$ 100 533

Budget for 2008/2009 SEK 524 450 = \$ 69 927

Exchange gain 2007/2008 \$ 13 841

Appendix 13:g)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Institute of Public Health

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	0	0	0	0	0	
Minor equipment	0	0	40 000	5 333	3 369	
Consumables	23 006	3 067	20 000	2 667	3 033	
Travel	78 054	10 407	80 000	10 667	10 398	
Allow fieldwork	234 534	31 271	450 000	60 000	42 191	
Subsistence grant	102 594	13 679	95 000	12 666	12 271	
Salaries	0	0	0	0	0	
Unforeseen	0	0	0	0	0	
Administration/ Overhead	26 291	3 506	0	0	0	
Faculty funds	0	0	39 600	5 280	0	
Reg collaborat-	0	0	0	0	0	
Grand total	464 479	61 930	724 600	96 613	71 262	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 99 853

Funds not transferred for January – June 2008 \$ 21 698

Unutilized \$ 121 551

Budget for 2008/2009 SEK 309 474 = \$ 41 263

Exchange gain 2007/2008 \$ 13 848

Appendix 13:h)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.**

Faculty/unit: Gender Mainstreaming

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	0	0	0	0	0	
Minor equipment	50 128	6 684	0	0	8 110	
Consumables	333 560	44 474	487 466	64 995	57 465	
Travel	101 300	13 507	135 000	18 000	17 388	
Allow fieldwork	476 469	63 529	190 586	25 412	34 120	
Subsistence grant	0	0	131 448	17 526	0	
Salaries	0	0	0	0	0	
Unforeseen	0	0	0	0	0	
Administration/ Overhead	38 543	5 139	55 500	7 400	5 288	
Faculty funds	0	0	0	0	0	
Reg collaborat-	0	0	0	0	0	
Grand total	1 000 000	133 333	1 000 000	133 333	122 371	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 134 581

Funds not transferred for January – June 2008 \$ 66 667

Unutilized \$ 201 248

Budget for 2008/2009 SEK 1 000 000 = \$ 133 333

Exchange gain 2007/2008 \$ 22 947

Appendix 13:i)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

**Comparison between original budget as per agreement – budget in planned
activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga**

Faculty/unit: Coordinating Office

Cost item	Original budget as per agree- ment 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	372 500	49 667	812 500	108 333	43 188	
Minor equipment	32 500	4 333	280 115	37 349	438	
Consumables	2 621 915	349 589	3 203 459	427 128	286 771	
Travel	425 855	56 780	404 620	53 949	34 108	
Allow fieldwork	11 750	1 566	100 000	13 333	4 009	
Subsistence grant	48 100	6 413	0	0	3 797	
Salaries	757 948	101 060	1 579 866	210 649	140 619	
Unforeseen	27 050	3 607	87 445	11 659	12 596	
Administration/ Overhead	120 132	16 018	110 471	14 730	10 535	
Research funds	0	0	0	0	131 275	Exceeded
DSS						(265 464)
Biochem & GIS						(38 088)
Grand total	4 417 750	589 033	6 578 476	877 130	667 336	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.**

Unutilized balance as at June 30, 2008 \$ 202 933

Funds not transferred for January – June 2008 \$ 295 033

Unutilized \$ 497 966

Transfer kept in Sweden SEK 748 000 = \$ 99 733 ? Shall this amount be paid?

Budget for 2008/2009 SEK 4 430 000 = \$ 590 667

Exchange gain 2007/2008 \$ 101 194

Appendix 13:j)**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.****Comparison between original budget as per agreement – budget in planned
activity****Faculty/unit: ICT and Library Infrastructure**

	Original budget as per agree- ment 2007/2008 SEK	\$	Budget in planned activity plans 2007/2008 SEK	\$	Actual Expenditure fiscal year 2007/2008 \$	Comments
Equipment	4 561 000	608 133	4 561 000	608 133	451 350	
Minor equipment	0	0	0	0	0	
Consumables	0	0	0	0	556	
Travel	156 000	20 800	156 000	20 800	28 996	Exceeded
Allow fieldwork	50 000	6 667	50 000	6 667	7 600	
Subsistence grant	153 000	20 400	153 000	20 400	13 510	
Salaries	0	0	0	0	0	
Unforeseen	0	0	0	0	0	
Administration/ Overhead	0	0	0	0	0	
Faculty funds	0	0	0	0	0	
Reg collaborat-	0	0	0	0	0	
Grand total	4 920 000	656 000	4 920 000	656 000	502 012	

**Comments: \$ in budget columns are calculated at the rate of 7:50 as per original
agreement.****Unutilized balance as at June 30, 2008 \$ 404 150****Funds not transferred for January – June 2008 \$ 326 000****Unutilized \$ 730 150****Budget for 2008/2009 SEK 4 570 000 = \$ 609 333**

Exchange gain 2007/2008 \$ 113 586.

Appendix 13:k)

**RESEARCH COOPERATION BETWEEN SIDA AND MAKERE
UNIVERSITY, UGANDA, JULY 2005 – JUNE 2009.**

Comparison between original budget as per agreement – budget in planned activity plans and actual expenditure for the fiscal year 2007/2008, Uga for uga.

The total program.

	Original budget as per agreement 2007/2008 SEK	= \$	Budget in planned activity plans 2007/2008 SEK	= \$	Actual expenditure the fiscal year 2007/2008 \$
Coordinating Office	4 417 750	589 033	6 578 476	877 130	667 336
Agriculture	1 598 000	213 067	2 027 050	270 273	143 731
Social Science	3 143 590	419 145	3 146 930	419 591	322 786
Technology+Reg dev	6 181 565	824 207	9 024 074	1 203 210	773 448
Medicine	4 602 222	613 630	4 839 051	645 207	704 462
Library (revised)	1 020 860	136 114	1 390 620	185 416	155 440
ICT (revised)	4 920 000	656 000	4 920 000	656 000	502 012
Public health	464 479	61 930	724 600	96 613	71 262
Mass Com (revised)	1 010 750	134 766	1 042 750	139 033	97 822
Gender	1 000 000	133 333	1 000 000	133 333	122 370
Interest					4 240
Grand Total	28 359 216	3 781 225	34 693 551	4 625 806	3 564 915

-
Comments: \$ in the budget columns are calculated at the rate of 7:50 as per original agreement.

Unutilized balances as at June 30, 2008 \$ 2 321 934

Funds not transferred for January – June 2008 \$ 1 845 832

Unutilized \$ 4 167 766

Transfer Mass Comm 2007 SEK 161 800 \$ 21 573 + Coord Off \$ 99 733 ??

\$ 4 189 339

Budget for 2008/2009 \$ 3 479 986

Appendix 14.**RESEARCH COOPERATION BETWEEN SIDA AND MAKERERE
UNIVERSITY, UGANDA, PHASE II, JULY 2005 – JUNE 2009**

Funds for first half year not yet transferred from Sida to Makerere as at June 30, 2008.

Unit	Original budget 2008:I SEK	= \$ At 7:50		
Coordinating Office	2 212 750	295 033	+ SEK 748 000	\$ 99 733
Agriculture	724 000	96 533		
Social Science	1 511 262	201 502		
Technology + Reg dev	3 117 134	415 618		
Medicine	2 243 874	299 183		
Library (revised)	497 930	66 391		
ICT (revised)	2 445 000	326 000		
Public health	162 737	21 698		
Mass Com (revised)	429 050	57 207		
Gender Mainstr	500 000	66 667		
Grand Total	13 843 737	1 845 832		
Mass Comm from 2007	161 800	21 573		
Grand Total	14 005 537	1 867 405		\$ 99 733

Note:

Of funds for Coordinating Office SEK 748 000 has been kept in Sweden, shall it be paid out or not?

2. RESEARCH MONITORS REPORTS 2004, 2006, 2007, 2008

Report of Pilot Monitoring Team

**Makerere University
Research Capacity Development
Sida/SAREC**

Phyllis Freeman & Eva Johansson
Pilot Monitors

30 June 2004

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SUMMARY OF KEY RECOMMENDATIONS

This report proposes that Sida/SAREC consider three types of monitoring, and a self-study approach for external review, the more formal evaluation of this Makerere University-Sida/SAREC program. The three types of monitoring and evaluation include:

- **Issues for special treatment.** Four sets of issues appear to merit special analytic attention from Sida/SAREC. Some, or all four of these areas, might be analyzed by Sida/SAREC in conjunction with other donors. The problems that arise in each probably confront all donors working with Makerere University. Thus, other donors might be interested in sharing information and the costs to generate options for alleviating the problems. The four areas include: 1) procurement, financial systems and disbursement; 2) intellectual property rights and the absence of publicly accessible archives of data; 3) compensation and incentives for faculty engagement in programs of priority research to benefit Uganda's development; and, 4) repatriation of experienced Ugandan researchers and faculty to Makerere University.
- **Ongoing monitoring.** The report suggests that a team of at least two monitors work together, and in a way that would supplement, not to duplicate the work of Sida/SAREC staff or program participants. The initial purposes of ongoing monitoring include: 1) sharpening the objectives of the different components in the program; 2) enhancing communication and increase transparency and collaboration among participants in the program; 3) helping units improve the substance and clarity of reporting to their peers and to Sida/SAREC. Additionally, ongoing monitors could participate in the development of the self-study approach for evaluation of the Sida/SAREC –Makerere University program, and help the units prepare to write their first “self-study” as a basis for an external review.
- **A formal evaluation/external review.** We recommend that Sida/SAREC explore the self-study approach, with the help of appropriate methodologists. This approach to program evaluation appears to be well suited to the research and doctoral program strengthening that is the essence of this Sida/SAREC-Makerere University collaboration.

The report does not suggest imposing a formal, self-study format in the very near future.

Instead the recommendation is to move gradually this direction, using ongoing reporting and planning activities already anticipated by the upcoming phases of the program to lead to a more formal system of evaluation based on a “self-study” to be conducted by each participating unit. Sida/SAREC would establish an ongoing, process monitoring team soon, and begin a transition to more formal evaluation with assistance from the monitors and one or more individuals experienced in program evaluation methodologies, including that of “self-study”. This planning process would involve participants in the Makerere program, including Swedish counterparts, in clarifying objectives and selecting a methodologic framework, including criteria for evaluation, and data to collect as part of regular planning and review activities.

Although this report suggests development of a self-study approach primarily for evaluation of the Sida/SAREC program, this approach may offer long-term benefits to Makerere University as a whole. Self-assessment as the basis for external reviews is widely relied upon to strengthen research capacity and to improve academic programs in many countries of the world. This type of evaluation may be useful for all academic programs at Makerere University.

REPORT

1. Introduction

1.1. The invitation

Sida/SAREC currently supports a program at Makerere University in Uganda, in cooperation with Swedish university faculties acting as development partners, to strengthen capacity for research and research training. The first agreement period (2002-mid 2005) will soon enter its last year, and proposals for a second phase of four years (2005 to 2008) are already being prepared.

As Sida/SAREC is considering creation of a monitoring team to supplement the efforts of the program officer for the next phase, we^{7, 8} were invited, as “pilot monitors” to test the concept and to help develop Terms of Reference for a 3-4 year monitoring team. The purpose of monitoring would be to review more closely and systematically the research support to Uganda. (For further information on the purposes of pilot monitoring and longer term monitoring, see SAREC’s University Support and National Research Division (UNI) work-plan for 2003 and Monitoring Team: Terms of Reference for the Pilot Monitoring Team).

1.2. Pre-planned activities

The following activities of the Pilot Monitoring Team were pre- planned by the Sida/SAREC program officer;

- Orientation at Sida/SAREC in Stockholm 14-16 April and at Karolinska Institute 17 April
- Observation of Annual Review Meeting 19-23 April at Makerere University
- Observation of Norad Annual Meeting with Ugandan Ministry of Finance 22 April
- Follow-up interviews determined by Pilot Monitors 23-28 April
- Report writing (draft submitted 23 May, final 30 June 2004)

1.3. Task of Pilot Monitors

We interpreted the tasks for the Pilot Monitors as follows:

- To identify the sorts of challenges that an ongoing monitoring team may be well-suited to address

⁷ Freeman, JD, faculty member in a Public Policy Ph.D. program (now *emerita*) and policy researcher in public policy, health and law from the United States; Co-Editor, Journal of Public Health Policy. Particular interest research capacity strengthening in developing countries.

⁸ Johansson, Ph.D. faculty member, doctoral program director and research scientist in agricultural sciences from Sweden. Particular interest in research capacity strengthening in developing countries.

- To use the opportunity as newcomers, without specific, pre-assigned tasks, to consider how monitoring can be systematic in order to help Sida/SAREC and Makerere University to reach program goals and strengthen research capacity at the university overall
- To suggest ways in which a monitoring team could efficiently enhance the Sida/SAREC program without duplicating roles of Sida/SAREC program officer, Makerere University Coordinators, Deans and Supervisors, or their Swedish counterparts
- To identify qualifications and characteristics for a team
- To suggest alternatives for composition of a team, its role/s, scope of work and ways in which it could carry out its responsibilities

1.4. Approach of Pilot Monitors

In our exploratory role, we attempted to be systematic, so that we could provide Sida/SAREC and any future monitors as complete a record of our experience, observations and recommendations as possible. (Full record of notes could be copied and made available on request). Our process involved:

- Observing each session of the annual review meeting at Makerere University (19-23 April 2004) and meeting all participants from Makerere University and the Swedish universities who were able to attend the meeting (approximately 100 people, at least 50 of whom we saw not only in plenary sessions, but also in smaller meetings, unit by unit)
- Conducting follow-up interviews with Deans/Coordinators and others based on discussions among the Pilot Monitoring Team and Sida/SAREC program officer⁹
- Interviewing some Makerere University faculty/program directors whose units did not submit applications or were not selected to design research programs or to train Ph.D. students during the first phase of the program, but might be part of Phase II
- Maintaining comprehensive notes of each session as a primary source for reflection as we selected follow-up activities and considered what advice to offer to Sida/SAREC
- Identifying issues that may inhibit, or could promote strengthening of research capacity—and maintaining a record of the context when they emerged (e.g. which group of faculty or students or administrators was concerned with which issues—as a basis for informing any subsequent monitors of important areas for concentrating effort)
- Compiling an inventory of the issues (See Appendix A)
- Categorizing the issues that may warrant further attention of monitors in various ways

⁹ For the most part our follow-up activities were interviews of one or two people at a time, rather than with groups. After the program participants had spent days preparing for and participating in many meetings, we were concerned about taking more of their time away from other activities for more meetings. We tried to limit the extent to which we intruded into their work days. As we were not there to intervene or even to conduct a formal evaluation of program components, we chose to engage with deans, coordinators, faculty and students in unstructured conversations where we could invite them to tell us what issues were of concern and how these might be productively addressed. This is not to say that “focus group” sessions might not be useful at some point in the future, particularly if they do not coincide with a full week of formal review meetings.

- Identifying a full range of tasks that future monitors might take up—as a basis for Sida/SAREC to review, and from which to select priorities
- Identifying roles monitors could play: observing, reporting to Sida/SAREC, working with participants actively on selected problems, etc. (For Division of Labor between pilot monitors in follow-up interviews, See appendix B).

It is on this basis that we make the recommendations for future monitoring in Sections 4 & 5 below.

2. Long term goal of program: Strong programs of research and Ph.D. training operating systematically

Our comments, about which issues may deserve attention of future monitors, derive from a shared concept of what it means to strengthen the research capacity of a university such as Makerere. Thus we summarize our understanding here—as a basis for considering what a successful strategy of research capacity strengthening is intended to achieve—ultimately “a research university” able to help address major needs of the nation of Uganda.

We understand the process and goals to include:

- Encouraging researchers to think beyond short term, research projects (often commissioned by an external party), to instead design long terms agendas for research, and strategic programs of research that link individual researchers into research groups, and join research units together on themes of high priority for Uganda (e.g. poverty alleviation)
- Enhancing skills of faculty and students for designing and conducting studies, analysing results and disseminating new learning for improving policies, practices and outcomes for those intended to benefit
- Encouraging dissemination of research methods, findings and recommendations for action within the scholarly community of peers (in journals, especially peer-review journals indexed in international databases and at conferences), among policy makers and practitioners (local, national, regional and international), and in ways to benefit and engage the population of Uganda (through direct interactions with communities, NGOs, businesses and using popular media)
- Enhancing writing and presentation skills to increase the uptake of research in journals, policy settings, among practitioners and intended beneficiaries of research
- Supporting productive research groups so that they become increasingly capable of attracting collaborators of their choice
- Increasing internal and external funding, using development funds such as those provided by Sida/SAREC to formulate a strategy for attaining and sustaining long term support
- Encouraging open discussion of impediments to research productivity, formulation of proposals for policies and administrative systems to facilitate research on campus, and among Makerere researchers and their collaborators in other countries and regions of the world
- Achieving increasing recognition of Makerere University as having strong research capacity in at least several, carefully selected areas (See Makerere University Strategic Plan 2001-2007) as the basis for sustaining a productive ‘research university’

constantly contributing to Uganda, the region; and to global debates about how to address the important scientific and development challenges worldwide.

All of these contribute to the goal of the program, the ability for Makerere University to sustain and continue to strengthen research programs after Sida/SAREC support ends.

3. Considerations and classification of issues underlying recommendations for monitoring and evaluation

3.1 Introduction: an assessment of the issues and the challenges for monitoring and evaluation (not an overall assessment, nor one of each component)

After only 3 years of collaboration with Swedish colleagues and Sida/SAREC itself, the Makerere University program is in an early stage of development. The Ph.D. program is working with its first generation of students, procedures and academic standards for Ph.D. education are just being worked out within the university. A number of the Makerere University Ph.D. student supervisors are new to the tasks, and some laboratories are just being equipped. While a number of individual researchers have experience in designing and implementing studies, many of these have been short term and quite a few driven by funders or research collaborators from outside Makerere or Uganda. Having visited Makerere for the first time and for only 10 days, and lacking specific expertise in many of the areas of research involved, we made no attempt to pass judgment on either the research programs or the Ph.D. training Sida/SAREC supports. Instead we attempted to learn about the stages of development of Makerere's research efforts and about nature of Sida/SAREC support. We have documented at some length what we learned in our follow-up interviews in Appendix F. We offer these only as "starting places" for future monitoring. We say this because the information is potentially very useful for the next generation of monitoring, but we did not have time to verify, or to cross-check what we were told for different perspectives. Thus, the summaries do not provide a sound basis for assessment.

We were very positively impressed by the level of engagement of those whom we observed throughout at the Annual Review meetings and, even more, by those whom we had a chance to interview. Based on previous experience with researchers and researchers in Africa,¹⁰ what we found was especially heartening. Many of those with whom we talked did have a personal vision for the future of Makerere as a research university. Most of them seemed to be working very hard toward those goals and to be very serious about research, despite the myriad of pressures under which they work.

Clearly the Sida/SAREC support promotes a kind of forward thinking about research and the role research can play in Uganda's development that would be almost impossible without the Sida/SAREC assistance. We are convinced that the thrust of

¹⁰ Johansson, Ethiopia, Guinea-Bissau, Kenya, Zambia; Freeman, Tanzania

the program is excellent: *to support capacity strengthening to enable Uganda's major, national university to play a lead role in development through research.* Researchers are essential to the framing of researchable questions that will be vital for Ugandans to be able to answer themselves. Thoughtful questions and well-designed studies are essential for shaping effective national policies and for improving practice. Researchers are often most useful when their choice of topics is well informed by policymakers and practitioners in the priority fields (including poverty alleviation, education, agriculture, health). Vast previous experience also shows that research gains importance, and contributes most in societies where the general public comes to understand the potential of research for enhancing to their well-being.¹¹

If Uganda is to direct its own process for development, and evaluate how best to design and redesign policies and programs to reach its goals, a strong research university will be an invaluable asset. In prosperous nations development of research programs and public support for research is continuous process that depends on a cadre of well-prepared researchers, on well-educated users of research, and on a population that has learned through experience that knowledge development is a critical component of development. SAREC's own report on its first 20 years of research development support provides one of the best explanations of this process,¹² and no organization in the world is probably better suited to support such a process. That Makerere University has embraced this program is clear. We saw evidence of great strides forward (an especially impressive element is the rapid application of information and communication technology on campus—an essential piece of research infrastructure) and of many growing pains in this new set of program components. [See Appendices A and F for many examples.]

We listened to learn what issues were most important to whom, the different perspectives on these issues, and how lack of resolution may impinge on efforts to advance the Makerere research programs. We were especially attentive to how the issues raised by participants may affect future development of research capacity toward achieving a stable research university serving Uganda's developmental needs.

Two challenges seemed to emerge everywhere we looked, thus we discuss them first: improving communication and transparency (3.2). Second, we address a gap in

¹¹ For example, see Stepan N. Beginnings of Brazilian Science. Oswaldo Cruz Institute at Manguinhos. Science History Publications, 1976.

¹² *Research for Development- SAREC 20 Years*. (Sweden): Swedish Agency for Research Cooperation with Development Countries [SAREC] (1995). See also, Salomon, J-J, Sagasti, FR & Sachs-Jeantet, C. (eds.). *The Uncertain Quest: Science, Technology, and Development*. (Tokyo): United Nations University Press (1994). See also, Freeman, P & Miller, M. "Scientific Capacity Building to Improve Population Health: Knowledge as a Global Public Good." World Health Organization Commission on Macroeconomics and Health, http://www.cmhealth.org/cmh_papers&reports.htm http://www.cmhealth.org/docs/wg2_paper3.pdf (2001).

methodologies for evaluating research capacity, and its likely impact on Sida/SAREC monitoring and evaluation of this program (3.3). Then we suggest an approach to facilitate decision-making about what role monitors might play vis a vis Sida/SAREC personnel, and the others involved with this program in the governments of Sweden and Uganda, at Makerere and in Swedish universities (3.4).

We concur that a developmental approach will be most useful. That is, an approach tailored to new programs of Ph.D. education and research that cannot be usefully measured yet by research outputs and impact. It is important to note at the outset that consensus about criteria by which to evaluate research capacity strengthening efforts in developing countries simply does *not* exist. It has been a sadly neglected topic. Thus we address this dilemma.

We discuss the importance of organizing the issues not only by who showed concern about what (see Appendix A, inventory of where issues arose in the formal sessions of the Formal Review, and Appendix F, the summary of interviews outside the Annual Review), but by whose participation will be required to resolve issues and at what level formal decisions will need to be taken (3.4). This approach may help Sida/SAREC decide which issues it wishes to assign to monitors, and to clarify the boundaries of responsibilities monitors will be asked to assume. We address these three areas before making more specific suggestions about future monitoring and evaluation of this program.

3.2 Two persistent problems

Two areas were constantly topics of consternation and discussion:

- **Communication.** Many participants expressed concern they have been left out of crucial processes (e.g. selecting Ph.D. candidates or assigning of supervisors; shaping of research themes, allocating budgets, review of proposals that compete for funding, or of manuscripts to be submitted for publication). They described, and we witnessed, many examples where communication had obviously been intermittent and inconsistent.
- **Transparency.** Many interested parties, especially Swedish counterparts, expressed frustration in their attempts to understand how decisions were intended to be made, have actually been made, or how to play a legitimate role in how decisions will be taken in the future. We frequently heard how some individuals were invited to participate, but not others (e.g. in meetings, as supervisors, as shapers of research agendas). And we heard questions about how criteria and procedural rules will be developed within Makerere University for participation in next phase of the Sida/SAREC support, or for promoting research within the university more generally.

It may be prudent to explore differences in the points of view about transparency, and if they differ between Swedish and Ugandan participants. We are not able to judge to what extent the differences may be cultural, or how important the differences may be for the success of the program. In some faculties, it was the Swedish counterparts who were more apt to raise this as a problem, although Ugandan faculty did as well in others.

Improvements in both communication and transparency can encourage collaboration in research to significantly enhance Makerere University and national development—rather than resulting primarily in short term benefit to individual researchers. It seems as though research projects at Makerere have often been perceived more as a way to supplement one's income than as part of a collective investment in developing Makerere into a research university benefiting Ugandans.

Sida/SAREC supported advances in technical aspects of communications infrastructure are very promising for opening access to many sorts of information. Although there are presently only 2000 computers available for the more than 30,000 students, plus approximately 3000 administrators and 1000 faculty, the numbers of users is increasing and the prospects for expanding communication and openness using the university website and intranet openness seem very positive.¹³ [See Information and Communications Technology (ICT), Computing Services and Library in Appendix F.2]

One of the substantial challenges is to assure that Makerere faculty, students, coordinators, and others come to appreciate that their prospects for future support can be improved if their reporting and other communications anticipate readers beyond those within their units who already may know a great deal of detail about the programs. A frequent comment by the Sida/SAREC program officer was that the reporting was so 'cryptic' as to be inscrutable to anyone other than one already thoroughly familiar with the people and programs involved. The same may pertain to other written materials including planning documents, proposals, and manuscripts. Monitors may be able to assist the program officer, and add value to capacity strengthening, by working with coordinators, Deans, faculty and students on timeliness and clarity of communications—and awareness of the broad range of audiences who may read the documents, and use them as a basis for making judgments about the program.

¹³ The Sida/SAREC program officer has been an avid advocate of this aspect of electronic "connectness" as well as all other crucial ones such as access to scientific literature (e-journals) for Makerere University and all of Uganda. This enthusiastic sponsorship of increasing communication internally, of access to a wealth of materials from outside, and of preparation for making Makerere generated knowledge and technology accessible elsewhere has clearly been a powerfully positive force in the program.

3.3 A gap in methodology: How to take a developmental approach to monitoring and evaluation

A major difficulty that will be encountered, even if Sida/SAREC engages an experienced methodologist to assist in determining criteria for assessing the progress of the program at Makerere University. There is no consensus, even among methodologists, about how to evaluate “research capacity strengthening” in developing countries. Often, methodologies used in fully industrialized nations have been brought to bear, but the results are not satisfactory. There are several international groups working on this gap in methodologies (e.g. UNESCO, various statistical organizations in Europe and, perhaps most importantly, in other regions where developing countries play a more prominent role) along with the many national groups in Europe, North America, Japan and elsewhere, and the World Health Organization with regard to national systems of health research).¹⁴

The crux of the problem is that well established measures only show most low income countries to trail far behind affluent ones in terms of internationally indexed publications in peer reviewed journals and patents. Similarly, low-income country university research groups can be shown to receive low levels research funding, largely because their national governments support little in advanced studies and research. The customary outcome measures provide little insight into developmental steps from the point when new research programs are formed until they become productive and competitive as judged by criteria appropriate to mature programs: publication indices, patents and funding levels. These popular outcome measures may be particularly unhelpful where the purpose of the evaluation is to determine the strengthening of research to contribute to national development—rather than to scientific knowledge without reference to its value for development. Patents are often used as an indicator relevant to economic competitiveness among affluent countries, but these do not measure the utility of technology for development of lower income countries.

Understanding the stages of development in “research capacity strengthening” has been a woefully neglected area of research worldwide and poses considerable challenges for Makerere and Sida/SAREC as it does for others. It may be particularly useful for Sida/SAREC to contact UNESCO for information about this dilemma and ongoing efforts to address it.

3.4 A decision-making approach to understanding the issues

Numerous people involved in this program at Makerere are interested in the resolution of multiple issues. A number of those who felt the urgency most acutely were not necessarily those with authority or resources to resolve them (e.g. students or faculty

¹⁴ Freeman has been a student of this subject, conducted extensive literature reviews, and written about the absence of methodologies for research capacity strengthening, the causes and implications of this gap, particularly for health sciences in lower income countries. See a short bibliography taken from this work in Appendix H.

who could not get equipment or reagents when needed). Thus, another perspective that may be particularly appropriate for monitors is a structuring of issues (and a division of labor among monitors, Sida/SAREC staff and Ugandan and Swedish participants in the program) based on whose participation may be needed to resolve them; and on where in the system decisions need to be taken if the problems are to be solved. Some matters affecting research must be solved at the level of the Ugandan government. Others require collaboration between the governments of Uganda and Sweden. Many can be managed within Makerere University, some requiring policy change or action at high administrative levels, others needing attention within the coordinating entity (the School of Graduate Studies), and many more that can be addressed usefully within academic units. Monitors may be most helpful if they concentrate on how, and on where issues can be resolved.

For example:

- **National government of Uganda.** Speeding and expanding internet connections (the “band width” problem) is an element of national infrastructure that no one at Makerere University can resolve without a decision by the government of Uganda. [See Appendix F.2] Other matters, including the regulation of procurement of materials from outside Uganda may require action by the Ugandan Ministry of Finance, or of the President, or Parliament.
- **Swedish government.** Considering whether disbursements from Sida can be expedited or development funds used to pay certain taxes (to be reimbursed to the University by the Ugandan government and repaid to the donor) is a matter for the Swedish government. Some financial issues may even require formal agreements to be reached between the governments of Uganda and of Sweden.
- **Makerere University Policy Bodies.** The Faculty Senate made a decision a few years ago that hiring and promotion would be limited to only those holding a Ph.D. We encountered some confusion and some controversy about whether the policy did, or should, limit the acceptable doctoral degrees to the Ph.D. alone, or include other doctoral degrees that are commonly accepted in other parts of the world.¹⁵ Discussions with various people suggest that this policy may need further attention. Any change from the current policy would presumably also rely on action by this body, or by the University Council (the highest level governance body).
- **Makerere University Central Administration.** Decentralization of research funds to support research managed within academic units (a direction the university seems to be moving) can only work to the extent that the central administration authorizes and facilitates it. So too, streamlining procurement of materials for research (especially

¹⁵ Different traditions of degrees at the doctoral level exist in various parts of the world. We were repeatedly told that the required degree was a “Ph.D”. If this is so, Makerere may be in an awkward position, unwilling or unable to recognize some of the world’s prestigious doctoral degrees. One example is that some North American universities offer a Sc.D. as their highest degree, not a Ph.D. This is true at the Harvard University School of Public Health that offers no Ph.D. degrees and considers their Sc.D to be a world class, research doctorate.

time sensitive items like biologic agents) will depend on central administrative offices (e.g. legal, bursar) – but possibly on the Ministry of Finance or other elements of Uganda’s government as well.

- ***The School of Graduate Studies.*** Coordinating the planning, scheduling and evaluation of crosscutting courses to benefit Ph.D. candidates across campus is logically a function of the graduate school, even as faculty within particular units may design and teach specific courses. Too much decentralization adds to the unpredictability and confusion in any new program.

As the designated coordinating body, the graduate school seems authorized to establish policy (or at least to coordinate the decision-making processes) for allocation of university grant and publication funds, and for recommending which research programs deserve consideration by Sida/SAREC for Phase 2 funding. A variety of other topics that can be addressed at this level (in collaboration with the academic units) including course planning, evaluation, and scheduling; guidelines for plagiarism and other academic standards; access to doctoral theses and other sorts of research reports that seem, currently, lost to future users.

- ***Academic units, Directorate for Information and Communication Technology, and the library.*** Each unit has a plethora of matters it can handle internally. It is at the level of these units (variously called Faculties, Schools, Institutes, Centers and Programs¹⁶) where decisions are made about reporting, planning, proposal preparation, supervision of doctoral students and where and when to send manuscripts to journals and conference abstracts for review. It may not always be clear which unit has lead responsibility for which function. In some instances the School of Graduate Studies could assist the units even though decisions may be made within each one. If communication and planning relevant to Sida/SAREC’s activities are to improve markedly, it will be important to monitor communications emanating from the School of Graduate Studies, or central administrative offices, to see if critical information about guidelines and timelines actually reaches those who must plan. The planning includes many types (e.g. for procuring research materiel, scheduling courses and meeting proposal submission deadlines). And it will be important to track how communications among collaborators within and across units proceed as a basis for improving the reporting and planning to the School of Graduate Studies and to Sida/SAREC. These functions were a focal point for the comments of the Sida/SAREC program officer at every meeting during the Annual Review.
- ***Swedish counterparts.*** Many of the interactions among coordinators and faculty (in their multiple roles as researchers, curriculum developers, classroom and lab teachers, and mentors of individual students) occur at the level of the academic units. Often mentioned as topics of concern to Swedish counterparts as well as to Ugandan participants include: who is responsible for which tasks, how to proceed when supervisors do not agree, and how to allocate budgets. Some also took issue with Sida/SAREC rules restricting remuneration for supervision of doctoral students by Swedish university faculty. Monitoring the first set of issues could be among the tasks

¹⁶ Academic units seem to have a variety of designations without clear distinctions as to the differences, in classification or hierarchy, they might be expected to connote.

of monitors; the issue about Sida/SAREC policies would, of course, need to be addressed by Sida personnel.

4. Options for monitoring and evaluation

4.1 Introduction: 3 types of tasks

We suggest Sida/SAREC consider three types of monitoring activities. The first emerged as distinct for reasons we explain. The second pertains to monitoring of the processes that may facilitate or impede development of research programs and capacity. The third concerns more formal program evaluation.

4.2 Priorities for special analytic attention

Issues for special treatment: We suggest that Sida/SAREC consider dedicating special attention to four issues that arose from our observations during the Annual Review and from our subsequent interviews. Each of the four might be assigned to a person with special expertise for preliminary investigation and analytic work to provide a basis for Sida/SAREC to decide next steps. As each one may be of considerable interest to other donors working with Makerere University (or other universities in the region), it might be possible to combine forces with other parties and share the cost.

4.2.1 Procurement, financial systems and disbursement

During our 10 days at Makerere University as a Pilot Monitoring Team for Sida/SAREC, it became overwhelmingly evident that procurement, financial management, and import taxes posed major problems. Delay in research activities appears to be most often explained by problems in one or more of these areas. As the Sida/SAREC program officer has already summarized pertinent information in the Agreed Minutes from the Annual Review and for the Swedish Ambassador in Uganda, we refer readers to those documents, as we probably understand them less well than Prof. Akuffo. [See also Appendix E.1]

What is curious is that there seem to be exceptions to the frustrations experienced in some units. For example, neither those responsible for Bioearn, nor the externally funded CDC program at the Institute of Public Health (see Appendix F) reported having the delays or other problems complained of vociferously. Members of the Faculty of Technology explained how they had learned the procedures for procurement within the university, but were still having difficulties with delay in clearing imports through customs at the airport. Thus, investigating how these processes work may be particularly edifying. We also encountered different views on which of the problems could be resolved within Makerere, and which not. Some pointed to a lack of advance planning within the units purchasing equipment to be shipped from outside Uganda as a major cause of delay. Others suggested that the central administrative offices, principally that of the Bursar's, responded more rapidly to requests presented with special documentation from Deans or high-ranking faculty attesting to the urgency of the matter. Others noted that if all requests came with such documentation that the Bursar's office would be unable to expedite all such requests simultaneously and those who had received priority treatment thus far would not find all of their requests expedited in the future. That is,

understaffing would be a problem no matter what criteria were used to set priorities within the office of the Bursar.

Some pointed to the possibility that the “new financial systems” would speed up procurement and financial flows, but the Director of Information and Communication Technology [ICT] pointed out that those “new systems” were merely computerized versions of exactly the same set of steps that previously existed. Thus, the system, if it speeds up, would do so because it becomes electronic, not because steps have been streamlined. That system had just been installed and training was under way during the 10 days we were on campus, 19-29 April 2004 (ICT staff, see Appendix F.2). The Medical School Dean, who has had considerable experience with procurement in the building and equipping of buildings and laboratories, suggested that some of the tensions existed between the Ministry of Finance and the university (see Appendix F.4) and could not be resolved entirely within the university. Thus this set of issues seems to call out for special attention.

4.2.2 Intellectual Property Rights (IPR) and Archives – Lack of policy

The lack of university policy on Intellectual Property Rights is of special concern. Continuing efforts to strengthen research capacity for development in Uganda will be significantly influenced by the lack of policy; or, when policy is adopted, by whatever decisions Makerere University may take.

The Information and Communication Technology [ICT] strategy depends extensively on open source software, and on motivating future generations at Makerere to develop software to hasten connection and synergy among programs on the campus and across the country. There will inevitably be tension between pursuing open source development and privatizing new technologies to raise income for the university, specific units or individual developers on campus. These sorts of tensions exist everywhere in the world, but the consequences may be gravest in lower income countries. ICT’s director noted that it would be crucial for Makerere to make its own policy decision on IPR. But, he also noted that deliberations of Faculty Senate and all those interested in IPR at Makerere could be vastly enhanced if Sida/SAREC and other development partners were to facilitate analysis of experience on the African continent to date. He suggested that an analysis of the different approaches to IPR, identification of policy options and the implications of each for universities and for national and regional development on the African continent could be immensely useful. He strongly believes the issues for Africa are quite different than elsewhere. The director of the School of Graduate Studies, a commercial lawyer by training, has already indicated the need to formulate policy, but we did not get a chance to explore this topic with him.

In Makerere’s medical and public health schools, ownership of data collected in collaborative research has arisen. We were told informally of one case in which a collaborating university somewhere in the northern hemisphere (the location was not named) took the data gathered in Uganda home and denied access to it by asserting ownership. This troubling anecdote suggests that in addition to policy formulation,

there may be acute need for increasing capacity to negotiate terms of collaborative research so they will be favorable to Makerere and Ugandans. This is seen as an integral component of research management in universities and science institutions in industrial countries. At least several academic units on campus are discussing these issues, but we have not encountered a faculty that has developed this management capacity, nor does there appear to exist a central office to provide it. The unit that may be most prepared to add IPR management to its managerial capacities may be the Medical Faculty as it already has a two person financial management team on site. (See Appendix F.4)

The heated debates about generic versus brand name drugs for treatment of HIV/AIDS and other major diseases inhibiting development in Uganda and elsewhere in Africa occupy daily newspapers, displaying another aspect of the impact of intellectual property rights policies at the national level as well as in the universities. Should research involving Makerere collaborators result in patentable processes or products, Makerere will be challenged with the full complexity of IPR policy, the human and economic impact.

Already the faculties of agriculture, technology and social sciences are involved in these debates as their faculty and students develop prototypes (a photograph of an easier to manage and safer machine prototype for applying pesticides developed at Makerere appeared in a local paper during our second week in Uganda), and offer service to NGOs, community groups, government and business—both as service and for pay. When the outside groups are paying customers, Makerere IPR policy, and faculty compensation rules will determine the benefit of Makerere contributions to knowledge, technology and service, and will be likely be major forces in the formation of Makerere as a research university.

Related issues: archives of data, research reports, Ph.D. dissertations, other unpublished work and work not indexed in international databases

A closely related issue, but not one that fits neatly under the heading of IPR, is that of making available for future use at Makerere University and beyond—data sets, research reports, Ph.D. theses, other unpublished manuscripts, and publications that are not yet indexed in databases accessible through internet or intranet. Too often research data and results are filed on a shelf, and remain unknown to potential users working in the same or related areas. Thus, resources are duplicated when a subsequent researcher must begin by collecting data anew, or when effort is devoted to experiments that have already produced ‘negative results’. (A notable example of the problem is described in Appendix F.1: Ph.D. theses completed at Makerere University since 1997 have yet to find their way to the library or any database. These we discovered to be in a less than well-organized state in a room within the School of Graduate Studies.)

As ‘negative’ results from research are rarely published by journals anywhere in the world, researchers do not know when an approach has been tried and not proved useful. In lower-income settings, such waste of resources is even less tolerable. Thus,

finding ways to archive and make available data sets, methodologies, reports of studies and their results is an area of importance for policy development within Makerere University. It also seems likely to be important for Sida/SAREC and other research donors concerned with use of their investments to enhance research productivity and development. Thus an analysis of policy options and practices in this area might be of interest to multiple donors as well.

UNESCO, OECD and a variety of statistical organizations around the world have been gathering and analyzing data that may be relevant to both IPR and archives. Obviously trade organizations and treaties play a major role in forming national policies. Perspectives on this cluster of issues vary considerably depending on the economic status and political philosophy of each country. One model that may be of particular interest exists in the United Kingdom. There, a national statistical archive retains, and organizes for future use, data generated in publicly funded research. The current director of the UNESCO Statistical Office previously served as director of the UK statistical archives and could be queried about that model.¹⁷

4.2.3 Compensation and incentives for furthering research programs

Currently Sida/SAREC does not pay salaries for the Ugandan Ph.D. supervisors and students. For the Swedish counterparts, a minor salary is paid, compensating 5-10% of full-time salary for the supervisor of a Ph.D. student.

The salaries at Makerere University are generally very low and had not been increased for 8 years until the non-academic staff and faculty went on strike for several weeks during the spring of 2004. Each unit seems to have different pressures, and incentives vary for how faculty and Ph.D. students allocate their time. Each faces special challenges in finding time for research. Some departments have particularly large numbers of students and courses, including full evening programs (e.g. Social Sciences and Humanities). The Medical Faculty assumes major service responsibilities by providing clinical care as part of what is expected of faculty and of medical students. We learned more than we expected to about the details of this highly inconsistent set of incentives—and more often, disincentives to engage in research. (See Appendix E.2)

Because the “system” that exists now appears to impact time and motivation to pursue research very considerably, we suggest that Sida/SAREC think about collaborating with other funders and Makerere University personnel to document the current situation—and to analyze its implications for research strengthening. Only then might Sida/SAREC be able to determine what impact its own policies may be having on the programs it supports financially at Makerere (and possibly elsewhere). We can attest that this area draws a great deal of attention and expressions of distress at every level within the university, especially among students and faculty supervisors.

Today, the system appears to encourage self-interest rather than collective investment in research to enhance Uganda’s development. This is a system problem for those highly motivated to contribute to national development through research.

4.2.4 Repatriation of experienced Ugandan researchers and faculty

¹⁷ Denise Lievesley, Director, UNESCO Institute for Statistics <d.lievesley@unesco.org>

We have even less information about this issue than others, so we put it on this list with less confidence. Because many faculty positions remain unfilled at Makerere, and because the strategy of training Ph.D.'s to fill all of those slots is likely to take quite a number of years, we wondered if it could be fruitful to analyze repatriation experiences around the world. We are aware of some countries that have designed special incentives to repatriate scientists and others with advanced degrees to home teaching (and governmental) institutions. One contact at the Institute of Public Health noted a United Nations program that used to sponsor such efforts, but did not know if it is still in operation. Because we kept hearing of Ugandans who trained abroad and have continued to work and live abroad, and because some were referred to specifically as faculty who would like to find a way to return home, we wonder if some analytic attention to repatriation programs and incentives, and how they might impact research capacity strengthening at Makerere University, might not be worthwhile.

4.3 Ongoing monitoring of processes vital to capacity development: Reporting, planning, proposal development and review

Perhaps the most visible need would be for continuous monitoring of processes intended to fulfill objectives at each stage of development of the research programs: reporting, planning and preparation of proposals. Each of these processes is vital for enhancing communication, transparency and long term, strategic approaches to research.

4.3.1 Purposes for ongoing process monitoring

The purposes of ongoing monitoring would be several fold. Monitors working with Sida/SAREC over the next 3-4 years could help to:

- Sharpen the objectives of each component of the program and the relationship of objectives to the overall goals of each unit and of the entire program
- Enhance communication about the objectives and divisions of labor necessary to achieve them among colleagues involved in each component within and across units at Makerere, and with Swedish counterparts
- Increase transparency and collaboration by monitoring *how* reports of research, Ph.D. education, planning documents and proposals are prepared (e.g. who was involved, at what points, quality of communication and contributions) as well as the content and clarity of the documents that emerge.

It seemed peculiar at first to attend meetings in which the program officer concentrated so much attention on the problems with the reporting while the researchers were eager to draw more attention to their activities. But as we watched more sessions in the Annual Review, it became apparent that the program officer was working to shift the attention of the participants from simply listing activities, to reporting research results; and from a short term, research project focus to a longer range planning for productive, collaborative research programs involving faculty (Ugandan and Swedish) and students in planning and in execution. By the end of the first week of such meetings, we became convinced that monitoring might well support this transition and allow the program officer to concentrate on the set of concerns that

only Sida personnel can address (e.g. negotiations with the Ugandan government, with central administrative officers within Makerere, with Swedish universities).

Further, we became convinced that the same skills involved in good reporting of processes, outcomes and impact are those crucial for improving planning and preparation of proposals, manuscripts and presentations required of research groups that compete successfully for publication in peer review journals and research funding.

4.3.2 Timing and methods for ongoing process monitoring

We discussed process monitoring explicitly with several deans and researchers. Each suggested ways in which it could be beneficial, based on positive experiences previously with monitoring teams. One suggested a new requirement of units participating in this program: that each unit be asked to provide minutes documenting who participated in reporting, planning, proposal development, as well as how and when. That particular person suggested using these minutes as a basis for monitoring. All those with prior experience in having been monitored underscored the value of having monitors interview everyone involved. At least two suggested it would be least intrusive if monitors meet one by one or with small numbers at time, rather than requiring meetings that would consume the time of many. From what we observed in the Annual Review meetings, it also seems likely that group meetings tend to favor the views of those at the top end of the hierarchy. All those with positive previous experience appreciated monitors' help in pointing out strengths and weakness, and areas for improvement, engaging with program participants about how to do so.

Thus, we suggest that Sida/SAREC consider:

- Adding to the current reporting expectations that each unit provide minutes specifying who was involved in preparing the reports, planning for all aspect of program plans (including division of responsibilities, compensation, etc.) and proposals—as well as the timing and nature of the contribution. (We are not sure how much detail will be useful; this deserves further thought.) Use these minutes as the basis for monitoring the processes crucial to success of the program. Monitors could follow-up with collaborators about the process by crosschecking perceptions of what happened, what worked well or not, and how to improve the process and resulting documents and oral presentations. The purpose would be to reinforce the Sida/Sarec program officer's message about what is needed in good reports, and to encourage the participants to work as teams, thus enhancing communication and transparency.
- Using monitors in the same manner to facilitate planning and preparation of proposals for upcoming phases of this program.
- Using monitors in the same manner to encourage wider communication and transparency of review of proposals and decision-making within units on other substantial decisions, such as: how Ph.D. candidates are identified, evaluated and selected; how faculty supervisors are assigned; how decisions about research priorities are made and how budgets are determined and resources allocated.

- Using approaches that do not require many to attend meetings, especially not long ones. One of the disincentives for planning seems to be a culture in which people are called to many meetings on short notice, thus interrupting whatever work they had planned to do. And many of the meetings seem to be long, and ones in which many in the room are required to stay, without having an opportunity to contribute a great deal. Using meetings to disseminate information it is far more time consuming than methods those in more affluent settings rely upon—posting of information on website, email, etc. Focus groups may be a useful element of monitoring, so long as they do not interfere with the sorts of work they are meant to facilitate.
- Using monitors to encourage more long-term thinking about areas of particularly valuable research and strategies to pursue them in ways that can ultimately benefit Makerere University and the country.

We found those whom we interviewed to be remarkably open and willing to express their concerns. We learned a great deal of detail about fairly sensitive subjects (e.g. salaries, problems with cooperation among collaborators). Thus, we are optimistic about monitors' prospects for gathering pertinent information. We are, however, concerned that the trust with which the information is shared be treated with due respect. Even as we found a notable level of openness, we also learned there had been agreements to avoid revealing certain tensions or unresolved problems in meetings attended by Sida/SAREC. What we did not explore, and possibly should have, was whether there is any tradition of self-evaluation and program evaluation by the university or other external parties that could inform Sida/SAREC in some useful way about process monitoring (or more formal evaluation discussed below). That step could still be undertaken.

It will not be easy to determine which communications should be treated confidentially, which included in monitoring reports with or without attribution to source, and what aspects of monitoring explicitly reported to all participants. We found considerable interest among Ugandan and Swedish collaborators in understanding the role of the pilot monitors and in learning about our 'findings', even though we explained we were participating in the Annual Review only as observers and would be making recommendations about future monitoring rather than evaluating the program.

Before launching such an ongoing program of monitoring, it will be important for Sida/SAREC to define and set clear boundaries, by addressing questions including:

- What authority will be delegated to any monitor to intervene with program participants? What tasks are not being delegated to monitors but remain within the purview of Makerere, Swedish university counterparts or Sida/SAREC? How can Sida/SAREC clarify the limits of that authority so monitors do not overstep their roles and cause confusion among participants?
- How to clarify the role of monitors with Makerere and Swedish counterpart participants in advance of initiating monitoring?
- How to report back to participants the findings or recommendations of monitors so that monitoring does not undermine the goal of increasing transparency among program participants?

Answering the question of how much monitoring depends on the judgment of Sida/SAREC about resources and how many tasks the program officer can manage without assistance. While one person might be able to carry out the monitoring, we found significant benefit in working as a team. Either way, one or two monitors would need to visit the campus for several weeks at least once a year, and maintain email contact between visits to encourage communication and transparency. At least one of the monitors needs to have a strong background in the natural sciences. If there were only one monitor, a scientist would be essential. If there is more than one, then someone from the social sciences is most appropriate to the range of research programs currently underway. If the number of substantive fields expands in future phases, other expertise may be needed.

If the monitors are to act as evaluators of the merits of the research, as well as monitoring the processes mentioned, other competencies become more important. There is a trade off here between efficiency (fewer monitors to cover a greater range of substantive areas) and depth (more monitors to cover the full range of fields of research). The final task on the list of ways to use monitors (to encourage more long-term thinking about areas of particularly valuable research and strategies to pursue them in ways that can ultimately benefit Makerere University and the country) may require more specific expertise than the others. Based on the benefits we found from collaboration (consulting one another even as we conducted interviews in different faculties), we suggest that two monitors would be significantly better than one (so long as they are able to work together easily). It has been very useful to share perceptions, problems and ways to proceed with the task.

Especially if Professor Akuffo rotates out of regular involvement in this program, we think it would be particularly appropriate to consider including among the monitors, someone who lives and works somewhere within the Africa region, or, like Professor Akuffo, has roots in the region and maintains active, professional contacts there.

Timing of monitoring visits. We learned a great deal by observing the Annual Review meetings. Thus, it seems likely that new monitors would also benefit by starting in this way—observing either an Annual or Semi-Annual review. Once monitors have had such an introduction to the program, it may be more useful for monitors to visit campus several months in advance of the Annual Review in order to work with all units on reports, proposals and other documentation. The monitors would need to spend at least two weeks on campus each time.

4.4 Formal evaluation

Our first recommendation about more formal evaluation of the program is that Sida/SAREC determine, as soon as possible, the primary purpose of evaluation. Is it to judge the program by some set of criteria that will determine whether future investment will be made? Or is the purpose to gather information to improve the program and facilitate the transition from one developmental stage to the next? Or is there a reason to do both? Clearly all judgments about methods to use and evaluators to engage depend on that fundamental decision. We can see impetus for each approach:

- Presumably there are moments when Sida and SAREC must make major decisions about how to allocate assistance among countries and projects, and some way of comparing the productivity of the investments seems natural. We have not inquired

about of what sorts of comparative methodologies Sida/SAREC may currently employ, although this may be a useful basis for further consideration of the question posed to us.

- Surely Sida/SAREC is also interested in using evaluations to enhance the productivity of research programs apart from judgments it will make on resource allocation, and encouraging critical self-reflection with participatory evaluation methods could be one important contribution to this.

Our sense of urgency of this determination is based in part on experiences that other research capacity strengthening programs have had when trying to evaluate the programs retrospectively. For example, the Tropical Diseases Research Programme at the World Health Organization invested in a ten year evaluation of their investments, only to find that because planning for evaluation had not been anticipated in the design of the program, documentation available for a retrospective analysis were inadequate to derive useful guidance for shaping future phases of that program.¹⁸ Thus, this group decided to plan their research capacity strengthening activities differently in the future, and to build data for evaluation into the routinely collected information. Sida/SAREC may want to consider this in the design of future reporting from program units.

Whether Sida/SAREC intends to perform one or both of these sorts of evaluations, we suggest that someone experienced in program evaluation methodologies play at least an advisory role in the process from the start. Neither of us can offer that expertise. From prior experience with evaluations of academic institutions and of research programs sponsored by others (e.g. science, health, agricultural and development organizations), and from the perspective of having been evaluated and having participated on evaluation teams, we do know that the process can contribute to strengthening of programs, or inhibit candour and reward showmanship over substance—thus the urgency about prospective determination of data on which to base the evaluation—if this is possible.

Also, given the lack of consensus worldwide on evaluation methodologies appropriate in developing countries (See Section 3.3) it may be even more important here to involve units or people to be evaluated, and those to conduct the evaluation, in discussions of appropriate methods—than it is in circumstances where well-tested methods, and a consensus about their utility, do exist. The Sida/SAREC program officer's list of characteristics of an "enabling environment" for research (a slide first shown on 19 April 2004 during the opening session of the Annual Review) offers a useful starting place for establishing developmental criteria. So too, methods adopted by universities, especially those in middle and low-income countries, to evaluate academic programs, particularly doctoral and research programs, governmental institutes and international research collaborations, may be useful. (See Appendix G for suggestions.)

Once having resolved the philosophical level of considerations about what it is that evaluators are to assess, there will be more discreet decisions, such as whether one evaluation instrument will be suitable for all units or program components, or if it will be preferable to tailor these to the different disciplines, units or program components.

Evaluators:

¹⁸ Freeman, personal communication with TDR research capacity strengthening unit and the evaluators they engaged, 2001.

Given the complexity of this program, it may be important to arrange for any evaluation team to be comprised of members without prior contact with the Makerere programs along with Sida/SAREC staff, monitors or Makerere faculty or staff or students with more sense of context and history of programs. Among those whom we met, there is one member of the Makerere faculty who can probably play a very constructive role in suggesting how different approaches and mixes of evaluators may fare: Edward Kirumira, the Dean of Social Sciences. It appears he has experience in evaluating education programs and outcomes and he seems particularly thoughtful in this regard. [See Appendix D for the reference to a study of Ugandan education he contributed to a series sponsored by DFID and University of Sussex.]

In short, we suggest starting soon by assembling a team to discuss methodology, including purposes for which it will be used, selection of criteria, and development of instrument(s) as Sida/SAREC considers whom to invite to participate and on what schedule. If program components are to be measured on some quantitative basis, or rated (comparing one to another), it will be especially important to develop criteria with all those involved early and to review and pilot test these criteria before imposing them as the basis for making judgments.

It seems likely that evaluation of either sort could usefully combine some mix of reading reports (especially if the next generation of reporting requirements will capture data specifically judged pertinent to evaluation), observing presentations structured to inform evaluators based on selected criteria), individual interviews and “focus group” discussions on selected topics (e.g. clarifying problems interfering with progress towards a well-defined, strategic research and Ph.D. training program; ways in which such problems could be most effectively addressed).

It also seems likely that the evaluation team will require a greater level of expertise in each sort of research program to be reviewed than might be present either at Sida/SAREC itself or among ‘process monitors’ (see Section 4.3 above), as well as expertise in teaching, supervision and management of Ph.D. programs. Another very able member of the Makerere University faculty, as well as several Swedish counterparts, suggested that it might be useful to involve Ugandan stakeholders from outside the university in evaluation of programs as well as in selection of proposals to be sent forward to Sida/SAREC for the next phase.

UNESCO’s Statistical Office is now developing new analytic tools based on working with developing countries. These methods are intended to capture some of the developmental insights that have not found their way into the Frascati Manual and the other methodologies favoured by OECD. It might prove very useful to involve someone from UNESCO, or from universities or research programs that have contributed to the evolving UNESCO approach for compiling data to use in various sorts of evaluation.

4.5 A possibility for the future: Base monitoring and evaluation on a Self-Study by Makerere University of its programs of research and Ph.D. studies.

In the United States, graduate programs (as well as undergraduate university programs), are often evaluated by visiting committees based on a device called a “Self Study”. For these, it is common that either the accrediting body (or review committee established by the university itself for internal program assessments) establish a list of criteria and questions for the

evaluation. Each unit to be evaluated then conducts a “self-study” addressing the criteria and questions provided. (For internal reviews, it varies from university to university, the extent to which those to be evaluated contribute to developing the criteria. For accreditation reviews, it is the accrediting body that sets the criteria, although these also reflect the views of faculty across universities who are called upon as reviewers of programs other than their own.)

It is this self-study that becomes the basis of the visiting committee’s attention. Members read the report (and data¹⁹ provided with it in appendices) before the site visit, and ask questions about it during their on-site program review. The committee report is based on the self-study. There does not appear to be a similar tradition in Sweden. Medical schools in East Africa have undertaken processes of this sort within the last few years, with notably positive reports from deans of those institutions that participated.²⁰ The self-study approach has also been used in other developing countries with good result. One successful example, in which the self-study approach is well described, is when that approach was used in universities in Colombia.¹³

The reason a “self-study” approach may be appropriate for evaluating this collaborative program is at least twofold: First, it provides a respectable way of dealing with the problem of having no widely accepted, developmental criteria for evaluating research capacity strengthening in developing countries. Second, it contributes to the capacity development process directly by placing the institution (or unit) to be evaluated in a position of responsibility for presenting the strengths and weaknesses of its own programs to the evaluators—rather than being the more passive subject of the process driven by outsiders. In these proceedings, units can, implicitly at least, ask for input from the evaluators to help them strengthen aspects of their programs that pose special challenges. Over time, the self-studies and reports of the evaluation committees create a developmental record that can be referred to at each subsequent stage.

We are unaware of any formal accrediting body in Uganda or in East Africa that may have its own, pre-determined driven criteria for review. Thus, this collaboration with Sida/SAREC offers an opportunity for Makerere University researchers to contribute to the criteria by which they will ultimately be evaluated within the Makerere-Sida/SAREC program. The experience could also provide a foundation for the university to build up a tradition of internal program evaluation as well as for national and/or regional collaboration in program evaluation.

In Appendices G and H we list several resources for gathering further information on self-study methodologies and on the range of institutions and geographic distribution of their use to date. Our impression is that this approach is well-known in the Latin America region, and that UNESCO is one focal point for gathering further information.

5. Proposed Terms of Reference

The approach to evaluation that seems most consistent with building research capacity is one of using evaluation for continuous improvement. Thus we propose that Sida/SAREC set up an ongoing, process monitoring team soon, and begin to explore the self-study approach for its suitability for a subsequent, more formal stage of

¹⁹ See Section 4.4 for a discussion about why it is likely to be important to determine what data to collect prospectively rather than retrospectively.

²⁰ This East African self-study style evaluation was reported on at the Global Forum for Health Research in 2002, in Arusha, Tanzania.

¹³ <http://unesdoc.unesco.org/images/0013/001310/131066e.pdf>

evaluation. The resource people and references we have suggested should make it possible to identify appropriate experts and the literature base for assessing the existing methodologies—self-study and alternatives. We assume that even for the self-study approach, there are variations by region of the world, and by types of institutions or academic disciplines (and their traditions of research). We have not reviewed this literature sufficiently ourselves to comment further.

We do not suggest that Sida/SAREC impose a formal, self-study format in the near future. Instead, there seems an opportunity to move in this direction using ongoing reporting and planning activities already anticipated by the upcoming phases of the program to lead to a more formal system of evaluation, using the “self-study” approach.

Next steps would include:

1. Selection by Sida/SAREC of one or more methodological experts to provide advice.
2. Preliminary selection of members for the on-going monitoring team. (We say preliminary, as the sense of direction emerging from the meetings below might suggest altering the composition after preliminary selection prior to those discussions.)
3. Convening of one or several meetings. Sida/SAREC would bring together its own staff with one or more persons experienced in academic program evaluation methodologies, (including self-study and its application of these in a variety of settings), ongoing program monitors, selected members of the Makerere program, and one or several of the Swedish counterparts.
 - a. If there were to be two or more meetings, Sida/SAREC staff might meet first with the methodological expert(s), then bring together the self-study methodologist(s) with the ongoing monitors, and then expand the group to include representatives from Makerere and Swedish counterpart universities.
 - b. Together, this group would clarify the goals of the ongoing process monitoring and the more formal evaluation.
 - c. They would consider how to make efficient use of the ongoing monitors so as to assure adding value--not duplicating tasks already assumed by a Sida/SAREC program officer, Makerere University Coordinators, Deans and Supervisors, or their Swedish counterparts.
 - d. Those convened by Sida/SAREC to do so would arrive at a recommendation to Sida/SAREC for the methodological framework, specific objectives, and timetable for moving to evaluation involving self-study reports by units to be evaluated.
4. Among their other responsibilities for improving Makerere’s planning and reporting to Sida/SAREC, the ongoing monitors could be assigned the task of helping Makerere and Swedish counterpart participants to imbed the self-study approach and ethos into their *already required* activities, including:
 - a. reports to Sida/SAREC,

- b. presentations at review meetings when Sida/SAREC staff visit the Makerere University campus,
- c. planning documents,
- d. proposals for further funding, and, possibly
- e. in manuscripts about their research activities intended for publication.

The intent is to structure a gradual adoption of self-study through ongoing activities, NOT to add new ones. For example, minutes from planning meetings involving Makerere participants (and, when appropriate, their Swedish counterparts) could be used early on as one basis for structuring criteria for evaluating progress—Were the plans realistic? Were they carried out? What are the strengths and weaknesses that account for the successes and failures to meet objectives selected in planning?

The near term objective of this process would be to make the Sida/SAREC-Makerere University review meetings increasingly substantive. Ongoing monitors would help everyone prepare for more formal evaluation. Their approach can be adjusted to suit the form of evaluation ultimately be selected.

5. Those responsible for ongoing monitoring and evaluation (the list of players mentioned in point #2 just above) would, together with Sida/SAREC, structure a process to capture the developmental process in research programs:
 - a. initially with an emphasis on evaluating *process*,
 - b. moving to *output*, then,
 - c. evaluating *impact* of the researchers and their research programs
 - d. and finally the contribution of the research to
 - i. meeting university goals for creating quality programs of sustainable research (through success in attracting increasing support in competition for funding nationally and internationally), and
 - ii. national goals for development -
6. This approach would depend less on subject matter experts in the near term, and more on monitors suited to reinforcing the need for clarity in setting of measurable objectives, expectations of transparency and improving consistency in communication and accountability among all those expected to contribute to the program. As we recommended earlier in the report, at least two monitors, working as a team, seem far preferable to one. If Sida could afford a larger, and more specialized team, greater value might be realized. If Sida wishes to reinforce South-South collaboration, it may be particularly appropriate to include on the monitoring team participation from the Africa region, or from one or more developing countries in another region of the world.
7. It would seem useful and reasonable to schedule the planning meeting(s) —of the sort listed above under point # 2—before the end of 2004 or early in 2005. This meeting (or meetings) would culminate by laying out steps for coming years, integrating plans for ongoing monitoring and evaluation with the tasks already scheduled by Sida/SAREC and Makerere University.
8. Sida/SAREC could look to Makerere University to decide whom to involve, or hand-select the first personnel to shape the process. At some later stage the process might be opened further to involve Ugandan stakeholders outside the university. (This

suggestion was made by a Makerere participant as well as by Swedish counterparts during our visit.)

9. The full schedule for monitoring, and the detailed scope of work for ongoing process monitors, would grow out of these meetings. Thus, we do not propose any more specific terms than those already incorporated in this report. We simply reiterate that the monitors would not be the ones to impose criteria or schedule on Makerere University and collaborators. Rather, those would grow out of a process in which the list of parties (see #2 above) would devise together.

Appendix A

INVENTORY OF ISSUES

[Drawn from notes in formal Annual Review Sessions and surrounding opportunities for informal discussion based on Freeman notes 16 April at Karolinska Institute, Stockholm; 19-23 April and follow-up meetings, Makerere University, Kampala; pps. 58-217]

In Sweden 16 April meeting at Karolinska with Stefan Peterson, and a Ph.D. student/Department of Health/Faculty of Medicine—thesis project in malaria) [p. 39-57 pf notes]

- Faculty supervisors knowledge of regulations, how program is meant to work is inconsistent (Peterson)
- Call for more support to Swedish collaborators as Karolinska now supported on soft money, no longer full government support (Peterson)
- Difference in traditions Sweden universities/Makerere vis a vis requirement of courses, thesis as publications (Sweden) versus monograph (Uganda)
- Unpredictability of courses at Makerere; who should be responsible for organizing them?
- Students want courses offered day and night as clinicians have night clinical work and sometimes can take class more readily by day; other faculties students are freer in evening (Jessica—lost last name)
- Discussion of candidate pool for Ph.D. and issue about priority for higher ranked, older faculty (Peterson)
- Jessica reports good experience working with Swedish Ph.D. student with whom she is paired; utility of her Ph.D. to her role in Department of Health (MCH)
-

Annual Review Sida/SAREC and Makerere University 19-23 April 2004

DAY ONE: 19 April—introduction to progress in each component of program [p. 61-77 pf notes]

Morning meeting, full group of participants, probably approximately 100 attending

Formal part of meeting:

- Participation by MoF, Swedish embassy (Gloria), Swedish university research partners 1 by 1 to some 100 in room –10 rows, about 10 in each row
- Challenges listed by Prof Bakabinga:
 - Vetting
 - Procurement
 - Lib information/ Maknet
 - Research policy formation: governance, publication, faculty committee to ease
 - Synchronizing Social Science GIS with other units-more help from Sweden-Lund U
 - Incentives
 - Slow accounting/accountability—improved some already
 - Accounting office of School of Grad Studies—small staff, 1 accountant?
- H Akuffo mentions other forms of evaluation: Faculties, Steering Comm through Vice Chancellor (?) –worth understanding for future monitors
- cross cutting courses: what content, who teaches, on what schedule, how often, how well received?
- Relationship of program to poverty alleviation—how functional at this level of intent and impact?
- Enabling environment for research-Akuffo slide of elements—how shared is this list as criteria for evaluating success at later date?

- Access to Literature
- Access to Mak U research by those outside
- GET LIST FROM Hannah Akuffo as she has all this on her slide
- Permissible uses of Sida/SAREC funds and admin procedures—get from Hannah slide
- Agriculture list of challenges
 - Vetting
 - delay in disbursements
 - delay procurement,
 - Funds carrying forward-committee?,
 - incentives for program mgt (salary or supplement issue raised by many others)
 - [Ag Dean calls it DONKEY WORK in open session a bit later on]
- Q&A:
 - Opportunities for interdisciplinary projects
 - Why not encourage local production of research materials/equipment
 - Tax issue in procurement—need for more planning for tax bite
- ICT challenges
 - band width—high cost, who pays? Prob of not bordering an ocean where optical fibers are—GOV LEVEL PROBLEM—argues that this is infrastructure like roads says Tusu
 - retrospective data conversion
 - need for a second lab—one for all now, wants to separate students and faculty
- School of Graduate Studies report: Q&A
 - more on procurement after Bakabinga on Grad School report
 - need for funds in account at companies from which materials needed swiftly
 - wire transfers, lines of credit etc.—ship within hours or days as done for industrial countries
 - dif procurement options working now
 - thru Mak U usual, slow way
 - thru Swedish U (later, prob is customs, getting out of airport)
 - CGIAR method—Nigeria center procures thru UK—set up international model or some special deal with Ugandan gov possible??

Afternoon meeting with cluster: ICT/library/computer sciences—cluster of 3 related programs

This meeting was with faculty and staff only; no students nor student presentations unlike the Annual Review Meetings with other units

- Why Ph.D. student wishing to work with supervisor at Delft, not Swedish Univ? 2nd one especially (answer found in later interview—to date no Swedish supervisor offered to work on his topic, still trying)
- Barya:
 - Why no training materials (What materials?)
 - Tusubira on Swedish collaborators—good on TA, but stay with own research interests—not much sharing there (LIMITS of collab: inherently different issues Uganda v Sweden?) Tusu thinks yes as Swedes developing front line technologies; but if technical assistance questions asked, Swedish colleagues do answer and are very helpful at that level.
- Way short of computers for full access on campus—kiosks are a start \$s later—something like 2000 computers for 30,000 or more students

Computer Sciences

- Barya on computer human resources—goes beyond university RCS: “training units for local and regional markets”
- Mirroring internet ejournals and other resources on intraanet by downloading during OFF peak hours at night and easing access by day—now doing, how publicizing? H asks
- Why so few computers in library

- Med librarian: Problem with INASP over renewal of passwords—cannot get into Cochrane collection since January though medical faculty wants to use this especially
- Norwegian or Dutch (?) program overlaps with this one—6 Ph.D. stus, 3 ICT, 3 Computer Science—how does interface work?
- Need more FT faculty—seems desperate almost, uses part timers from town, well qualified and teach MA but not Ph.D (I think that was the point)
- [Prob as Barya did not decide budget, was in his own training program in Bergen when allocations made—possible link on GIS with Bergen? Did not understand this bit]
- Barya on MODEL for expansion: wants ratio of 5 Ph.D. stu to one Ph.D faculty, 3 MA, 10 on projects of a semester duration, use of profs abroad, etc. INTEGRATES Ph.D.s with broader teaching—different from other programs on campus except Brazilian in Technology dept with field project on island where undergraduate students play a role—see Thursday tech meeting in afternoon—22 apr

Library

- James Mugasha-head
 - Overbudget on email subscriptions—problem with billing cycle
 - How subscriptions paid...INASP v other approaches—Sweden pay directly-which would work better for continuity, budgeting?
 - Database usage unclear—[later visit to library clarifies this as ejournal librarian is filling in for usual person who is in Sweden—see p. 147 notes, 23 April]
 - Dutch prof been coming 3 years; Uppsala one?? Follow up Uganda-Sweden collaborators to understand link better
 - Distinction DICTS and Computer Sciences budget, elements—I don't clearly understand
- Med Librarian
 - has a course ready...stuck as non teaching unit (Library) cannot offer a course (Is this course wanted by others? Content?) UNIV POLICY ISSUE—library cannot resolve
 - Where to do library Ph.D. training seems an issue as Makerere has no academic program for this level—debate over MA v Ph.D where to do—elsewhere in Ug univ, in region?

Informal discussions over lunch, tea breaks

- University budget, government and private pay students; Strike, household economics of participants: salaries, other jobs, housing and other allowances, etc. (informal)
- Insufficiency of science in primary and secondary education;
- History of Mak U decision to require PH.Ds for teaching faculty

Lunch discussion with Swedish university participants:

- Sida should pay salary supplements: concerns about Sida/SAREC policy of not paying these—in Sweden
- Program may not get best researchers or supervisors but those in Sweden without their own grants so willing to do this
 - Dutch do differently, do pay salaries...e.g. project with WB in Netherlands
 - Good administrators at Mak U retired rather than do Ph.D. weakened Univ (is this worth documenting somehow? Related to Dean Med prob with Ph.D. requirement?)
- Other countries that Sweden get tuition from foreign students, illegal in Sweden—hopes for change of Swedish law

DAY TWO: 20 April 2004 [p. 78-101 pf notes]

Faculty of Agriculture Annual Review meeting

- Issues to alert future monitors:
- Reports were not ready sufficiently in advance for Project officer to prepare for meeting
 - No agenda for this session—a bit confusing for new monitors without this—might have been easier if it weren't the first of these sessions with student presenters—other faculties mostly did offer agenda with names. Each participant was introduced, but hard to catch all names.
- **Student presentations:**
- Jenineh Karungi on waste, soil and pest management
- Some of her preliminary results show no significance—makes me wonder about how researchers in Uganda have any way of learning about negative results so they don't duplicate effort, waste resources by redoing experiments that may not be promising—is there a prospect for any sort of archiving of research reports that may not get published if the results are NOT positive? P. 79 in pf notes—REPORT—at what level to resolve?)
- Q&A: Appears that students do not have a custom of meeting with one another to review their work, help one another
- Justine Nambi Kusoze on using waste/banana leaves as food for cows—acceptability to cows; nutritional issues—addition of elephant grass 40% makes this work
- Alice Amoding
 - Decline of soil fertility, use of garbage/crop waste in markets for nutrients to soil
 - Debate over composting (possibly very costly) v. Mulch (Swedish-Makerere supervisors)
 - Program Coordinator notes that Mayor wants to use results of this research (Example of dissemination outside academia for community involvement, possible impact)

Tea break:

- Informal discussion with Ph.D. candidates:
 - They see their advisors very regularly; weekly, and perhaps even more during field work phases—they feel access to supervisors is especially open then
 - Library request system works well for getting articles for literature search aspect of their Ph.D. work
 - Student meetings are rare unless there is a particular problem
 - No tradition of Journal Clubs

Formal session continues:

- William Ekere: Economics of Market Crop Waste
 - Shows link to NGOs in his work—as Caritas has taught composting—another possible link for university-community collaboration, dissemination of useful information among NGOs, Mak U and communities of farmers
- Good example of collaboration among students as the others all helped in formulation of survey used in this study
 - Hannah Akuffo asks a variety of questions about the reports—as many of the most important sorts of information have not been included in what is reported to Sida/SAREC: e.g. preliminary results of research; potential value for Uganda and how (the 'take home message'), etc.
 - Meeting here suggests many levels of capacity building—from that for students, faculty supervisors, coordinators, faculty groups as research groups—with other collaborators, the Graduate School, at central administrative level at Makerere, with Ministry of Finance, (other ministries?), highest level of Uganda government; also Akuffo notes intentions to increase capacity of Swedish counterparts to be good development partners
 - Unclear to first time observer: what are the capacities this faculty is most eager to strengthen?
 - Prof Sabiti synthesis:
- one program (though no consolidated report to Sida filed, instead piece by piece)

- Coordinator shows links among student projects; Akuffo asks if preliminary results could be added to figure showing this
- Akuffo comments—then discussed with Coordinator and Dean within group session:
 - Warns that she will be moving out of Makerere project into others, and a new project officer will have difficulty understanding the reports and the programs if based on the sort of reporting Akuffo received this time
 - Inquires about other funders (later at Norad meeting we learn Norad intends to reduce funding to Agriculture rather precipitously over coming years—so this transition is this transition a major issue?)
 - Registration status of students?
 - How do Ugandan supervisors benefit from participation in this research?
 - Paper publication information unclear—hard to distinguish conference paper from publication and if peer-reviewed publication; [I wonder also, is it clear who are all of the authors and order? What is the tradition in Uganda/Makerere University for listing publications on academic Cvs—would like to see some Cvs to learn about these traditions];
 - HA suggests standardizing terms related to publication.
- Discussion of registration difficulties between Dean and Prof Bakabinga shows effort to standardize the procedures, vetting, making a form for all vetters to use to make process easier for them etc.
- Question from coordinator about possibility for paying supplement to Pis of research
- Unclear how faculty funds used—small grants?
- DELAYs in disbursements discussed
- Akuffo encourages meeting between Ugandan and Swedish supervisors—and as a budget item in next budget—suggests yearly plan, meeting every 3-6 months among faculty (I think faculty?) to make joint request for funding
- Akuffo: NEXT year will require a THREE YEAR report of how all funds used—as agreement is extended until 30 June 2005. This will be a new task—Akuffo introduces
- Reference to NORAD process for funds management—how are they different?
- STUDENTS point out they still do not have their laptops—requested two years ago [E Johansson followed this up later—see procurement summary]
- Discussion about planning Dean and coordinator will do with Swedish counterpart coordinator—Stig
- Dean talks of involving others working with Mak Ag faculty in city; issue of networks, collaboration and use of results
- Hakan Jonsson raised the potential utility of using human waste to provide nutrients to soil; Coordinator Sabiti notes particular interest in this suggestion and others appear to be interested as well

- BUDGET discussions to take place outside of the group meetings: Akuffo, Deans and Coordinators; mentioned at meetings with faculty and students of each academic unit

Discussion over lunch with Dean of Agriculture and Professor Bakabinga about how new Vice Chancellor will be selected (first time not to be appointed (?by Chancellor/Prime Minister or outgoing Vice Chancellor?); how Deans have been elected for last 10 years

Afternoon meeting with Social Sciences Faculty and students

Coordinator is also Dean Edward Kirumira; has been Dean only 1 year, was not Dean or Coordinator when this Sida/SAREC research initiative began in the Faculty of Social Sciences

- Agenda prepared, but late start as equipment problems and a bit of confusion)
 - Here the faculty present as well as students:
- Joyce Kwesiga introduces her area (changing gender relations and ideology student--(Henry last name? Whose topic is Liberalization in Agricultural Markets, Gender Relations and Livelihood in Central Uganda); Results unclear to me
 - Prof AGG Gineyera (check spelling) an student
 - Aron Mukwaga, Ph. D. student Conflict an Post Conflict conciliation in Great Lakes Area; Discussion of delay in funds, delay in work
 - Dean asks for clarification on what issues emerged in the field work
 - Discussion about publications—hard to follow without some format for discussing research questions, preliminary results, publication or plans for this
 - Swedish counterpart professor offers context for the student's work after student is done presenting—comments it was more systematic than audience would know from the discussion
 - Dean calls for clearer reporting
 - Discussion of GIS by Lund professor, Petter Pilesjo: distinguishing between theoretical work in GIS and practical uses, DATA issues important for Makerere emerge here
- Discussion of limits of internet at Mak U for using GIS: departments not yet sufficiently linked for easing use of GIS in collaboration
 - Data private—possibility of (part time?) faculty who work in town or do consultancies who use GIS to bring it to Mak U and use it in their teaching
 - I wonder whether there is a place where data sets, reports are archived at Mak U for further use?*
- Charles Rwabukwali on impact of HIV/perceptions
 - Bertil Egero (Swedish faculty supervisor) discusses his study of HIV on campus, supported by Vice Chancellor with letter to ease access to data about deaths of faculty and staff, etc.
 - Discussion of draft manual for supervision (November 2003) Not sure if we ever saw this? Eva?
 - Student presentation: Frank Mbaaga pilot study on “construction of risk” and perceptions of risk HIV
 - Several times it seems to me that the fit of theoretical framework (developed in industrial countries perhaps?) and research pursued here is awkward, makes for difficulty for students! What alternatives might there be?
 - Discussions of manual for supervisors, interdisciplinary studies, distance learning, thematic studies (2 in health)
 - Q&A: discussion about need for improving Social Science Journals in Uganda; what role an in-house Journal might play; the possibility of financial support from School of Graduate Studies (where there seem to be some funds for journals—don't know how this works) for a collection of articles on women and gender—Dean inquires about funds for this.
 - Prof. Bakabinga welcomes supervisor's manual
 - Akuffo on reports:
- Much the same list as presented to Agriculture meeting: lack of clarity on reports that do not distinguish what is published, in preparation, what is conference presentation, etc.; need for more on results; says reports greatly improved from previous submissions

- Points out overlap with interests in malaria, HIV in Faculty of Medicine—(possibility for more multi-disciplinary collaboration)
 - Discussion about delay in release of funds, how to improve this: planning and glitch in disbursement
 - Dean clarifies goal: intensify collaboration, look for additional sources of external funding to expand research, publish;
 - Akuffo reinforces—says additional funds are not “double dipping” so long as it is clear that the additional funds support additional work
- Informal discussions at Guest house after Annual Review about Swedish Ph.D. training approach v. North American traditions

Day 3: 21 April 2004

Medical Faculty (p. 101-113 Freeman notes)

- Issues of concern listed by Dean Nelson Sewankambo:
 - IRB process versus UNSCT (registration with National Science and Tech Cnsl)=bottleneck
 - Emerging ethical challenge (no human subjects in other Faculties visited to date, so this is unique so far to Medicine)
 - “Vetting” of Ph.D. candidate proposals to allow for registration still a problem (as it is in other faculties, though seems to be improving)
 - Accountability
 - Use of laboratory built by Pfizer
 - Use of biochemistry lab and others
 - Sets deadline for registration to push—maybe end candidacy of students not seeming to be productive
- Prof Bakabinga list:
 - Vetting: need 2 of 3; or 2 positive reviews outside faculty of student, but can be on campus
 - Procurement
 - Steering committee for Demographic Surveillance Site to advertise positions
 - GIS link for DSS
 - Medical faculty at 9 of 20 available positions
 - New phase of Sida/SAREC project will invite ALL faculties to apply, not just those already involved
 - 21 May will be meeting organized by School of Graduate Studies to consider proposals for 2005-2007 (or just extension?)

Communication problem! Akuffo notes she sent INVITATION for proposals in November 2003—but clearly many do not know this

- Again, lack of clarity about publications
- Discussion of plagiarism rules—seems to be clear at other levels, but guidelines for Ph. D program not yet in place
- Grey area (differences of opinion) about “What counts” as an activity WITHIN the Sida/SAREC program or another one—comes up in each faculty—difference between adding capacity by seeking other funding sources – spinoffs of Sida investment which Akuffo encourages, and “double dipping” (multiple funding sources for same activity)
- Akuffo critique of reports:
 - some so cryptic that no one outside the Faculty could understand what has been done or planned; Akuffo warns (as she did in other faculties) that she will not be the project officer for too much longer, thus important to communicate value of research, capacity being built to new project officer and any others who will read reports at Makerere and at Sida/SAREC
 - Data analysis: why often reported that students go to Sweden to analyze data with help of Swedish counterparts? If supervisors need to refresh their skills, be sure to put this in budgets as useful capacity strengthening (she says this to most faculties as the week progresses)

- Coordinator list of issues for improving reports—describes a rough process of getting in information [some information later suggests that previously Swedish counterparts have prepared major elements of report, so this may be first internal effort to do the complete reporting exercise];
- Procurement: Coordinator E. Katabira announces he will chase down procurement problems and work on bottlenecks so senior researchers will not need to do so
- Joint degree guidelines—(with KI or other Swedish universities in future); Karolinska requires 2 years of residency/enrollment –which?
- IRB—problems last year, getting better—senior faculty come early in the morning when called for this committee
- Time off from other duties (teaching, clinical) to do research—need clarity in reports, what research is being done in this special time
- Publications: make cites complete with all authors etc.
- Ph.D. guideline book—to circulate (Eva has copy provided by Dean)
- Discussion:
- Problem for communication: not all faculty have a Makerere email address so they do not get information sent through the intranet
- Issue: student manuscript sent for publication without consulting Makerere supervisor—communication again
 - Akuffo:
- on reports Asks for Med Faculty reports to show how often supervisors and students meet—seems infrequent in some cases
- Can Pfizer lab be used for other purposes, is the biochemistry lab still needed? Answer from Dean is that Pfizer lab is limited by contract to HIV/AIDS for 10 years, so can extend use to others in that field, not malaria or other topics, so DO still need the biochemistry lab with Sida/SAREC support
- Plagerism issue—need for clear guidelines
- Eliz F of KI asks
- how to bring nurse/midwives into program as is large proportion of health staff in Africa
- How students may pilot ideas while awaiting registration
- Responses:
- Nurse midwives are welcome for the program
- Pilot concept ok, but must have ethical clearance!

Students and faculty present projects—very rushed as time spent on administrative matters took much of the time; after several presentations, those with results were asked to present only those slides with results, others no offered any presentation time. Was clear many students had devoted time to presentations we did not hear

Some students who presented at least some of work:

- Peter Vuzi: immune response to antigen made in their lab—potential vaccine candidate p34
- Hakim Sendagire: on resistance to malaria drugs
- Frank Kironde (faculty) on Genes and Genomes course
- Discussion: How availability of lab space supported by Sida/SAREC advertised, made known to potential users?
- How is lab supervised?
- (Akuffo asks for this information in revised report)

Cancer subgroup:

- Cecily Banura: HPV—study shows need to do cervical exam or miss many of possible HPV diagnoses
- Agaba Ateeny [co-supervised by Fred Wabwire of Inst PH—who said he would have attended this meeting had he been invited—communication issue again] prevalence HPV, which subtypes for designing a vaccine relevant for Uganda/Sub S. Africa, not just industrial world; study shows

-Jackson Oren: (work delayed by opportunity to be a clinical fellow at Case Western Reserve in Epi and biostatistics-- Fogarty International Center/US NIH paid for fellowship);) Topic HIV and Burkitts Lymphoma—relationship between rise in childhood lymphoma and HIV?

-Fac: Mbidde/Elizabeth Weiderpass discuss—need to write another proposal to raise funds to complete study

-Ogwal-Okeng

-Celestio Obua-comparing 1 to 2 drug treatments of malaria—homopak

- Procurement issue: appears there is an expensive piece of equipment (\$60,000USD) awaiting installation as there is no air conditioning for the room in which it will be installed

-Wini Ogwal-Okeng: Drug information Center for adverse events reporting

- Prof Florence Mmirembe (reproductive health group)

-Pius Ob... (check name) is student whose work was delayed as his aunts and uncles have recently been killed in violence in N. Uganda—nonetheless he has 3 papers published, 3 ready to go; had he been in Sweden he could already have defended!

-Don Kaye: reproductive health and violence

-Lynn Atuyambe: pregnant adolescent services severely lacking—food, shelter, safety as often expelled from homes

-Johosephat ? : Emergency contraception

-Twaba Mutyaba-no data so no permitted to proceed to present

- Mental Health group

-Obuwu—using RISLE scale to diagnose severe depression—not very useful

-E. Okella: cultural beliefs and help seeking patterns for depression

-Muhweza: diagnosis of depression in primary care—not usually noted, why? (this Ph.D. candidate smiled and showed pleasure in his work throughout presentation despite intense pressure near the end of the meeting when students were being rushed through their presentations, skipping many slides as we ran several hours over time)

-Tinhumisaze (Jose) Frequency of depression in Uganda v. Malawi in adult women; more depression in N Malawi women than South—different family structure—less depression in S where new husband moves to wife's family (rather than wife to husband's family N)

- REQUEST for more time in next review as it ran two hours over and students many did not get to do the presentations they had prepared
- I: What sorts of presentations are realistic for Annual Review? How much by students v. faculty (if idea is to learn about research groups development for building capacity for Long Term?)

Afternoon

School of Post Graduate Studies and Demographic Surveillance Site/Institute of Public Health (p. 113-124 Freeman notes)

[Present are Bakabinga, Akuffo, Accountant for Grad School (Mary Nakyewa), Fred Wabwire & Edgar Galwango (DSS), Ben Royambubah, University Bursar, Lena Atuhaire. Economist/Statistician, Hans Rosling and two pilot monitors (EJ+PF)]

Demographic Surveillance Site: Report of Fred Wabwire-Mangen, chair of Steering Committee for Site—all depts have representation on steering committee

- Vision: basis for evaluation of health sector reform and many other changes in Uganda as baseline data to be gathered
- Delay major problem as local residents of Iganga offered a house for the site to use as an office, and staff have not been hired, furniture not purchased—so cancelled field trip with Akuffo to see the site so as not to increase tension with local community by visiting without moving the work forward—why so much delay?

- **Major discussion of procurement:** special issues for biological agents—cannot wait 6 months—need rapidly to avoid wasting entire experiment under way, needing to start again (Hans Rosling)
- Discussion with Bursar about need for a special procurement process for biologic agents (reagents, etc.) Rakai site in Uganda near Rwandan border is able to do this
- Prof Bakabinga suggests purchasing in increments under 100,000 Ugandan shillings as the process is far simpler
- Discussion about funds for DSS beyond Sida—proposals to other sources (RF possible supporter)
- **Tax issue** raised around discussion of purchase of GPS
-

Prof Bakabinga: Cross cutting courses

- Concern raised as to frequency, predictability of offering these courses, how advertised (communication issue again)
- LK Atuhaaire discusses statistics/research methods—lab now in place for data analysis—was not previously

Financial issues discussion with bursar and Prof Bakabinga:

-**procurement methods** will get more cumbersome once more external collaborators; Makerere has about 50 now, KI has 14,000 (Rosling)

-**Financial system**--not yet automated (*learned later from ICT staff that this system is now coming on line, training just done, should start very soon BUT it does not change procedures, simply computerizes whatever steps had been in place*)

-Akuffo agrees to manual for Sida funds, wants it posted on intranet; other funders do special procedural manual, Sida/SAREC had not favored this, changed.

-discussion of **insurance** for equipment etc.—unresolved if costs more than ‘self-insuring’, especially as it did not sound as if policy cover much beyond fire

-**TAX issue** discussion about negotiation between University and Ministry of Finance—see Akuffo note on this in agreed upon minutes of Annual Review, April 2004-05-03—not been able to use Sida funds to pay taxes—much discussion about this later with MoF and Swedish Ambassador in Uganda

- Other issues:

-students arrive at KI (and other Swedish universities) with very different stipends

-Funds for faculty coordination—will be possible to use 4% administrative funds once Bursar writes letter to Sida/SAREC saying exactly what it is funds will be used for

-Do or do not supervisors get any funds for supervision—Akuffo, says no; Bakabinga says yes?

Unclear resolution of perceptions?

Day 4: 22 April (Thursday)

Meeting at Ministry of Finance with Norad, Sida invited to participate

Freeman notes p. 124-

- More discussion of interest issue, not paid by banks
- Discussion of VATax, (Akuffo reported all this to Swedish Ambassador)
- Vice Chancellor explains
 - process to select new Vice Chancellor
 - strike and effects on salaries, top ups and other financial items (pf notes p.126-131 for detail)
 - turns out Norad has been studying salary structure at Makerere University and has document with some information
- Possibility of coordination Sida/Norad on procurement issue results from meeting—discussion of items stuck at airport again (see also p. 127, 134 in notes)
- Major Norad investment in Planning Dept of University/5 year strategic plan for university (later I receive a copy from consultant to Planning department who is staying at same hotel as we)
- University budget 2001-2007 targets, Vice Chancellor reviews (p. 132)

Afternoon

Technology Faculty: Dean B. Nawangwe, Coordinator Mackay Okure

- Well organized, reports clearer and consolidated, unlike several other units
- Issue to revisit: participation in many conferences because there are few international architectural journals—a problem for new researchers
- Hakan Jonsson attends this as well as Agriculture session—again raises uses for human waste (sewage) and faculty seems very interested.
- Procurement: KTH purchased for them, but item stuck at airport —Tech fac, p 134; also comment on MoF process, university being slow to pay the 10-20% tax due—question about how much is a need for more planning ahead, budgeting of tax portion by departments, versus delays at Bursar/Central university offices, versus MoF rules (see also comment by med Dean in later interview on this)
- Tax issue again; possibility of storage charges at airport also if equipment not cleared through customs within specified time
- Presentations of each subprogram introduced by faculty, students present. Well organized (see Freeman notes p. 135-138)
- Debate about GIS—this faculty has technical relationship with Lund; Social Sciences use GIS as a tool, are not technically involved
- Intellectual Property rights come up in discussion about regional cooperation with Dar Es Salaam and Mozambique (p. 140 notes)
- Plan for future—clear that coordinator is well organized, planning ahead, BUT had not realized Sida/SAREC expectation for open process in which new units can apply for Phase 2 funds, thus it is not inevitable this Faculty can expand as they are planning—at least all with Sida support
- Usual Akuffo review of reports, this group has done better, Akuffo warns of requirement for 3 year report coming soon
- Probably an issue across all faculties: planning for next Phase—considering how to continue students and research projects in process, make room for new units to participate

Annual Review ends with a cocktail hour, 6 in the evening on Friday, 23 April

[Rest of interviews summarized in Appendix F.]

Appendix B**Division of Labor between Pilot Monitors for Follow-up Interviews and Laboratory Visits**

[See also Appendix F]

Eva Johansson

Faculty of Agriculture
Faculty of Technology
School of Graduate Studies
Labs at the Medical Faculty
Cross-cutting Courses
PhD Thesis
Swedish collaborators

Phyllis Freeman

Faculty of Medicine
Faculty of Social Science
Directorate of Information and Computer Technology
Library (especially E-journals)
Computing Sciences
Institute of Public Health (two programs and director)
Demographic Surveillance Site
Planning Department, Central Administration

Appendix C

List of individuals whom we interviewed outside the Annual Review sessions

Hanna Akuffo	Sida/SAREC
Michael Ameri	Senior Assistant Registrar, School of Grad Studies, Makerere
David Bakibinga	Director, School of Graduate Studies, Programme coordinator
Cecily Banura	PhD-student, Medicine
Mateete Bekunda	Dean, Faculty of Agriculture
Bertil Egerö	Swedish collaborator, Social Science
Agada Didace	Vet School librarian, and Interim eJournal Coordinator, Makerere
Barbara Ekblom	Swedish collaborator, Agriculture
Elisabeth Faxelid	Swedish collaborator, Medicine
Edward Galwango	Demographic Surveillance Site, IPH, Makerere
Hakan Jonsson	Swedish collaborator, Agriculture and Technology
Stig Ledin	Swedish collaborator, Agriculture
Florence Kahiigi	Help Desk Administrator, DICTS, Makerere
Joseph Kimaih	Network Manager, DICTS, Makerere
Fred Kironde	Ugandan collaborator, Medicine
Florence Kivunike	Website and email manager, DICTS, Makerere
David Kiwania	Systems Manager, DICTS, Makerere
Rubinah Kulubaku	PhD-student, Technology
Apolo Kyeyune	Network Planning and Maintenance Manager, DICTS, Makerere
Henry Manyire	PhD-student, Social Science
James Mugasha	University Librarian, Makerere
B. Nawangwe	Dean, Faculty of Technology
Justine Nambi	PhD-student, Agriculture
Anders Närman	Swedish collaborator, Social Science
Celestino Obua	PhD-student, Medicine
Jesper W. Ogwal-Okeng	Ugandan collaborator, Medicine
Mackay Okure	Program coordinator, Faculty of Technology
Erasmus Ottabong	Swedish collaborator, Agriculture
Gakenia Wamuyu Mania	Coordinator, IPH-CDC HIV/AIDS Fellowship Program, Makerere
Maria GN Masoke	Medical Librarian, Makerere
George W. Pariyo	IPH, Head Health Policy, Practice and Management, Makerere
Stefan Peterson	Coordinator, Karolinska Institute with Faculty of Medicine—
Jesca (last name?)	Ph.D. student from Uganda's Ministry of Health visiting Karolinska
Petter Pilesjö	Lund University (GIS)
Jean-Nicholas Poussart	Lund University (GIS)
Hans Rosling	Swedish collaborator, Medicine
Charles Rwabukwali	Ugandan collaborator, Social Science
Age Ronningen	Consultant to Makerere Department of Planning (from Norway)
David M. Serwadda	Director, Institute of Public Health, Makerere
Nelson Sewankambo	Dean, Faculty of Medicine
E.N. Sabiiti	Program coordinator, Faculty of Agriculture
F.F. Tusubira	Director, Information & Communication Technology, Makerere
Fred Wabwire-Mangen	Institute of Public Health/Demographic Surveillance Site
Coordinator	
Elisabeth Wiederpass	Swedish collaborator, Medicine
Staffan Wiktelius	Sida/SAREC
P. Vuzi	PhD-student, Medicine

Paul (last name)?
Ogwai-Okeng]

[ej says: supposed to take over after Jesper

Appendix D

Documents we reviewed

African Journals Online (AJOL): Access to African published research
 Annual Progress Reports from 2003 and 2004
 Application forms for Funds from Makerere University Research Money
 Bilateral Research Collaboration with Uganda.
 Bilateral Research Co-operation with Uganda. January 2002-December 2004. Sida's Assessment of the co-operation
 DICTS. Directorate for ICTS support
 Guidelines for Applying Institutions, Sida, June 2000
 Guidelines for Research Proposal, thesis/dissertation writing and examination. Graduate School, Makerere University, 2001
 Kirumira, Edward K. and Bateganya, Fred. **Where has all the education gone in Uganda? Employment Outcomes Among Secondary School and University Leavers**, August 2003, Faculty of Social Sciences, Makerere, published by the Institute of Development Studies, University of Sussex, Brighton, UK (Funded by DFID as one of 4 country studies in Sub Saharan Africa along with Malawi, Tanzania, Zimbabwe)
 Makerere University Institute of Public Health, The MPH Programme (brochure)
 Makerere University Institute of Public Health, Vision, Mission
 Makerere University Institute of Public Health, IPH/CDC Fellowship Program: Management and Research Capacity in Uganda (post Master's training program, non-degree, hoped for basis for Ph.D. program in near future)
 Programme for Enhancement of Research Information (PERI) Makerere University Library & INASP
 Project Activity Plans for 2003/2004 and 2004/2005
 Programme for the Enhancement of Research Information (PERI)
 School of Graduate Studies. General Information Brochure. 2004.
 Second outline to a Manual for the supervision of doctoral students in social science
 Terms of References for the Pilot Monitoring Team
 The PhD Guide Book. Guidelines for Postgraduate PhD studies: from registration to graduation. Faculty of Medicine. Makerere University, Final Draft Version
 Universities and Other Tertiary Institutions (Amendment) Act

Appendix E

Special Priority Issues: why are they so important and how might they be addressed

[Information to supplement what is in the text (Section 4.2.1 and 4.2.3—as a starting place for anyone who may investigate these issues further: procurement and faculty compensation)]

4.2.1. Procurement

During our 10 days stay at Makerere University as a Pilot Monitoring Team for Sida/SAREC, it became very evident that “Procurement, financial management and import taxes” posed serious problems. Below, the issues are described based on information from people working at Makerere University and in the Sida/SAREC program.

The procurement of equipment involves the following steps;

- Equipment needed is identified
- Forms to request procurement are to be completed in a particular way
- Forms completed within each Faculty before they are sent to the university’s central procurement office
- IF people considered important by the procurement office make a special point to explain why procurement is urgent, procurement prepares the papers that office must complete relatively quickly. High ranking faculty and Deans are “Important people” for this purpose, Ph.D. students are not.
- Procurement offices completes paperwork and approvals.

What goes wrong? If the original request for equipment is not written on the form in the way required by the central procurement office, it may be returned to the Faculty making the request to do again. Sometimes the forms disappear in transit between offices; or requests for different items are mixed together; or the procurement office issues new guidelines requiring different or additional information from the Faculty—and procurement requests submitted prior to the new guidelines but not yet fulfilled, must be updated. Faculty are not routinely informed of these events by the procurement office, but must investigate delays themselves.

Procurement is also delayed because the procurement office is under-staffed. Those interviewed thought that inability to keep up with the workload by the procurement office was a primary cause for responding to requests advocated for by higher ranking faculty and deans.

The disbursements of funds involves the following steps (not true for Medical Faculty, See Appendix F-4);

- Application for money to the Director of School of Graduate Studies
- Director writes a check on the Faculty
- The check is taken to the faculty account
- The check has to mature 4 days
- The bursar has to be written to through the Dean for release of the money
- The bursar writes a check in the name of the user of the money
- The money is banked at the users account
- The money has to mature 4 days

The whole process takes 1-2 months IF all goes smoothly. Delays and confusions in this process has caused bank charges. [Note that in the medical faculty where a member of the bursar's office is stationed there, check processing routinely takes no more than 48 hours.]

Import taxes

When equipment arrives to the airport, VAT has to be paid for the release of procured items. [Sida/SAREC does not pay these taxes. This is written in the agreement between the donor and Uganda.] Even when Faculties budget to pay for these taxes, the units or procurement staff appear to have difficulties finding resources to pay VAT at the time they are due. This causes delay in acquisition of equipment etc., even when materials may be at the airport. One cause for this confusion seems to be that only half of the sum budgeted for the university (*not sure by whom—who budgets, who pays?—to follow up*) is actually paid to the university.

In order to solve the problems with procurement, financial management and import taxes, an overall investigation of the system would be needed. This would require assistance from consultants (or possibly embassy staff from Sweden or other donors—or Sida/SAREC staff and their counterparts in other development agencies and foundations?) with experience in financial analysis and university management. Whoever pursues this would need to document the present system first. Then analysts could suggest ways to make these processes more efficient. Clarification and improvement of these systems would benefit all of Makerere University, not only for the Sida/SAREC program, and strengthen the research capacity of Makerere University.

We suggest that the investigation, evaluation and suggestion for changes of the financial system at Makerere University should be carried out by several donor organisations together and also in collaboration with Makerere University.

4.2.3. Faculty compensation and incentives for research: the basis of the institutional culture

Currently Sida/SAREC does not pay salaries for the Ugandan counterparts and PhD-students. For the Swedish counterparts, Sida/SAREC does pay a minor salary is paid, compensating 5-10% of full-time salary for the supervisor of the PhD-student.

The salaries at Makerere University are generally very low and had not been increased for 8 years (until the agreement made after the strike, spring 2004).

As the salary “system” is complex and confusing, we list the elements we learned for subsequent work in clarify how the salary structure and incentives within it impinge on research strengthening:

- Base salary. Each category of university personnel has a base salary paid by the university using public funds allocated by the Ugandan government. The amount of the salary depends on the position.
- Allowances. Faculty (we know less about staff) have allowances for such things as housing, telephone etc. Housing allowances for a full professor amount to 150 000 shilling (about \$75 US) per month. Thus, full professors either can choose between housing supplied by the university or an allowance for renting a house off campus. [The cost for renting a house is 200 000 – 500 000 Ugandan shillings per month.]
- Top up salaries. In addition to the base salary and allowances, all permanent staff at the university also get “top-up” salaries from the university that vary by position. Those in higher positions get higher increments in the “top-up”.

All combined, the base salary, allowances and top up for a full professor amount to approximately 1.1 million UgS (or \$550 US) per month.

In addition to the one described above, there are fees for teaching—collected from private-pay students. (It seems that private pay students significantly outnumber those supported on government funds.) The

fees for teaching are divided between the university and the Faculty who teach the courses. Each Faculty uses these fees partly for salaries—for staff as well as for faculty. This means that university staff also get top-up salaries from the faculty. The amount differs by Faculty depending on the size of special programs. Certain faculties have a lot of demand for and do more of this sort of teaching (e.g. evening courses at the Faculty of Social Sciences) than others.

At Faculty of Technology, the money for teaching is subdivided among all faculty and staff. At the Faculty of Social Sciences part of the student fees go to a general top-up salary for the staff members, and another part goes directly to the teacher who taught night course.

Further, income is derived from teaching PhD-students, postgraduate teaching, field allowances, “sitting allowances” (to attend meetings), and possibly other university related activities. Participation as a member of a various kinds of boards also provides extra income to some. Five days of sitting in meetings of such a board pays more than a full one-month salary for a full professor. Another possible addition to income comes from per diems for conference attendance and travel allowances [as much as \$250US for per diem]. Another way of augmenting university salaries that is common is through consultancies. Medical doctors often seek income through part time practice in private clinics.

Sida/SAREC support does not contribute money for salary, but does permit payment for travel allowances, field allowances etc. Overall, there appear to be very large differences between the Makerere University system for salaries and allowances and common approaches in industrial countries. At Makerere, faculty undertake specific activities that compete with time to do research because the university base salaries are inadequate to support a family. There does not appear to be a routine way at Makerere (as there is in many universities in Europe and North America) to use research funds to buy out teaching or service obligations to make time for research. Thus, time and energy that might be devoted to building longer term, stable programs of research is directed instead to chasing short term activities to supplement base salaries. Thus, the incentive that is so powerful to draw faculty into forming programs of research in industrial country settings does not exist in most faculties at Makerere. That is, in the North, if the faculty compete for internal or external research funding successfully, they are rewarded with time for research, compensation and often staff assistance, equipment etc.. As the “buy-out” approach did not seem to be part of the Makerere culture, one major incentive or faculty to build research programs seems to be missing.

Because the official system for at Makerere is complex, and the ways for augmenting low university salaries with other sources of compensation even more so—and seemingly not systematized at all, it was impossible for the Pilot Monitoring Team to analyze the ways in which the Sida/SAREC decisions about permissible uses of project funding impact the incentives for faculty (to do research, work with Ph.D. students on their research, and develop programs of research to strengthen Makerere as research university). This area seems important to understand, but we were only able to begin the process of learning what it would be necessary to know to analyze the impact of the Sida/SAREC approach.

We suggest that Sida/SAREC consider working with other donors document the current ways in which faculty and staff earn their livings evaluate the present system for its impact on donor programs, especially those intending to strengthen programs of research and doctoral education. This may provide the basis for development of a more transparent and organized system of incentives within the University and from the donor community. Without this it will be difficult to assure that funds spent to strengthen research are likely to have optimal impact on Makerere at the institutional level.

Today, the system depends on each member of the faculty and staff having to protect their own financial interests—rather than on a system of institutional incentives that supports development of a research university.

Appendix F

Selected notes from follow-up interviews

NOTE: Below we summarize highlights from follow-up interviews during the week of 26 April 2004. As we were exploring in order to learn what sort of information would be useful for future monitoring and evaluation, we did not have a common approach or instrument on which to base the interviews. Thus these summaries contain whatever the interviewer believed to be worth noting as a starting place for the work of future monitors. There is no uniformity in approach from one interview to the next.

Starting places for ongoing monitoring: summaries of highlights from interviews

1. School of Graduate Studies

The School of Graduate Studies works primarily with two different issues.

a. Administration and oversight of graduate studies

- administering applications for graduate studies
- monitoring graduate courses
- monitoring research work done during the graduate studies, e.g get a report from the students every 6 month, which gives evidence of that the student has been supervised
- administering examinations and graduation of graduate students

b. Administration and oversight of research

- report to the board of research and publications
- handling of research funds (from the government, the university, donors such as Sida/SAREC, Norad/NUFU, Rockefeller Foundation; all doing research, from Masters to Professors can apply)

Applications for research funds are handled by the Higher Degree Committee at the Faculty. Each application is also vetted and sent for approval to Uganda's National Council of Science and Technology. There have been few applications and few releases of money from the funds during recent years. Last application time, everyone applied got money according to their application. A research report has to be sent in after finishing the research work within a received fund.

Problems with registration of PhD-students have been frequent. Many arose from the initial, complicated vetting system that is now being simplified.

Faculties can recommend changes in procedures and systems that are used by the School of Graduate Studies. Then the suggested changes are discussed at the Faculty Senate, and decisions about alterations are taken there.

The School of Graduate Studies administers changes of supervisors—with approval of the Higher degree committee at the Faculty.

Everyone is aware of the large problems related to the procurement of equipment and other material for research. One problem within the graduate school that contributes to delay is infrequent meetings of the contract committee that must approve requests. This bottleneck could be eased if the chairman of that committee were empowered to take urgent decisions. Graduate school personnel also mentioned the problem of delays at the airport for lack of payment of VAT. [See also Appendix E on procurement, including payment of VAT as special issues.]

Students often complain about delays. The School of Graduate Studies has difficulty meeting its administrative responsibilities at least in part because it is understaffed. New staff are being added, including an acting deputy director (already hired), an administrator recently, and a second accountant (both expected soon).

The school of Graduate Studies looks forward to a strategic plan for the School. Also, the School desires an own building with rooms for lectures, seminars, a library, and for students to meet (a 'students' common room).

The School of Graduate studies is also responsible for desktop publishing and preparation of an annual research report. If this should work it means an expansion of the School in form of registrars that can gather research information and publish it.

The board of Graduate Studies and Research have formed a group in which intellectual property rights and general research policy is discussed. At present there is no clearly articulated research policy or Makerere and development of this promises to solve many problems for the School of Graduate Studies.

In the future the School of Graduate Studies would like to administer the following:

- Administration
- Applications
- Annual Research Reports
- Research Policy

According to the School of Graduate Studies, the Faculties conducting the most research, and of higher quality, are the Faculties of Agriculture and Medicine. The Faculties of Technology and Social Science are catching up.

From the School of Graduate Studies point of view, the advantages of the Sida/SAREC program at Makerere University include:

- Collaboration with other bodies
- SAREC deadlines move everyone to do their work more rapidly
- Capacity building is occurring
- The types of research performed are relevant to the Ugandan society
- Makerere U gains needed equipment
- The built-up of the ICT capacity moves the university into the 21st century

The Sida/SAREC programme functions as an infusion of new blood for research research capacity at Makerere University. If the support was not there, Makerere would develop research capacity and doctoral programs, but it would take much longer.

Cross-cutting Courses

The School of Graduate Studies is responsible for the program of cross-cutting courses available to Ph.D. students. Pilot monitors were eager to learn about which cross-cutting courses had been offered, when, and the results of any evaluation of the courses, including the nature of the criticism of each course. The Graduate school anticipates that responsibility for the courses will be moved to the departments at a later stage.

The names of the different crosscutting courses are;

- Statistical methods and computer methods in research
- Advanced gender research methodology
- Philosophy of method
- Quantitative research methods
- Genes and genomes

Most of the courses have been given 2002 and 2003. “Statistical methods and computer methods in research” was only given in 2002 for lack of equipment. This course is planned again for 2004. At least to begin with, crosscutting courses, incorporated teachers from both Sweden and Uganda. This has sometimes been a problem.

Evaluations of the crosscutting courses were not available at the School of Graduate Studies. The School of Graduate Studies suggested that evaluations did exist somewhere, since students at the Makerere University normally evaluate courses, but no one seemed to know where these had been stored.

Ph.D. Thesis

PhD-theses produced at Makerere University are intended to be stored at the Makerere University Library where they can be easily retrieved. Upon visiting the library, it became clear that these theses were not catalogued in any way (either in printed catalogues or computerised catalogues). Pursuit of Ph.D. theses was also of interest to determine if any existing theses contained peer review publications (as they commonly do in Sweden). Unfortunately, none of the newer theses, from 1997 forward, were available in library. Upon further investigation it became apparent that both Master’s and Ph.D. theses remained at the School of Graduate Studies because the paperwork necessary prior to their transfer to the library had never been completed. The organization of these manuscripts was not impressive. It appeared that none of those from 1997 and onward had been catalogued or even arranged by ISSN number or any other system that would permit their retrieval by interested parties (e.g. students, other researchers, extension offices, governmental employees, people from abroad). As the research results are rarely published in peer review journals, it is very difficult to access any findings or data generated by the graduate students who submitted their work to Makerere University.

Theses produced during the last year:

March 2003,	Art 1
	Science 1
	Veterinary 1

November 2004,	Art 1
	Agriculture 2
	Education 1
	Science 1
	Veterinary 1

2. ITC, Computer Sciences and Library

Communication and Information Technologies form a foundation for strengthening research programs at Makerere University. This involves collaboration among ICT, the Computer Sciences Faculty and the library (main, faculty level and departmental libraries).

ICT

Having started only in 1999 with support from USAID, the African Development Bank and Norad before initiation of the Sida/SAREC program, ICT development plays a crucial role in enhancing the research environment in a number of ways. The ICT director characterizes the challenge as “ICT for development” and argues strongly that every step the University takes should be based on a clear strategy of how the system can be sustained—or it should not be undertaken. The ICT director came from the Technology Faculty where he was a vocal proponent of creating a university-wide system for global connection. When Sida/SAREC arrived offering collaboration with Swedish universities in research and in supervision of Ph.D. candidates, it became urgent to assure reliable communication and sharing of documents and international literature through email, websites including access to e-journals and other resources readily at hand in Sweden but not yet at Makerere.

With support from the Vice Chancellor, Tusubira assumed an honorary position to organize the ICT efforts while maintaining full faculty responsibilities in Technology until just a few months ago when his voluntary position was transformed into a full time job that releases him from teaching and other departmental duties.

He has focused on designing a system specifically for development of Makerere University, relying heavily on inputs from the many units about their needs, and developing a small staff dedicated to the future of the university and responsive to the 32 units.

The director hopes the ICT systems development will help to transform the self-conception of the university from a pattern of concentrating on the needs of administrative personnel (numbering approximately 3000) to viewing the student body (numbering more than 30,000) as the focal point for planning. He notes that the academic staff (faculty, TAs and researchers) number fewer than 1000, revealing an imbalance in favor of administration in allocation of staff positions between academic and administrative functions.

The ICT strategy is explicit. ICT managed a process using internal and external expertise to design the infrastructure and development of four systems: 1. Information systems for the library (furthest along), and 3 related administrative systems for 2. academic information, 3. financial information including student registration and payment of fees, and, 4. human resources.

A massive advance in infrastructure derives from the laying of fiber optic cable connect to units (with the service of two telephone companies) and offers higher speed internet access than satellite/microwave alternatives. Progress is underway, coordinated by the web and network staff, to make information of many types readily available to those who access the Makerere University website. Cable has been laid on both campuses (central and the separate medical/public health campus surrounding Mulago hospital). Until one week before our interview, the medical campus was connected to the main server by microwave. The completion of the fiber optic cable link between the two campuses will speed internet connection considerably. The ICT staff expects to have the link operating within two weeks. The agricultural research station 20 km distant from the main campus currently operates by microwave, but is scheduled next for fiber optic linkage.

Constraints

The human challenge. The ICT director considers transforming the way faculty, staff and students approach their work as the greatest challenge to success of the ICT efforts. He offered the example that even before initiating computerization of registration records, ICT worked with registration staff to streamline the registration forms and process, eventually consolidating from separate forms (for day or evening programs, and for government and private pay students) to one form. The step to computerizing the consolidated form was far less complicated.

The technical challenges. The technical challenges are enormous, even though the director considers them less taxing than the human dimension. The "band width" constrains the speed and thus the carrying capacity of internet connection (faculty repeatedly comment on inability to download materials that are too big for the Makerere system). ICT staff mentioned informally that a fiber optic link to land-bound Uganda may come inland through Mombasa once an under the sea connection from South Africa to Mombasa is complete—possibly by 2006-7. The business community plays a major role in pursuing fiber optic connections for Uganda. The hope is that this fiber optic link will produce approximately a 70% drop in cost of internet connection—while increasing speed significantly.

The second challenge is the shortage of computer access with only 2000 machines for more than 30,000 students.

Reliance on "open source" software and the lack of policy on intellectual property: Because much of existing software did not seem well suited to Makerere's needs, and the prohibitive cost of licenses that would be needed for using copywrited software, the director and members of the ICT

staff report having chosen to rely on open source software wherever they can. Because the lack of intellectual property rights policy on campus has major implications for research capacity development and cuts across units involved in the Sida/SAREC program, we have identified this issue for special priority and treatment and discuss it elsewhere (See Options Section, Part 1 and the appendix elaborating on the importance of IPR to development of a research university).

Assessing progress

When asked which faculties seemed to take advantage of the new communication and information management capabilities most readily, both the director and members of the DICTS staff mentioned Technology, Computing Sciences, Statistics and Business as leaders; Law was ahead with some early external support but has not kept up the momentum; other science faculties may have assumed they understood the system and have not, therefore developed new capacity particular enthusiasm, and several mentioned that Humanities and Arts lag behind. The director uses several indicators to compare adoption of ICT on campus: use of internal funds as well as ICT and donor resources to buy computers and enhance systems of particular interest to their own unit; the status of computer rooms in terms of numbers of computers, users, upkeep of equipment and presumably upgrading of software and systems. Staff mentioned several additional characteristics they find promising: dedication of unit system administrators to be the first line personnel for answering questions and trouble shooting (ICT is training 2 people from each of the 32 units and had 50 of these attend their first workshop on 27 April 2004); reliance on these unit-level administrators instead of calling the core ICT staff for individual problems, teamwork between the two administrators for each unit; employment of students to assist in computer rooms as well as in the kiosks for which ICT staff hire students to assist users.

A Unique Asset: The ICT team and university-wide support for them

The director often referred to the quality of the ICT central staff individually and as a team as the key to their success to date and to his vision for coming phases. The staff of about 13 members is young, (typically late 20s with one or two approaching age 40). The Faculty Senate considered and voted in favor of a pay scale in which these young people are paid more than senior faculty—because their work is so crucial for the entire university and their responsibilities so vast. These salaries remain considerably lower than compensation paid to their counterparts in private industry. Experience to date suggests very significant competition for each ICT post, and commitment of the young staff for 3-4 years before they consider moving on to industry. The attraction of the job (even though they could earn far greater sums now) seems to be the scope of the challenge (the biggest network in East Africa, or at least one of the biggest), the perception that their work is significant for both the largest public university and for national development (as the university can produce skilled participants in all aspects of Uganda's development and faculties can collaborate such that research, technical assistance and service programs add value to government, NGO and private efforts nationwide).

Because this set of university staff seemed unusual and particularly valuable to enhancing research capacity of Makerere, we interviewed 6 of the 13 young staff one by one (a convenience sample of those who happened to be available on half a day's notice). [See Appendix C for names and positions] They were uniformly impressive in their dedication and ability to articulate the vision of the ICT unit for Makerere and Uganda. Their descriptions are quite consistent. They described the excitement of the challenge, the overwhelming magnitude of their responsibilities and pressure to perform small miracles daily in moving the agenda forward, including pleasing their clientele of faculty, staff and students. They see themselves as a "skeleton staff", thus needing to train many others within the academic and administrative units to assure continuing uptake of the potential of the system and maintenance of all aspects. Most are working for ICT by day and studying in degree programs at night (3 in of just having completed MA programs in Computer Sciences Faculty; 1 seeking a different sort of MA in network security; 1 enrolled in undergraduate studies and anticipating an MA thereafter; and one searching for a Ph.D. program where faculty in Sweden—or elsewhere in Europe as a Delft University professor is the only one so far to offer supervision in the areas pertinent to developing ICT in Uganda rather than pursuing technological development in and for Europe. A Swedish professor Waite is searching for other possibilities by circulating the Ph.D. candidate's synopsis.)

The staff described how they work as a team and the expectations of the director as critical aspects of their work. ICT staff say they are encouraged to work on problems together and to bring to him those they are unsure how to solve—but to come not only with the problem, but with proposed solutions for further discussion. They seem fully engaged and appreciative of the developmental advantages for this way of working.

The director expects these young people will work hard for the University for 3-4 years, train others to continue the work, and probably move into higher paying jobs in industry. Having planned for this, he sees the prospect as part of sustainability rather than as a challenge to it.

He described delegating to them primary responsibility for their areas of responsibility—and that the success of ICT rests on their success. He trusts them to carry out their responsibilities and to involve him in any issue where they need help. He involves them in planning and devotes most of his attention to planning, raising funds and guiding the program through the policy decision-making councils of the university.

Stage of development:

The director plans to consolidate the ongoing work this year while reflecting on the strengths and weaknesses of the strategy and implementation. Only after a thorough review of how each component is working does he plan to design a strategy for the next phase.

At some point in the future ICT and the Faculty of Computer Sciences appear eager to design and create software suited to the needs of Makerere University and to development of Uganda. Hardware would likely be a subsequent focus. When and how such efforts will be added to those to connect Makerere globally and to increase use of the campus capacity may depend on the results of the reflection on progress to date that is under way over the next year.

to pursue in a next round of monitoring:

-computing sciences—ran out of time to interview beyond meetings, but from point of view of MA students and graduates in ICT the programs are new and developing in promising ways
-clear opportunities for both synergy and tension between Computer Sciences and ICT with regard to roles in the academic programs and Ph.D. education

-Library

Special note about utility of the Sida/SAREC officer's promotion of free and reduce cost access to international scientific literature; greater reliance on intranet for great potential value as cost of internet connection is very high, speed limited by band width constraints—and the need to increase communication and transparency is acute.

3. Faculty of Agriculture

The Faculty of Agriculture consists of 8 departments. Crop Science is the biggest with 22 academic staff and 30 masters and PhD-students.

The full Faculty of Agriculture has approximately:

- 1000 undergraduate students
- 100 graduate students
- 100 academic staff

Of the academic staff, approximately:

- 40 have a PhD degree
- 35 are lecturers with a Masters degree

- 30 are assistant lecturers with a Master degree or teaching assistants with a Bachelor degree

At Makerere University the new Ph.D. degree requirement poses compliance difficulties for this Faculty as it has too few teachers. The Faculty of Agriculture at Makerere University produced the most PhDs within the University and offer the greatest number of Ph.D. programs. Apparently the relative strength of the Faculty made Sida/SAREC hesitant of having this unit become part of its research strengthening program. However, the Director of Graduate studies fought for and succeeded in having this Faculty included.

The Faculty of Agriculture designed a particular project for the Sida/SAREC collaboration. The purpose of the research was to find ways to recycle garbage for ecological advantage by re-circulating waste/nutrients/plant materials. It specifically included a gender dimension and recruitment of younger female Ph.D. candidates. Thus, Ph. D. candidates were selected based on a variety of criteria, including gender, interest and capacities as students (as known to Faculty through prior experience).

The teaching load of undergraduate students is 70% of the working time for a teacher at the Faculty of Agriculture. To teach 70% means that one has to teach 70% of the weeks within the semester. During teaching weeks, the load consists of 3.5 hours/day in class. When the Ph.D. student is fully registered, he/she is released from this teaching load. However, often the senior staff, e.g. supervisors may be occupied with duties other than the teaching at undergraduate levels. Therefore, often the PhD-student takes over part of the faculty supervisor's teaching responsibilities (20-30%). The supervisor still signs the papers for the grades and maintains responsibility for the teaching. All the Ph.D. students under the Sida/SAREC program at the Faculty of Agriculture benefit from help of lab and field/stable assistance in their research activities. Drivers help with the transport of garbage.

The teaching faculty are also supposed to do research and supervise PhD-students. Faculty find it easy to determine if teachers are doing research--by checking to see if they write and report proposals. No one can force faculty to do research. The advantages that draw faculty into research include the possibility of travel, conferences, and access to computers and vehicles.

Within the Sida/SAREC program at this Faculty, the Swedish coordinator chose the Swedish counterparts and the Ugandan coordinator chose the Ugandan counterparts. The Swedish and Ugandan coordinator met through a Ugandan, former Ph.D. student of the Swedish coordinator, at present Researcher at SLU, Sweden. The collaborations between all those involved seems to work very well. The Ph.D. students are generally very good and hard working. The Swedish supervisors try to help when needed, but also try not to take over the job from the Ph.D. students. The Swedes think that the program is for the Ugandans and, as much as possible, activities should be done in Uganda under the Ugandan system. They believe that the Ugandans should solve the systematic problems existing within the Makerere University.

The largest problem at the moment is the procurement system--especially procurement of Laptops for some of the Ph.D. students. [See appendix E on reasons for delay]. One suggestion from the Faculty is that the money could be sent directly to the Faculty account so that the Dean administers the funds. Funds from other donors often do go directly to the Faculty account. This Faculty intends to form a formal steering committee whose decisions would be binding. It is the director of School of Graduate who could help make this transition to a more efficient system desired by the Agriculture Faculty. If the problems with the process of registration and the procurement procedure could be solved, the Sida/SAREC programme could work much more smoothly. The Faculty of Agriculture at Makerere University is considering establishing itself as an African center of knowledge on the handling and recirculation of garbage.

4. Faculty of Medicine (selected topics)

The Ph.D. rule. The Dean of the Medical Faculty reported that while the intention of the Ph.D. rule was very positive, the committee that made the rule went too far. That is, the goal of creating a research

university is welcome, but the Ph.D. requirement ended up being too restrictive. In the medical school tradition, clinicians do quite a bit of teaching. The Dean did not think it is helpful to the medical school, even as a research unit, to require all clinicians to do Ph.D.s in order to teach and be eligible for promotion. To further complicate research for the medical faculty, doctors, unlike teachers in other fields at Makerere, are required to provide service by working in the university's hospital. Because this hospital is public and Ugandans have open access to it, there is no way to limit the workload. The faculty share the hospital's enormous burden of providing care to whoever may arrive. It is not clear that this is understood and appreciated across the campus.

The Medical Faculty gets many requests to collaborate in research. At present they have collaborations with more than 15 sets of external partners (e.g. Case Western Reserve University (US), Hopkins University (US), Baylor University (US), London University (UK), UCSF (US), Walter Reed, (US), Harvard University (US) University of Bergen (Norway), NUFU, as well as Karolinska and a Dutch university). Thus, opportunity is not the limiting factor for doing more research. Instead, it is finding time in the lives of the faculty and Ph.D. students who are juggling teaching and service requirements—and the need to earn more than the salaries at Makerere provide. Many of them work in private clinics to supplement their incomes. This does not substitute for clinical service at Mulago hospital, it adds more hours of clinical practice to the each person's schedule.

IPR. As to ownership of data and other elements of intellectual property (IPR), there have only been a few problems to date, but more challenges in this area are foreseeable. The School of Graduate Studies is working on a policy for IPR, but it is not yet clear what the policy will be or what its impact on the medical school will be.

Publication. The medical school is having a good experience in finding journals to publish their research articles (particularly in the area of HIV/AIDS). This group also started an international journal of African Health Sciences. In its fourth year of publication, the US National Library of Medicine added this journal into *index medicus*, the medline database. As most journals from developing countries are not accepted for inclusion in this system, this is a notable triumph. Even many new journals do not succeed in becoming listed in medline.

Research management, procurement etc. This Faculty worked with the university Bursar's Office to establish a decentralized method to handle funds from Sida, NUFU and others, including signing checks. The bursar delegated a staff member to work within the Medical Faculty facility on the medical campus. The Dean wants to hire another person to staff this internal office. He also wants to add new capacities to this office including grant management (using appropriate software) and procurement reagents and other materials for research. The Bursar has agreed in principle. KPMG provides some advice and the Vice Chancellor has been supportive of this, especially with someone from the Bursar's office on sight to oversee the decentralized activities.

Procurement and the Ministry of Finance (MoF). This dean has found that many of the procurement problems occur at the level of Uganda's Ministry of Finance, and even the central university authorities cannot improve the procurement procedures to an adequate level of efficiency without some change in requirements from the Ministry. Apparently the same problems occurring with use of Sida funds for procurement occur complicate programs funded by Norad and Carnegie—and have something to do with new guidelines issued about two years ago by MoF. Makerere resisted the new guidelines for the first year they were in effect, then was warned in some fashion to comply. The resistance was described as “substantive” as the rules were better suited to other sorts of enterprises than a university. Together the science dean's could clarify what the problems are and educate the appropriate administrators about how Makerere might present these and seek relief. The School of Graduate Studies will be need to be involved in this.

The Institute of Public Health and the medical curriculum. The public health program separated from the Medical Faculty about 3 years ago. (This is typical worldwide that schools of public health have sought to establish themselves outside medical schools to move beyond the individual and hospital focus of medicine; and to work in communities to control hazards and organize community-based care). The two

faculty groups still work closely together and enjoy good relations. The public health faculty teach medical students, co-supervise Ph.D. students within the medical school, and share responsibility for the demographic site—with the Public Health Institute having been asked to take the lead on this.

5. Faculty of Social Science

[Information gathered from presentations at two plenary sessions by Dean/Coordinator (19 April on progress to date) and 23 April on planning for the future), on a half day meeting with the faculty, students from Makerere University and Swedish coordinator and co-supervisors, discussions with several faculty and students from Makerere University and Swedish universities and a longer conversation with Dean Edward Kirumira]]

Prospects for developing long term programs of research:

The Dean/coordinator has a long term vision for developing research capacity. He sees particular promise for developing strength in several areas where a critical mass of researchers could be assembled to collaborate: Health and impact of systems (with emphasis on HIV, reproductive health and collaboration with medicine and public health); Social policy, especially poverty eradication, social welfare and labor, internally displaced populations, affirmative action and rural development (combining faculty from Social Work, Women and Gender, Social Administration from his faculty—perhaps also cross-unit collaboration with others such as Technology and Agriculture although we did not discuss this); democratization (possibly with Political Science and Law faculties), and Public Policy/International relations.

Movement from a focus on individual faculty research projects and Ph.D. students to programmatic planning for sustainable research programs with long term promise for contributing to Uganda's development is in an early stage. The half day session where the researchers and their Ph.D. students presented was confusing and hard to gauge. Participants reported on activities without effort to place them in context for observers from outside the Faculty (although clearly the reports were meant to inform Sida/SAREC at a minimum beyond department members), did not offer many results, nor did many presenters explain the potential impact for advancing research programs at the University or for benefitting Uganda in priority areas.

This Dean is intent upon working with faculty to reorient from the individual focus to programs of research with common themes (see list of areas above), where research can be linked to planning and evaluating interventions. He hopes to link university researchers to major players including NGOs and government entities. He has experience in this both in health and in education (see publication for DFID/Sussex University listed in Appendix D). He entered the S/S program after it began, and reported that his early efforts at reorientation were received by faculty as efforts to take away their projects. More recently he feels he has made progress in assuring faculty that is not his intent, but he does want to promote reorientation of their efforts.

Challenges and Strategies for building capacity

The Dean notes that neither researcher/supervisors nor students are very familiar with the model in sciences where researchers are intended to disseminate results nationally and internationally in conferences and indexed, peer reviewed journals in order to develop the reputation of the research group, attract collaborators and become competitive in seeking internal and external funding to sustain long term programs of research. His goal is to introduce this set of expectations and fundamentally change the research culture.

His approach is based on several previous experiences, including his leadership of a child health research group involving the Medical Faculty starting in 1991-2 and participation in international collaborations, including that assessing education (primary through university) in Uganda as part of a 4 country study in Sub Sahara Africa funded by DFID. In the former he created "a novice research fund" (a mechanism that exists in other faculties as well and is overseen by faculty research committees) by

reserving a small percentage of externally supplied project funds to support development of young researchers. He suggests that this approach can mitigate some of the pressure for short term project approach to research often funded by external bodies. That model seems to encourage short term thinking and focus on monetary rewards for research rather than supporting long term planning as part of strategies for national development and programs of research to build Makerere as a research university.

The Dean noted that the choice of older faculty as the first group of students (before he was part of the program) is one of the particular challenges burdening the shift to a long term focus as some of these individuals are close to retirement. Inclusion of young, highly motivated Ph.D. students eager to contribute to collaborative programs of research who can learn this approach to research planning as they develop technical skills offers more promise for the next phase.

This Dean is particularly eager to improve communication, transparency, planning and accountability. As a way to improve this, it is he who suggested that Sida/SAREC require minutes identifying all those involved in reporting, planning and proposal preparation as part of regular reporting; and that monitors follow-up by contacting those listed rather than relying on public presentations by program coordinators or Deans. He suggested that monitors could specifically ask about connections among participants (relationships, interactions), about challenges arising in the form of specific problems and how these are or are not being resolved.

He reported historic tension over allocation of budget, not only within the Makerere faculty but with Swedish collaborators as well—tension that is now abating as collaboration improves. He finds the Swedish coordinator to be increasingly supportive and particularly helpful as a sounding board for new ideas and intellectual camaraderie.

He has structural approaches in mind for creating more time for research among a faculty with a particularly large number of students and courses, and an evening program that produces significant income for the unit and for individuals who do more teaching. He sees a possibility for reducing redundant course offerings across several faculties (the example he gave was of a course on gender and politics offered by the Gender and Women's Studies group and on politics and gender in Political Science)—perhaps as much as a 25% reduction in the teaching burden. This could allow for Lecturers to concentrate on research every other semester as they could be relieved of teaching for one term each year. He does not yet have a strategy for replacing the income those individuals would earn by teaching additional courses, particularly in the evening program. Finding a way to do this is one of his priorities. Any transition of this sort will take time, as to achieve efficiencies by reducing course redundancy will require agreement across faculties about which unit will have the lead in planning courses in any area of mutual interest, and acceptable approaches to deciding which courses will be omitted or offered less often.

This development is important. [See report 4.2.3 and Appendix E for reasons why this approach in Social Science could be important for rationalizing the ways in which faculty are compensated and for increasing incentives for research to reach the goal of a 'research university'.]

Dean Kirumira has considerable experience with research capacity development and with program evaluation. He could be a particularly important contributor to shaping methods for continuous monitoring and for more formal program evaluation.

6. Faculty of Technology

The Faculty of Technology consists of 15 departments ranging in size from only one to 25 members in each department. The full Faculty has approximately

900-1000 undergraduate students
75-80 staff members
31 PhD-students

Currently 50% of the academic staff hold either a PhD or are in Ph.D. training.

When the Sida/SAREC program at Makerere University began, the Faculty of Technology was chosen for inclusion by a committee at the university. The Faculty formed teams consisting of supervisors and Ph.D. students. These teams produced a good number of project proposals and presented them to the Technology Faculty's higher degrees committee. This committee selected which projects would become part of the Sida/SAREC program using several criteria (e.g. attractiveness of the topic, its applicability, promotion of technology development, principal investigator (supervisor), Ph.D. candidate). The committee did inform those who presented projects that were not selected of the reasons for this. The Higher Degrees committee encouraged some of the project designers to pursue funding from other sources. The Sida/SAREC program supported 6 projects (6 Ph.D. students) at the start. The Faculty asked for further funding and now 10 Ph.D. students have Sida/SAREC support.

During the time, the Faculty has also been looking for funds from other sources. The Faculty asked about the possibility for incorporation in a program for Faculties of Engineering in Eastern Africa. That has led to extended support for 8 more PhD-students within the Sida/SAREC program. NUFU also support 7 PhD-students, 1 is supported by the Makerere University and 6 are required to pay themselves.

The usual faculty teaching load at the Faculty of Technology amounts to approximately 12 contact hours/week. (2 lab hours=1 contact hour). PhD-students teach 20-30% of their time. The teaching load is divided among faculty at monthly Faculty management meetings. All issues are discussed, reconsidered and the work is re-divided. If someone is on sick leave or study leave etc, someone else takes over the teaching load.

Reasons for doing a Ph.D. include

- promotion, for example from m6 to m5 (= a salary increase of 150 000 Ugandan shilling a month).
- Opportunity to teach graduate courses – gives direct payment per hour
- Opportunity to serve as head of department
- Opportunity for increasing exposure (to what?)
- Opportunity to attract foreign experts
- Opportunity for greater visibility of one's work
- Opportunity to have more results to present at conferences
- Opportunity to find good jobs outside the university

This Faculty has no full professors. The reason for this is that well-educated people within the technology area are often attracted to jobs outside the University.

Currently, there is a good atmosphere for research and PhD-education at the Faculty. Everyone wants to be a member of the Sida/SAREC or other programmes and do research. People working at the Faculty see benefits of involvement in this research. This Faculty wants to increase its number of Ph.D. students to meet needs within and outside the university. Also, the government has shown an interest in capacity building in technology.

At the start of this program, many of the tasks required by Sida/SAREC were new to this Faculty: writing proposals, applications, budgets for research, registration, reports etc. Now, the Faculty is accustomed to the system and is able to write the documents and avoid delays that were more frequent at the start.

One problem that persists is delays in acquiring equipment stored at the airport for lack of payment of VAT. [See Appendix E] The Faculty plans to procure more equipment so they are determined to learn how to avoid the airport-VAT delay. The Sida/SAREC program was by the Faculty of Technology seen as dynamic and challenging—and a big help in developing capacity.

7. Institute of Public Health and the Demographic Surveillance Site

This unit has a substantial level of research. It has many master's level students and research staff who conduct studies. As in the medical school, many teaching positions remain unfilled (something like only 23% of the positions in the PH unit for Ph.Ds are filled; 28% in the Medical Faculty). This led to a discussion about how Makerere can fill them—and the possibility of creating more incentives to repatriate experienced researchers and teachers who are working abroad. Apparently there was a United Nations program to support this, but it is not clear if that program still exists. [See Report 4.2.4]

This unit also has significant service responsibilities, but these occur largely in the field, working with District Medical Officers (rather than in Mulago hospital and its clinics). Thus, this group of faculty must travel around Uganda in order to work with local health programs to detect problems, prevent or control further spread, and organize health services.

This unit has no Ph.D. program of its own, but Public Health faculty co-supervise medical school Ph.D. students. The Public Health Institute does run a Master's program, and in collaboration with the US Centers for Disease Control, it operates a special, post Master's level training program. This provides a foundation for Ph.D. education in the future. The Public Health Institute now has lead responsibility for the demographic surveillance site, although this was taken on with some reluctance due to difficulty in getting funding from the School of Graduate Studies to set up the facility, hire staff and procure equipment. There seems to be considerable tension between this unit and the School of Graduate Studies about those delays.

8. Labs, research station etc

At the Faculty of Agriculture

A visit to these laboratories showed them to be quite old fashioned and equipped. Few projects were in process at the moment of the visit. However, lab technicians discussed their ongoing experiments and reported that these were working fairly well despite the absence of any modern equipment. Of special concern was the age of the fume hoods as these appeared *not* to be working.

One exception to these observations is a newly equipped lab for gene technology work equipped under the Sida/SAREC's Bioearn programme. Here the lab contained the apparatus necessary for protein and DNA work in plant research. At the time of this visit, no experiments were in process. The head of the lab and students working there reported that they concentrated on PCR analyses in order to investigate genetic variations within different crops grown in Uganda. They described a different way of handling procurement from many others. Most procurement for this lab had been handled by collaborating departments in Sweden-- in order to avoid the usual problems detailed elsewhere.

Unlike many other laboratories, the Bioearn biotech lab was having few problems with procurement of chemicals and equipment needed for their daily experimental work. Everything had to be, and was, very well planned. When an experiment was going to start, lab personnel planned the work month before the work was going to start. They decided what they needed for the work and ordered directly by using internet. Thereafter, they filled the procurement papers, which they had got used to fill in the right way, left them to the procurement people and also informed the later ones how important the procurement was. The people working in the Biotech lab also investigated where the money for VAT paying resided. They were able to determine how to pay the VAT directly when the chemicals etc arrived at the airport. They learned how to do this from the selling agents who also informed them when the chemicals or other materials were expected to land at the airport. Lab staff went to the airport themselves, to assure that the VAT was paid and to fetch the materials. This approach required a great deal of planning, and was successful.

The Faculty of Agriculture organized a visit to their research station. This facility had just been connected to internet through Makerere University. All students at the Faculty do part of their program

work at the research station. Also veterinary students do some of their studies at the research station as the animals are there. Student rooms/apartments were present at the station. Also, a DNA lab was present at the research station. At the time for the visit, no activities were going on within that lab. However, the labs were used now and then for production of pure plant material by the use of tissue culture. The Faculty of Agriculture had some plans to move all their activities out to the research station.

The Faculty of Agriculture also organized a short visit to the garbage site of Kampala. The Faculty of Agriculture have a vision of creating a center of excellence for recirculating nutrients from the farm to the plants, and back to the farm again. Thus, they were seeking good connections to the garbage handling organizations in Uganda. Among those, this garbage site is the most important.

Faculty of Technology

Several labs or planned labs were visited at the Faculty of Technology. In few of the labs, equipment was present and experiments were carried out. However, at the time for the visit, few activities were going on. Two of the visited labs seemed to be enough well equipped for research of relatively modern standard. For the rest of the labs, the plans seemed to be good, procurement had started, but much of the equipment was still missing. Some equipment had not yet been ordered; other pieces were at the airport awaiting VAT payment. The Faculty of Technology was eager to complete procurement of the needed items, complete well equipped labs, and pursue interesting research areas.

Faculty of Medicine

Under the present Sida/SAREC program, labs are set up at the Faculty of Medicine, Mulago Hospital, Makerere University. Equipment for a crosscutting biochemical lab has been procured as well as an HPLC for the lab under the “New Therapies/Inventions sub programme”. People responsible emphasized the importance of high quality labs for research and analyses of e.g. blood samples, from Malaria and HIV/AIDS patients. Equipment has been procured under the Sida/SAREC program and other donor programs. Still equipment is lacking for the labs to be fully working. The biochemistry lab is used by several people, mainly from the Medical and Vet Faculties. The laboratories can serve more researchers than those making use of them now.

The plan is for the labs to comprise a single unit available to researchers from multiple Faculties. Due to space limits, they are at present divided into two houses. In addition to the labs, the “New Therapies/Interventions sub programme” are on their way of setting up a drug information centre with communication equipment, so that information can be given to anyone (private persons, medical/clinical doctors, society/government etc) about drugs used for Malaria and HIV/AIDS. The combination of a center containing labs for research and for blood sample analyses in combination with communication equipment/internet offers several benefits. This can allow for rapid distribution of the most recent results in the particular research field--using the information centre. This will be very valuable for improving treatments in cases of Malaria and HIV/AIDS. Quite a lot of work remains before the facilities and people are working together in the center. (More equipment is needed, more educated people are needed, the research/know-how atmosphere has to be developed, the information center has to be started).

Besides the labs supported by the Sida/SAREC programme, a short visit was carried out to other labs at the Medical Faculty. These labs were chosen at random, by just walking into labs where the doors were open. These labs were very poorly equipped, and little activity was underway. The people working in these labs complained about the lack of equipment and chemical—and dismal possibilities for serious work as a result.

Appendix G

Suggestions on how the pool of potential monitors and evaluators might be expanded

A very short list of people well versed in these matters whom Sida/SAREC might wish to consult about methods and many other possible evaluators. Those named are likely to be particularly generous and helpful in suggesting methods and additional people who might serve as evaluators or monitors.

Those involved in evaluation of:

1. International programs of research, for example:
 - a. CGIAR (may have the most extensive history of research program evaluation and attention to methods for this purpose)
 - b. TDR (relevant experience mentioned in text, Section 4.1.2?)
2. Academic programs, for example:
 - a. the Autonomous National University of Mexico (UNAM), a public university of 250,000 students and many graduate programs has a special unit responsible for evaluation of all academic programs
 - i. this unit is headed by an experienced methodologist who is likely to know many others in this field: She is Rosamaria Valle Martinez, Ph.D.
rosam@servidor.unam.mx and +525-622-1509, 1510 or 0407; or +525-622-1509 (home)
 - b. Ismael Ramirez-Soto, JD, Ed.D. formerly headed the Puerto Rico Board of Higher Education (I think that is its formal name, but it may not be quite right). He also is former Dean of several faculties (graduate and undergraduate on the US mainland). He is widely read on how universities develop research capacity in developing as well as in industrialized countries. He has been responsible for evaluation of doctoral programs and for strategies for their development from early stages to maturity:
ismael.Ramirez-soto@umb.edu and +617-287-7100 or +781-545-8990 (home)
3. National research institutes or programs
 - a. UNESCO and OECD are likely to be able to point to many national institutes that have evaluated their research programs and research capacity development. These may be informative for selecting evaluation methods and evaluators.
 - b. Denise Lievesley, Director, UNESCO Institute of Statistics, and her staff are likely to be particularly helpful. Among the international organization staff, she has been the most thoughtful and outspoken about the differences between methods appropriate to industrial countries versus those at the “trailing edge” of research development.
D.lievesley@unesco.org and +514-343-6869
4. Foundation or other donor programs, for example, Wellcome Foundation’s evaluation of malaria research

Appendix H

A few references relevant to evaluation methodologies for research capacity strengthening

The dearth of literature on methods appropriate to evaluating “research capacity strengthening” in developing countries is a problem in all fields. The organization that seems to be most active in trying to fill this gap is UNESCO’s Statistical office with headquarters in Montreal, Canada. Its director is Denise, Livesley [See Appendix G] These efforts at UNESCO are particularly interesting as they are attempting to address the evaluation problem across all fields of science and technology. And they are involving participants from all over the world in an effort to come up with practical, as well as methodologically sound, approaches to evaluation. The self-study material developed by UNESCO probably comes from the higher education division that is housed at the Paris headquarters; it is not the focus of the statistical office work.

To understand the UNESCO process, see

- UNESCO Institute of Statistics. Strategy Paper: Immediate, Medium and Longer Term Strategy in Science and Technology Statistics. International Review of Science and Technology Statistics and Indicators. June 2003. [There may be some updated material on the web by now.]

The historical background for this gap in knowledge can only be understood by studying literature in a variety of fields, among them, the history of science and the history of higher education.

For a review of the historic problem, see:

- Annerstedt, J. Measuring Science, Technology and Innovation. In: Salomon et al (eds.). *The Uncertain Quest: Science, Technology, and Development*. (Tokyo): United Nations University Press (1994).
- Vessuri, H. The institutionalization process. In: Salomon et al (eds.). *The Uncertain Quest: Science, Technology, and Development*. (Tokyo): United Nations University Press (1994). International Conference on Science Indicators for Developing Countries, 15-19 October 1990. (Paris): ORSTOM, Colloques et Seminaires; 1992.

Classics to supplement this summary include:

- Basalla G. The spread of western science. *Science*, 1967, 156.
- Garfield, E. Mapping Science in the third World. *Science and Public Policy*; (1983).

For one of the few studies by a historian of science seeking to understand an example where research capacity did grow and was sustained in a developing country, see

- Stepan N. Beginnings of Brazilian Science. Oswaldo Cruz Institute at Manguinhos. Science History Publications, 1976.

For an example in higher education, see

- Clark BR 1998. *Creating Entrepreneurial Universities*. Pergamon Prss, Oxford.

For indicators and methods of evaluation used by industrial countries (and believed to be inadequate by UNESCO’s statistical office for nurturing science and development in lower income countries), see:

- OECD: Frascati Manual, Proposed Standard Practice for Surveys on Research and Experimental Development, OECD, PARIS; 2002.
- Young A. An Assessment of national and International practices for compiling data on health-related research and development. In OECD: Measuring expenditure on health related R&D, 2001.
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For description of a successful use of self-study approach in a developing country, see:

- <http://unesdoc.unesco.org/images/0013/001310/131066e.pdf>

For field specific approaches to evaluation of building research capacity, see the CGIAR work in agriculture.

- CGIAR. http://www.cgiar.org/research/res_evaluation.html

There are also several reports about research capacity strengthening, such as

- http://www.unesco.org/education/studyingabroad/what_is/quality_assurance_wche.shtml,
- Evaluating capacity development: experiences from research and development organizations around the world, Horton et al, 2003, International Service for National Agricultural Research, PO Box 93375, 2509 AJ The Hague, Netherlands.

For a recent review of this history by an economist for its impact, see

- Evenson R, Gollin D. Assessing the Impact of the Green Revolution 1960-2000. Science, 2003: 300.

In health, there have been a variety of recent evaluations, none sharing a particular method. WHO is attempting to develop common methods, but without a great deal of sophistication about what is going on in fields other than health.

Other examples in (or by health scientists), see

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Preliminary Report of Research Monitors

based on meetings at Makerere University
6-17 February 2006

Collaboration of Sida/SAREC with Makerere University
Kampala, Uganda

3 March 2006

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PRELIMINARY REPORT OF RESEARCH MONITORS
Makerere University
Meetings 6-17 February 2006

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I. INTRODUCTION

Freeman and Johansson visited campus in February 2006 as planned under Terms of Reference. The purpose of the trip was to focus on the planning for Phase II of research capacity activities. As subsequent visits in September of each year during Phase II (2006-2009) will coincide with preparation of Annual Reports by all participating faculties and units, on this visit we concentrated on improving our understanding of the annual cycle and of the documentation that represents all phases of the research process: planning in each unit and at every level, implementation, reports of progress, dissemination of all, translation of work into policies, practice and bases for further investigation that shape the research agenda and capacity of Makerere University.

We also began to learn about the integration and consolidation of research opportunities across programs within this collaboration, and those supported by other funds and involving more units of the University. Our goal is to be able to complete our final task, an evaluation of this collaboration in 2009, as it contributes to strengthening of research capacity within and among the units discussed below, and to the stature of Makerere as a research university. We anticipate this will include self-evaluation by Makerere University participants. In Appendix A we summarize tasks for Monitoring through 2009.²¹

This visit has also alerted us to find ways for monitoring the integration of research support from the many sources (internal and external) to enhance the capacity of this university community to drive definition of its own agenda of research and research capacity strengthening. Such integration also offers great potential for improving reporting through harmonization, reducing confusion in allocation of 'credit' for progress achieved (and problems encountered), duplication of effort, and enhancing intellectual input into documents that represent the university research agenda, activities, output, and impact (in policy and practice as well as in academic achievement).

Below we summarize in three sections supported by several appendices. First we present impressions about progress from Phase I. We do so by contrasting the status of research capacity in the units participating in this program now with what we observed during our first visit as 'Pilot Monitoring Team' in April 2004, and in the Stockholm meeting, April 2005. Second we note problems persisting from Phase I that continue to deter progress, and some new challenges and opportunities that have arisen, or come into focus. Then we identify questions for consideration on the university campus and during the upcoming Annual Planning meeting in April 2006. We attach appendices that identify whom we met and documents we collected or hope to gather to maintain continuity in our efforts.

²¹ Clearly it will be crucial, and a significant challenge, to gather documents generated when we are not in Uganda or at Sida. We will ask colleagues in both locations to assist us in learning what is generated and in helping us collect the material as it becomes available.

II. PROGRESS FROM PHASE I

We are impressed by an overall sense of progress since our initial visit to the Makerere University Campus in April 2004. Clarification of some of the “start up” issues, achievement of visible gains in capacity, and addition of new participants unencumbered by earlier confusions, seems to have energized the entire process. Perhaps most notably, the confusion and delay surrounding the registration of Ph.D. students that so hindered start up of Phase I in this research collaboration is far less evident today. We note more examples below under achievements. These are not intended to be comprehensive, rather to illustrate the sorts of advances that characterize the overall program, and each unit participating in the Makerere University-Sida/SAREC research collaboration.

Achievements

Some of those we mention here are specific to this collaboration and already mentioned in reports of activity plans; others are broader in nature and not included in those reports.

Program-wide

- A far clearer, and more broadly shared, sense of purpose and utility of Ph.D. education and programs of research
- New PhD students and supervisors moving ahead with new research more quickly, with greater ease and teamwork than the ‘pioneers’
- Better communication and transparency in a range of steps as e.g. the choices of individuals to start PhD-education and communication between PhD-students and supervisors
- Greater openness and more discussion about PhD-education, for example, how to balance courses with individualized teaching through supervision as components of Ph.D. curriculum
- A general sense that the senior people (e.g. deans, coordinators, supervisors) have learned how to operate more effectively within this research collaboration, and are able to suggest useful changes to improve the system

Unit by Unit (*in the order of our visits to the units*)

School of Graduate Studies (Meetings 6, 7, 11, 16, 17 February):

- Significant increase in staff (from approximately 10 in 2004 to 24)
- Important developments in policy/management capacity to coordinate graduate work and research with active Steering Committee of Deans/Coordinators
- Focusing attention on development of supervision skills (workshop held late January 2006 across faculties that moved from skepticism to enthusiasm on the part of many participants—with encouragement to participate reinforced, though not required, by the Vice Chancellor)
- Renewing attention to PhD course curriculum “cross cutting courses”

Faculty of Social Sciences (Meetings 7, 13 February)

- Visible developments in moving from research topics to programs with themes—a major change since 2004
- Well organized planning, in “retreat” with Swedish counterparts, accompanied by an intensive program of coursework for graduate students to start Phase II (in Sweden); and in regular meetings for planning and assessing progress
- Growing involvement in and contributions to research shared with Faculties on campus.

Directorate of ICT (Meetings with director and staff 8, 10 February)

- Continuing rapid development of infrastructure according to University Master Plan for ICT
- Continuing impressive teamwork among staff, now, for first time, including staff pursuing PhD studies within this collaboration
- Clear sense of needs of entire University and strategy to address these (including for stretching resources with a new cadre of interns)

Faculty of Medicine (Meetings 8, 11, 16 February)

- In meeting with the collaborators here as a group, they listed many examples of progress. One example they put forward as a special indication of research capacity development and visibility of Makerere University worldwide is represented by *The Journal of African Health Sciences*. (As other faculties, including Agriculture, ICT and Technology, either already have or are just beginning journals, we look forward to learning more about all of these as aspects of growing capacity.)

This visit afforded an opportunity to meet with the Editor of the *The Journal of African Health Science*. This is the only regional medical journal in Africa, publishing articles from many countries. This journal is already indexed in *Index Medicus*. It is not only a creation of Makerere University Faculty of Medicine, and based here, it has been successfully “institutionalized” within the medical school that provides editorial assistance and printing facilities. The Editor is a member of the faculty who works closely with a Deputy Editor capable of carrying on the role of Editor, and by an Editorial Board.

Faculty at our 8 February 2006 meeting pointed to the *Journal* is an important demonstration of growing research capacity, and a significant contribution to the research environment. The *Journal* is not supported by Sida/SAREC funds, but it is an important venue for publication by faculty (who must compete with peers region-wide for acceptance). Three PhD students supported by Sida/SAREC published in the last issue (Volume 5, Number 4, December 2005).

The *Journal* has increased in number and quality of submissions such that it can produce theme issues to emphasize high priorities. The most recent issue (noted above) features reproductive health and women’s health. The Journal is increasing circulation from 1000 print copies per year to 12,500 per year with a distribution arrangement with Medical Education Research Africa (MERA), and is about to launch open access web distribution for all four yearly issues that will make it possible to simultaneously discontinue print and expand circulation internationally. (The judgment about whether to discontinue print, or reduce the number of copies printed, will be made after a review about three years from now).

Central Library (Meetings/visits 9 and 17 February)

- Launch of electronic catalogue, including 140,000 titles (entered by 23 library students in one year, when anticipated to require three years to complete).
- Take part in the establishing of internet databases, such as Uganda Science Digital Library in which Faculties and researchers can publish printed matters (e.g. the abstract book of the Sida/SAREC supported small faculty grants from Faculty of Agriculture), and DATAD in which East African thesis titles and abstracts are published.

Faculty of Computing and Information Technology (10, 14 February)

- A different, and highly dynamic approach to capacity development than in other faculties
 - Increased senior staff capacity through attracting colleagues from other parts of the world, especially those with roots in Uganda, to come on sabbaticals or stays of months to several years to contribute to
 - A new, course-based curriculum for PhD students in which all engage in intensive coursework about how to do research – during the first year (now 25 1st year students enrolled; 5 in previously existing, non-course based program)
 - Innovation in a special unit of the ICT Faculty for software development to meet needs at Makerere University (e.g. web-based system for registering students in electives, online student course evaluation; software development for DSS and much more—often open source software) and in Uganda for use in government and industry. Faculty expect to engage many student interns in this work.

Department of Planning (10 February)

- Looking for ways to integrate management of research resources from multiple sources into a more efficient process across the campus
- Engaged a local consulting firm to review all reporting forms and recommend opportunities to streamline. [Report due to arrive in advance of meetings: 28 March 2006 Steering Committee, 3-7 April meeting with Sida/SAREC, and of “Stakeholders” in late April.]

Institute of Public Health and Demographic Surveillance Site (10, 14, 16 February)

- Launched the Demographic Surveillance Site
- Completion of baseline survey through reporting results back to participating communities; start of first follow-up round with all 12,000 households in baseline study
- Alerting research colleagues to the opportunity to collaborate with this facility in the Iganga/Mayuge districts.

Faculty of Technology (13, 17 February)

- Has become the centre of excellence in the area for research of energy and energy consumption and has been chosen the pilot in energy consumption
- Advanced equipment now present at the Faculty (not only standing uncleared at the airport) with staff who have learned to use it. The new laboratory with access to advanced equipment increase the attractiveness of the environment here for continuous research and engaging new partners in new activities.
- Has the best lab in sanitation within the area. Sanitation policies have been disseminated and are used in policy speeches.

Faculty of Agriculture (15 February)

- Vastly increased numbers of contacts with the community, farmers, stakeholders, industry and politicians. The research results of the program have been disseminated to the community, farmers and stakeholders through a yearly workshop. Around 100 delegates have participated each year and staff at the faculty is commonly contacted afterwards for further advices and suggestions. Also a number of meetings with the private sector have taken place. Furthermore, the results from the program are expecting to generate a new law during spring 2006 about waste management.
- One of the PhD-students has won an award at a large international conference in Dublin for the best poster at that event.

We also visited two new additions to the collaboration for Phase II: Faculty of Arts and Mass Communication (13 February) and Gender Mainstreaming, Division of Registration's Office (13 February). Comments appear under new challenges and opportunities.

III PERSISTENT PROBLEMS

Procurement, especially special features for scientific research: This continuing, and already much complained about bottleneck, continues to threaten the potential for the university to develop into a competitive research institution.

In addition to causing delays that interfere substantially with ongoing research in every unit, the burdensome Makerere University procurement system now threatens the survival of the Demographic Surveillance System (DSS) that is operating continually, but without continuity in accessibility of fundamental resources. Like other research units, it is inevitably discovering unanticipated needs as they arise. Because the utility of this DSS (and its ability to attract research collaborators anticipated to contribute significantly to its resource base for sustainability), depend on continuity of effort, it offers an especially clear example of why the persistent delays in procurement threaten research.

In every university in the world, needs arise in the conduct of research that have not been anticipated. Scientists in competitive universities are able to meet these rapidly and continue their research without debilitating interruptions—because their institutions make deliberate efforts to speed the work—but still this is not so at Makerere. Examples include the purchases of chemicals and reagents or spare parts, repair of equipment, adding or extending visits to field sites to complete work—all needs that can be anticipated in general, but not specifically.

For DSS, recent examples include the need to rapidly acquire 2 motor cycles to reach grieving families shortly after the death of a member to conduct “verbal autopsies” to establish cause of death; and a dedicated computer to permit a software developer from the innovation team at the Faculty of ICT to test new data management system using real data (including identities of participants that is covered under a confidentiality agreement). Thus, using a shared computer (the only sort available now) is not an appropriate option, and a dedicated laptop is needed for the next step—now.

We learned of several elements of a possible strategy to address requirements of Ugandan law (Public Procurement and Disposal of Assets, PPDA). Questions about how Makerere might make use of these or other approaches appear in the final section of this report.

- o SGS Director has commissioned a discussion paper about options, including (if we understood correctly) expanding capacity of the “Contracts Committee” by

- advocating for the Steering Committee status as a subcommittee of the Contracts Committee to review research-related procurement requests
- planning for an April 2006 workshop on this

Import Tax Payments for equipment arriving at the airport (to avoid long delays in releases): The continuing impasse with the Ministry of Finance over how the government will pay import taxes—to which it is committed in the agreement with Sweden. (See questions in Section V below.)

Burdensome character of financial management system—especially for supporting research: After having initiated other collaborations (with Carnegie Corporation and Norad, prior to the start-up of Sida agreement, if we understood correctly) by delegating funds and financial management to unit level, control was centralized because units did not meet documentation requirements. Now the centralized system is providing far better information for audits, but the cumbersome nature of the system (all steps are set out in the Financial Management Manual, June 2005) causes sufficient delays so as to seriously hinder research.

We do not fully understand this history — nor do we have suggestions on the best way to balance accountability and efficiency. However, it is clear that many on campus with whom we spoke do not know about this history of problems in accountability, and thus are particularly perplexed, and frustrated, by the centralization that delays their progress. It may be particularly useful to review this history with the current participants and generate options for overcoming delays. We hope our Monitoring Team colleague, Jerker Thorvaldsson, can assist here, as he has the appropriate expertise.

These additional delays (beyond procurement) may be inevitable in the current system. They add another impediment to the ability of Makerere's research programs to mature to a competitive level that will be able to attract continuing funding. There are many examples. For the newly operating DSS, inability to pay salaries on time endangers the entire foundation of surveillance work: continuous and timely completion of data collection from every participating household and individual (now 12,000 households and 65,000 individuals), data entry, analysis and timely reports of findings to participating communities.

Research Policy: The draft research policy dated June 2004 has been sent to a Faculty Senate Subcommittee to revise and resubmit for consideration in the next few months. The absence of a completed and useful set of policies (on all topics in the current draft and some that are not—such as methods for self-evaluation of progress on campus) inhibits negotiations within the university to increase incentives for research. It also deprives units of leverage in negotiations with collaborators about crucial elements in the area of Intellectual Property Rights, including ownership of raw materials and data.

Documentation: Planning and Reporting: Colleagues at Sida and at Makerere University have all described ways in which documentation hinders this (and other) collaboration, because:

- o Written proposals, activity plans and reports remain uneven in quality, and often do not represent the extent of accomplishment, nor clarify difficulties in ways suited to resolving to the extent better documentation might
- o Lack of clarity of these documents contributes to incomplete awareness of research/capacity process of all participants, and of documentation of all as representation of status of collective effort—as a basis for teamwork in planning, dissemination, achieving greater impact of the work in policy and practice-- and visibility and respect for the growing capacity.

IV. NEWER CHALLENGES AND OPPORTUNITIES

A. Examples ready for discussion and action as Phase 2 begins:

- *Systemization of routine tasks:* As participants have created many elements of a complete research system during Phase I, now they can increase efficiency and effectiveness dramatically if it is now possible to consolidate the research programs and activities as *part of a system to conduct and manage research*. After several years of collective experience, participants seem ready to clarify and automate routine tasks.

For virtually every example of a routine process that we reviewed, the tools (or expertise for designing them), already exists on campus. Senior staff at the School of Graduate Studies seem eager to proceed with systemization and we reviewed together many examples, some already contemplated, some new, including:

- Communication: Creation of “email listservs” of all interested parties (e.g. Steering Committee members and additional individuals in units eager to contribute to the work of the Steering Committee; all supervisors, all PhD students) to broaden and enhance communications about meetings, deadlines, upcoming decisions or activities relevant to research programs
- Financial reports: Design and distribution of templates for updating budgets (e.g. directing users to the specific lines to be changed after reallocations), reporting of expenditures. (It will be very useful if Jerker Thorvaldsson can review and suggest efficiencies that better meet the needs of research without compromising accountability.
- Financial status: Ability of each participant to check directly the financial status of their accounts on the intranet could facilitate planning of research and speed processes of procurement etc.
- Application/registration: Further clarify and automate with guidance, forms, deadlines etc. posted on a website. For example, so far it appears that a generic application form can be downloaded from the Makerere University website, but we did not find the forms included in the PhD Guidelines for the Faculty of Medicine for application, registration etc. on the website.
- Automating and electronic posting of course schedules, contents and requirements, class lists, student evaluations of courses: We saw a system that appears very suitable for use at the School of Graduate Studies, already developed by the software team at the Faculty of ICT (see note below at the end of “Streamlining of Procedures”).
- Procurement: design and distribution of procurement tools to allow procurement to be carried out over the web could speed up the entire procurement procedure. (This is routine in many universities.)
- Capturing the research output of the university in abstracts and full text for electronic presentation for local and international access [e.g. ISBN numbers for research reports/monographs, assuring cataloging by the library of all published material generated at Makerere, and posting on intranet all unpublished materials of potential interest to internal and external communities (e.g. abstracts and full text of theses, conference proceedings, etc., policy briefs, practice guidelines emanating from research)]

- *Streamlining of procedures:* We are impressed by the seemingly extraordinary number of steps and meetings involved in many procedures—often built upon traditions of the university that appear to constrain research programs. Perhaps some of these traditions can be adapted to the highly competitive reality of the global research environment. As participants in this program are able to articulate vividly many examples of delay, frustration caused by these (even beyond procurement, tax payments for imports and financial management), part of systematization could involve concerted effort to inventory and prioritize the full set of procedures to be followed by students, supervisors, higher level administrators and support staff—and to streamline these, including assembling all guidelines, deadlines etc. for “user friendly” presentation on the Makerere intranet. Software already developed by the Faculty of ICT for registration of electives, generating class lists and online student course evaluation offers a compelling example for SGS.
- *Self Evaluation: Baseline data, Indicators and Methods:* In order for Makerere University to develop its own methods for evaluating progress in research capacity (PhD education and research strategies and productivity), it is crucial to design the set of data that constitutes a baseline for future comparison. This need is critical for internal university purposes, for representing progress to external partners in research programs, and for explaining the usefulness of research to Ugandan society.²²

Review of the criteria (see Academic Ranking of World Universities 2005²³ and Webometrics Ranking of World Universities²⁴) only increases the importance of this task—design of a set of baseline data and of indicators and methods for evaluating progress to inform planning. Makerere University can critique the considerable shortcomings in these evaluation schemes as a starting place to develop a more useful approach. Those who publish sets of indicators and publish global assessments of the standing of research universities worldwide offer NO guidance or indicators for evaluating the process by which research institutions develop capacity. Nor do the indicators upon which they judge universities bear any relationship to the developmental process at Makerere University or any similar institution. The indicators imposed on universities working to strengthen research capacity also leave out the obvious difference in the purposes for investing in research, namely that the highest priority for research in lower income countries may be to target reduction of poverty and national development (rather

²² The Director of DICTS has already proposed to the Director of SGS in February 2006 a list of baseline data, probably for discussion in the Steering Committee.

²³ See, Higher Education in Europe, Routledge, Volume 30, Number 2, July 2005 for Nian Cai Liu and Ying Chen article on Academic Ranking of World Universities at [http://taylorandfrancis.metapress.com/\(viel3cfiozaukab0usjpc145\)/app/home/contribution.asp?referrer=parent&backto=issue,3,13;journal,2,21;linkingpublicationresults,1:104590,1](http://taylorandfrancis.metapress.com/(viel3cfiozaukab0usjpc145)/app/home/contribution.asp?referrer=parent&backto=issue,3,13;journal,2,21;linkingpublicationresults,1:104590,1) Abstract: Shanghai Jiao Tong University has published on the Internet an Academic Ranking of World Universities that has attracted worldwide attention. Institutions are ranked according to academic or research performance and ranking indicators include major international awards, highly cited researchers in important fields, articles published in selected top journals and/or indexed by major citation indexes, and performance per capita. Methodological problems discussed here include quantitative versus qualitative evaluation, assessing research versus education, the variety of institutions, the language of publications, selection of awards, etc. Technical problems such as the definition and naming of institutions, the merging and splitting of institutions, and the search for and attribution of publications are discussed.

²⁴ See summary ranking Makerere University as 19th in Africa: http://www.webometrics.info/top100_continent.asp-cont=africa.htm

than immediately fueling global economic competitiveness of industry as is prominent in high income countries).²⁵

- *Greater recognition for research achievements:* Now that more researchers are increasing their productivity, there is a need and opportunity to organize more ways to recognize and reward the new achievements—especially team efforts. Greater recognition can motivate research teams, increase appreciation for their accomplishments—academically and in translating research into policy and practice. Numerous forms of recognition could contribute, beyond the obvious need for increasing remuneration. Some possibilities (that may or may not suit the cultural context) include: increasing coverage in the media through press releases and conferences; more announcements/updates in gatherings of faculty, university administrators, government officials and community stakeholders (in towns and villages, with industry, etc); publication celebrations, posting of abstracts on the intranet, more ‘user conferences’ to disseminate results (and congratulate researchers); competitive awards of release time from teaching or service duties for research—based on accomplishment). Currently an ironic characteristic of interactions among Makerere University faculty, staff and graduate students often includes references to their own research programs by the name of the external partners. Thus, instead of crediting themselves for their very considerable accomplishments, inadvertently perhaps, credit is often conferred upon the research sponsors.
- *Emerging issues in PhD education:* Initially participants concentrated on program start up issues such as registration. While gains there can be systematized for efficiency, later stages in program development are ripe for new attention:
 - *Post Doctoral Degree Fellowships:* As Phase I students complete degrees, there is a pressing need to systematize information sharing about post doctoral opportunities to attract collaborators and widen the base of research support. The SGS has already received approval to purchase a database of research supporters and programs. Publicizing researchers activities and track records on the Makerere website could allow potential partners with research funds to identify potential collaborators at Makerere—especially among the new Ph.D.s. There are also a variety of open access databases of grants and other resources that could be made use of.
 - *Concept Paper Guidelines:* As a new cohort begins in Phase II, the time seems ripe for guidelines on concept papers for registration to address the question, “How much is enough?” This might relieve uncertainty among students and supervisors, and support greater consistency in requirements across faculties. (Approval of concept papers is related to decisions that will be made soon about the Ph.D. cross cutting course curriculum, external vetting versus formation of Ph.D. committees, etc.)
 - *Supervision, PhD committees and Courses:* Important discussions are already underway about how to balance reliance on supervisors or on PhD committees— for vetting proposals and for assuring students learn research methods and other fundamentals of research—in courses. These discussions can be aided by comparing approaches: primary reliance on supervisors and/or Ph.D. committees, an elective set of “cross-cutting courses”, or a highly

²⁵ We commented on this fundamental problem in greater depth in the report of the Pilot Monitoring team in 2004, including an appendix containing a list of references.

structured curriculum as recently adopted for new Ph.D. students in the Faculty of ICT. This may be the first year when there are sufficiently different approaches underway on campus to provide a clear basis of comparison for analyzing which components may serve best in different faculties (or colleges as the new college-based structure emerges).

- *Laboratory and equipment maintenance and repair—of newly purchased items:* Several units (e.g. the cross-cutting lab located in Biochemistry, Technology and, most recently, Agriculture), have bought new, expensive and advanced equipment to use for research purposes. In most cases the equipment has been or will be installed by the manufacturer and the staff is to be trained to use of equipment. Importantly, most advanced lab equipment requires continuous maintenance and service in order to run properly throughout the anticipated years of service. Each well-functioning laboratory depends upon carefully planned, routine maintenance of every aspect of the lab and equipment—supported by allocation of sufficient funds for this purpose. If maintenance is to be performed by staff within the lab, the relevant persons require training in specific equipment maintenance procedures. Maintenance functions appear to need immediate attention if Makerere University is to get full benefit from major purchases. We are concerned tests of equipment performance, about routine replacement of parts, and about disuse of relatively new equipment that is already in need of service and parts. We saw at least one laboratory on the medical campus where maintenance routines and allocation of resources for spare parts and service appears to function well, at the Infections Disease Institute (IDI). This laboratory offers a possible resource for helping other laboratories to establish maintenance protocols and for staff training (even though IDI it is not a part of the collaboration with Sida/SAREC).

B. Strategies and Mechanisms:

1. Articulated by Makerere colleagues:

Makerere colleagues articulated important opportunities in our discussions for addressing the sorts of issues listed above, and we observed some additional possibilities:

Enhancing Research Coordination: Makerere University's Sida/SAREC Steering Committee: Now that this Steering Committee is comprised of a critical mass of strong members with sufficient experience together in 'steering' research and capacity building, they appear to provide near term opportunities to facilitate:

- *Consolidating research management across programs sponsored by multiple donors* (e.g. internal, the government of Uganda; and Sida, Norad, NUFU, NUFIC, Carnegie, Rockefeller, Gates Foundation, and others). We learned that the Sida/SAREC Steering Committee might well serve as a broader research steering committee, playing the same role it has on this one grant program across the full range.
- *Procurement:* A nascent discussion has raised the possibility that the Steering Committee for Sida/SAREC might serve as the University's research steering committee, and as a subcommittee of the Contracts Committee for science-related purchases critical to Makerere University's prospects to become a competitive research university.
- *Driving a Makerere University research agenda:* As research capacity becomes increasingly defined by programs within and across academic units, this university research community (with important contributions of DICTS, the library and Gender

Mainstreaming) gains a stronger position for driving a Makerere University research agenda. This process puts Makerere personnel in stronger positions for setting priorities in negotiations with funders and collaborators of many sorts. A start to this process appears already on the Makerere University Website.

- o *Making progress at “Stakeholders Meetings”*: More specifically, the already organized “Stakeholders Meetings” provide a forum for both
 - o consolidating management and reporting of ongoing research collaboration, and
 - o moving forward with a transition from remaining activities that participants characterize as “donor driven research” to clarifying programs of research for which the university’s research community seeks collaboration and financial support
- o *Documentation*: strategic planning, implementation, and disparate reporting requirements, schedules and formats (accompanied by many days of large meetings that are at least partially redundant) appear to absorb a huge proportion of time and energy of researchers and research managers. Both the paperwork and the meetings appear wasteful of scarce time for research and discouraging of engaging researchers and research managers to apply their best efforts in clear, comprehensive and dynamic documentation. At best the documentation of the research process could play a vital role in articulating the research agenda, its value for Ugandans, and enhance the recognition of the university and its researchers worldwide, especially in key fields.

Members of the Steering Committee and many others with whom we met seemed to think it worth the effort to improve the documentation for strategic reasons. The Planning Department’s commissioned study of the many reporting requirements and forms can provide a starting point for engagement and improvement—whether or not participants adopt whatever recommendations this first report may offer. The timing seems propitious, as the report is likely to be available prior to the 28 March Steering Committee meeting, the Activity Planning meeting with Sida/SAREC (early April 2006) and the next Stakeholders Meeting (late April 2006).

Some examples of planning and reporting processes do link university-wide priorities to discreet activities. The Makerere University ICT Master Plan appears to work well as an expression of University-wide priorities that are clearly related to activity planning, implementation that facilitates research and capacity building, assessing progress, planning next phases, documenting all and communicating it to eager users of the ICT system. Obviously ICT is different from research, and enjoys a uniquely high profile campus-wide—with its patrons dependent on email and web resources.

Documenting the research process is more complex and the activities far less visible, at least at this stage. Nonetheless, the timing seems opportune to address this challenge.

2. Additional opportunities we learned about through our meetings:

- *Building on increasingly rich experience at Makerere for diversifying or consolidating research capacity*: There are now several different approaches for research capacity strengthening on campus, even among participants in the collaboration with Sida/SAREC. For example, several faculties depend little on courses, while the Faculty of ICT has

initiated a comprehensive course-based curriculum for first year PhD students. Thus, comparing and contrasting these offers a rich basis for enhancing capacity (assuming baseline can be defined and represented with an appropriate set of statistics and descriptive elements to allow for longitudinal analysis). Master level students offer a potential workforce to assist in data collection, situation analyses as baseline for self-assessment.

- o *Two units that have joined the collaboration for Phase II add to the campus-wide opportunities:*

Faculty of Arts and Mass Communication (13 February)

- New to Phase II, is building upon a regional environmental journalism program (initiating during another collaboration with Sida/SAREC) to support PhD students, especially with a continuing focus on environmental journalism.
- They have recently completed a ‘baseline’ study on media coverage of environmental issues
- A spin-off of inclusion of this unit may be an opportunity to strategize about media coverage for Makerere research more generally
- The PhD students already have links to the Institute of Public Health for background information, and a key staff member at the Iganga DSS graduated from this faculty and knows the Coordinator and Ph.D. students in Mass Communication—who were her teachers.

Gender Mainstreaming, Division of Registration’s Office (13 February)

- Another new participant for Phase II, this unit has recently achieved commitment from University to support its scholarship program with 10,000UGS per female student (to be paid out of private pay student fees for supporting gender mainstreaming). Scholarship funds now support approximately 100 women students/year, especially those interested in science, who would be financially unable to study as private students.
- Gender Mainstreaming staff seem especially attentive to widening their base of support and to documenting their developmental process to provide evidence for future advocacy for support of women on campus.

V. QUESTIONS FOR FURTHER EXPLORATION AND DISCUSSION:

A. About Persistent Problems:

Procurement: How can SGS, the Steering Committee and others best pursue greater efficiencies in procurement?

- Do the exceptions in the Public Procurement and Disposal of Assets (PPDA) law for international collaboration used in other programs offer useful precedents here?
 - o What precedents exist, which appear most instructive? (We have heard that even programs already on campus enjoy exceptions to certain procurement provisions, for example, the IPH-CDC Collaboration).
- How might “research-related” procurement be distinguished from other sorts?
 - o How might the differences justify different, expedited procedures with fewer steps and delay?
 - o Who can most efficiently take up the role of examining a new category of research or science procurement (if these can be distinguished and treated differently)?

- If the new body would be the Steering Committee, how much time of theirs would it take and will this be a sufficiently efficient use of the time of Deans (or their designated representatives)?
- How quickly can this be moved forward?

Import Taxes: How can SGS and the Makerere University Administration assure that the Ugandan government makes available funds to pay import taxes (to which they agreed in signing the agreement with the government of Sweden for Phase II of the collaboration with Sida/SAREC)?

- What are the precedents anywhere in Uganda? (We heard there may be examples where imports for programs supported by the World Bank do not experience airport delays, either because taxes are waived or payment arranged.)
- How can these precedents be incorporated into a negotiation strategy for Makerere University?
- Who are those in the best position to carry on the negotiation with the Ministry of Foreign Affairs or others?
- How quickly can this be undertaken?

Financial Management System: How can financial management be adapted to assure accountability AND meet the demands of research (as demonstrated at competitive research institutions worldwide)?

- What is the history of accountability problems that underlie the current set of centralized procedures?
- What is the status of accountability now?
- Are there improvements in budgeting, reporting and documenting expenses that need strengthening before the possibility of consolidating and/or consolidating some aspects? (As a number of the units already handle significant budgets, performance in meeting deadlines and accountability in other programs offers a basis for judgment along with performance within this collaboration.)
- How can real-time reports of financial status become available to units on the intranet to improve planning as well as accountability?

Research Policy: What is the status of updating the 2004 draft research policy?

- Do the elements in the newer draft address all of the needs identified by participants in this research collaboration?
- Will the draft be available for review and comment by researchers, and when?
- Is there a process to capture these comments to improve the draft?
- Will it be useful to add something about research program evaluation methodology for Makerere to the Policy statement?

Documentation/reporting: How can documentation of the research processes, and evaluation of progress, be made more efficient and effective as part of the strategy to strengthen Makerere as a research university—while meeting requirements of collaborators?

- Can the series of upcoming events (most immediately, the meetings of the Steering Committee in March, of Sida/Sarec in April closely followed by the Stakeholders' Meeting) provide impetus for strategic planning, coordination, accountability, and greater intellectual investment in reporting progress?

- What bases for efficiencies appear in the report commissioned by the Planning Department?
- What others are apparent based on the experience at Makerere University in each of the research collaborations (e.g. Sida/SAREC, Norad, Carnegie Corporation and all others)?
- What processes can be set in motion to take advantage of observations from members of Makerere community and collaborators?
- How can contributions already made (such as the alternative form for reporting progress prepared by Emilio Ovuga in the Department of Psychiatry/Faculty of Medicine in Appendix E) be discovered and more encouraged?
- How might reporting best be related to evaluation of research capacity developments on campus?
- How might reporting contribute to transparency and a perception of fairness in how resources are distributed?
- Can a format emphasize connectedness of parts of the “research system” to orient new participants in research to how their documentation contributes to a profile of the university’s research efforts?

B. About Newer Challenges and Opportunities:

Systemization of routine tasks and streamlining of procedures: *How can the School of Graduate Studies be supported in their efforts to systematize routine functions to ease the burden in all units, including at the SGS?*

- Where on campus is there expertise in a “systems approach” to planning and management that might be drawn upon?
 - How might the process in which Makerere University has worked with Norad on related issues contribute to systematization?

Self-Evaluation of Research and Capacity Strengthening for Informing Strategic Planning and encouraging continuing improvement at every level: *How will Makerere’s research community reach agreement on critical aspects of this process, and when?*

- What set of baseline data will best serve for attaining Makerere University’s research capacity goals?
- Are the goals currently articulated in sufficient detail so they can be characterized by measurable objectives—and explained to colleagues around the world—including at universities in high-income countries with very different societal goals for research? (This may be especially important, as indicated above, because goals assumed by worldwide sources of indicators for judging research university status have little relevance to research for reducing poverty and enhancing national development in lower-income countries.)
- How will this process move forward?
- With what resources can this effort be supported? Is not clear that these are currently identified in planning and budget documents. (And if these were not anticipated adequately in planning Phase II, is there the possibility of reallocation if there are unused funds, of it not, of targeted additional support from Sida or elsewhere?)

Greater recognition for research achievements: *In addition to searching for increasing financial compensation, what forms of recognition will be most meaningful to researchers and managers of research at Makerere University?*

- How might units identify and experiment with opportunities to acknowledge and reward successful contributions to research and research capacity?
 - For researchers, for research managers and for those who support research (e.g. technicians able to maintain and repair laboratory equipment, or create web presence to attract collaborators and create post-doctoral fellowship opportunities)
- How might central administrators respond to unit ideas and create opportunities to honor and reward research efforts—of teams and individuals.

Emerging issues in PhD education: *How can the components of PhD-education – including a “post doc” track— be clarified and made predictable in a manner suitable for Makerere University?*

- In order to establish research as an important part of the career within the university, Makerere University will need to create options for carrying out research. Is there a desire within the university to create post-doc possibilities for those who have successfully defended their PhD-theses? If so, what are the steps needed to achieve this goal?
- What are the forces/desires for consolidating PhD-education within and across units?
 - Is there an interest in common guidelines for the concept paper?
 - Is it SGS that would broker or establish common guidelines or is this a matter for the Sida/SAREC steering committee, or both?
 - How will SGS and research/teaching units work together to shape the coursework element of the Ph.D. program? How many core or “cross-cutting” courses will be provided, which ones, how often, and by whom? Will the cross cutting course offerings vary by the nature of a Ph.D. student’s area of study? Will courses be elective or required?

Laboratory and equipment maintenance and repair—of newly purchased items: *For newly procured advanced lab equipment, what approach to equipment maintenance will work best—to assure that these resources will function well for years after procurement?*

- Who will be responsible for maintaining expensive, advanced equipment at the University and in each unit—especially those items recently procured?
- What options can be generated to assure good maintenance?
- What steps are needed to adopt a strategy for maintaining the sophisticated equipment?
- What form of staff training can be organized to assure functioning of equipment?
- From what source(s) will units find and allocate funds for service costs, especially of the sophisticated lab equipment?

Enhancing Research Coordination: *Is it possible to enhance research coordination so that the programs increasingly characterize a research agenda specific to priorities of Makerere University (rather than those of collaborators)? Can the same organizations/committees and forms be used for several donors, in order to save time and improve quality?*

- Could the Sida/SAREC steering committee, with its critical mass of strong members, be used as a body to set the Makerere University research agenda and to consolidate the management of research and fund management?
- How much time can the Sida/SAREC steering committee members dedicate to these growing responsibilities (such as research agendas, documentation, research managements, procurements etc) while still carrying out their other duties? What options can be generated to maximize efficiency, including delegation of more routine tasks that burden deans and coordinators?

Building on increasingly rich experience at Makerere for diversifying or consolidating research capacity: *How can already existing knowledge and experiences within Makerere be disseminated and shared among other colleagues at Makerere University?*

- What channels that can be used to share this growing body of information?
- What body might be charged with disseminating research results and reporting on accomplishments in research capacity? Is it the Sida/SAREC steering committee, SGS or others who might be able to help with this?
- Would it be worthwhile to hold a meeting/conference among participants of the Sida/SAREC program, and possibly also others, to discuss efforts to enhance research capacity and ways to evaluate the improvements made by different units?
- What is the relationship, at Makerere University, among related aspects of a research system and its evaluation: increasing the sharing of information about research and research capacity, self-evaluation, (and, in the future, possibly peer evaluation involving other universities in the region), and allocation of research resources provided by the Uganda government to the campus?

APPENDIX A:
Monitoring the Research Processes and Strengthening of Capacity

The learning from this visit, and feedback on our summary here by those involved in the collaboration, will inform the process by which the Monitoring Team prepares:

- To continuously review capacity strengthening as reflected in documentation emerging from the collaboration and relevant to it (see Appendix B for list of documents reviewed and to be reviewed)
- To make best use of visits to Makerere University each September, and with Sida and Swedish counterparts each year during Phase 2 (2006-2009), to assist in clarifying documentation so it serves all users better as a representation of:
 - progress achieved
 - persistent problems to be resolved
 - new challenges to address
 - opportunities to be taken up
 - Makerere's development of its own strategy and methods for evaluating progress and planning for future gains (self-assessment)
 - contributions to further development of research capacity in the service of enhancing Makerere as a research University visibly adding to knowledge for reducing poverty and developing Uganda in collaboration with all interested parties (local communities, government, industry, external collaborators).
- To design yearly reports of program activity monitors to be submitted by 25 September 2006, 2007, 2008 (to accompany work by monitor of financial systems and reports)
- To design the final report of the Monitoring team at the close of Phase II.

More specifically we are finding that this February visit 2006 has been immensely helpful, in coordination with the School of Graduate Studies,* in learning how best to:

- Organize the programs on campus for our visits in September 2006, 2007, 2008, 2009 and with Sida project officer in Stockholm
- Maintain continuity and monitor developments when we are not present, through
 - reading newly generated materials (after identifying the full set of documents, including those in process, e.g. draft University Research Policy, draft curriculum of cross cutting courses for PhD students)
 - targetted electronic communication (or perhaps telephone calls aided by Skype) with Makerere colleagues, and communications with Swedish collaborators.
- Review the division of labor and collaboration among members of the Monitoring Team
 - During this period, Freeman was able to spend more time on the campus (6-17 February 2006, Johansson 13-18 February 2006)
 - Johansson will be able to interview the Swedish research/supervisor counterparts before September 2006 to add their more in depth perceptions of progress, challenges and opportunities to our September report.
 - As we find questions that exceed our understanding of accounting and financial systems, we will alert Jerker Thorvaldsson and seek his assistance.

* Special thanks to Mary Nakyewa for facilitating our work in every way, including planning the schedule of visits and revising it for greatest effect in collaboration with colleagues in the many units; providing documents, and helping us with all logistics.

Division of Labor:

Research monitors: Eva Johansson will concentrate more on graduate education and Phyllis Freeman will focus more on how to develop a system for evaluating research capacity, outputs and impact. Reviews of the faculties and units are divided between the two research monitors according to background and interest (see below). Whenever monitors visit Makerere University separately, each will make contact with all units and faculties and collect documents from all.

Division of faculties and units

Eva Johansson

Faculty of Agriculture
Faculty of Technology
School of Graduate Studies
Laboratories at the Medical Faculty
Cross-cutting Courses
PhD Theses
Swedish collaborators
Gender Mainstreaming Division

Phyllis Freeman

Faculty of Medicine
Faculty of Social Science
Faculty of Computing Sciences
Central Library
Directorate for ICT Support
Institute of Public Health
Demographic Surveillance Site
Department of Mass Communication

Financial systems management and auditing monitor (financial monitor): Jerker Thorvaldsson will review annual audits of financial reports, monitor procurement activities to help improve and speed up procedures, and monitor development and capacity of management systems to facilitate research through disbursement, handling and reporting on use of financial resources, equipment, etc.

Division of labor implies that the financial monitor will have more contact with central administration, sometimes seeking assistance from the Swedish Embassy to assist in implementation of Sweden-Uganda and Sida/SAREC-Makerere University agreements; and research monitors will concentrate more on the academic and research units.

APPENDIX B:

List of Documents Consulted (and those anticipated by September 2006)

DOCUMENTS:

1. Documents consulted so far

- Final Progress Reports from Phase I
- Proposals for Phase II
- Project Activity Plans for next 12 months for period July 2005 – June 2006
- Project Annual Progress Reports for final year of Phase I
- Makerere University, School of Grad Studies, DRAFT Research Proposal. June 2004: A draft of Makerere University, Research, Publications and IPR Management Policies
- Workshop Proceedings on Supervision workshop, The Doctoral Supervisor: Broadening and Deepening of the Role. Jan-Feb 2006, A Draft Report
- Makerere University, School of Grad Studies, Job Descriptions
- Makerere University Sida/SAREC Financial Management Manual (also for administrative functions); Giz & Co CPAs, Oct 2005.
- Makerere University Strategic Plan 2000/1-2006/07 Jan 2004 Planning and Development Department
- Makerere University: Annual Report 2004 (dated?)
- Makerere University Annual Report 2002: A review of the institutional development Plan 2000/2001-2004/2005
 - Makerere University Faculty of Social Science: Annual Review and Update of the Institutional Development Plan, (IDP) 2002: Excellence in teaching, research, publication and outreach in soc sci [2002 to match to Annual report of 2002]
 - Makerere University Faculty of Agriculture Annual Report 2002, Dec 2002 (for March report)
 - Makerere University Faculty of Technology Strategic Plan 200/1-2004/5
- Procurement Methods and Thresholds and Forms for Procurements, Procurement office, Makerere University
- Report on Sida/SAREC funded procurement capacity building workshop held at Imperial resort Beach Hotel on Friday 30 Sept-Sunday 2 Oct 2005. Dated October 2005, compiled by Mr. Tushabe Levi, Agriculture Procurement Officer.
- Tusubira February 2006 draft on increasing staff capacity with an internship program at DICTS
- Tusubira February 2006 draft memo to Eli Katanguka on Baseline data for self assessment of progress—research programs
- Makerere University, The Carnegie Corporation of New York, Makerere/Carnegie Female Scholarship Initiative (FSI)
- Makerere University, Gender Mainstreaming Programme
- Makerere University, The Focus Good Gender Practices for Development Vol 3 No 3 2005 and Vol 2 No 4 2005
- Makerere University, Gender Mainstreaming Strengthening Gender Mainstreaming Programme of Makerere University: Entering Open Doors? Report for the Period Oct 2004 to Sept 2005, Presented to Carnegie Corporation of New York
- Makerere University, Gender Mainstreaming, Support by Norwegian Government to Gender Mainstreaming Programme

- Makerere University, Gender Mainstreaming, Situation Analyses of the Gender Terrain at Mak U, Sept 2004
- Makerere University, Gender Mainstreaming, The review of 1.5 Points Scheme for Female Undergraduate Students at Mak U. Final Report by DQ Consult Nov 2004
- Faculty of Medicine, The PhD Guide Book
- African Health Sciences Journal, Vol 5, No 4, Dec 2005—on reproductive health and women's health. PhD students published: Kaye, DK twice; Atuyambe L with Florence Mirembe
- Sample of recently completed PhD thesis—Karolinska by Emilio Ovuga—5 papers published on Depression and Suicidal Behavior in Uganda: Validating the Response Inventory for Stressful Life Events, 2005
- Iganga/Mayuge Demographic Surveillance Site Newsletter Vol 2 No 1 2005
- Faculty of Agriculture Sida/SAREC Steering Committee Meeting held on January 4 2006
- Faculty of Agriculture, Sida/SAREC-Makerere University Bilateral Research Collaborative Program
- Faculty of Agriculture Makerere University & Swedish University of Agricultural Sciences, Research Abstracts, Sida/SAREC funded Projects, Phase I, 2001-2005
- Faculty of Agriculture, Abstracts of the 8th Annual Graduate Workshop of the Agriculture, Makerere University, Oct 2005
- Faculty of Agriculture, Proceedings of the Workshop on Integrated Small Holder Dairy Systems in Peri-Urban Areas with Emphasis on Forages and Fodder Tree Utilization, Kenya, June 1999.
- Faculty of Agriculture, Report on the Sensitization Workshop on Research on Urban Garbage Management, Ed E.N. Sabiti, September 2002.
- Faculty of Agriculture Proceedings of the Dissemination Workshop on Utilization of Market Wastes, Ed E.N Sabiti and J Karungi, April 2004
- Faculty of Agriculture Proceedings of the Symposium on Alternative Approaches to Urban Market Crop Wastes Management, Ed E.N. Sabiti and J Karungi, July 2005
- African Crop Science Journal Vol 13 No 2 2005
- Muarik Bulletin Vol 7 2004
- The Uganda Journal, The Journal of the Uganda Society Vol 50 2004

2. Documents to obtain as they are drafted—some may already exist, others are anticipated, but not available yet:

- Report of Planning Department's Consulting Group on harmonizing reporting (external donor reporting, what else?)
- PhD Guide book for units other than Medicine—does an overall one exist?
- Draft HIV/AIDS policy for Makerere University
- Most updated representation of "PhD curriculum" including cross cutting or core courses
- Curriculum documents showing strategy, new developments —and display for 'advertising', record keeping, evaluation of courses etc. within the faculty.
- About status GIS labs as these are just to open for student use
- Documents generated by Swedish collaborators?
- Masterplan for DICTS (University-wide)
- All reporting forms for any aspect of research and PhD activities—currently in use and new ones as generated

APPENDIX C:
INDIVIDUALS INTERVIEWED*

Central Administration (Meetings 7, 10, 17 February):

Prof. Livingstone Luboobi, VC
 Prof Lillan Tibaternwa, Deputy VC
Matia Kagimu Kabuye, Planning Department, Acting Director
 Christine Amico, Planning Department
 Director of IPH (procurement office)
 Secretary of IPH
 Secretary of Contracts Committee
 Senior Procurement Officer
 University Secretary

School of Graduate Studies (Meetings 6, 7, 11, 16 February):

Prof. Katunguka-Twakishaya, Director
 Dr. Christine Dranzoa, Deputy Director
 Mrs. Mary Nakyewa K, Administrator/Accountant
 Harriet Katbanda
 Twinomukumzi Roy
 Visited briefly all staff in SGS to meet them and learn their responsibilities

Meeting organized by SGS on Cross Cutting courses: Mary Goretti Nakabugo,
 Faculty of Education

Faculty of Social Sciences (Meetings 7, 13 February)

Dr. Edward Kirumira, Dean, Social Science
 Dr. Charles Bwana, Deputy Dean for Research
 Ms. Rosalind Lubanga, PhD student
 Dr. Augustus Nuwagaba, Senior Researcher
 Dr. Consolata Kabonesa, Senior Researcher
 Fred Bataganya? PhD student
 Gabriel Jagwe, PhD student
 Yegime Katagwa, PhD student
 Dr. Tingo Alfred, Accountant
 Incomplete as we did not collect list--to add: Katherine, Grace, others?

Directorate of ICT (Meetings with director and staff 8, 10 February)

Eng. Dr. Francis F. Tusubira, Director, DICTS
 Dr. Kyeyune Apolo, DICTS staff
 Evelyn Kahiigi, PhD student and DICTS staff
 Florence Kivunike, PhD student, and DICTS staff
 Ali Ndiwalana, PhD student, and DICTS staff

* Please excuse our inconsistency in use of titles, degrees, our lack of full names. We were able to be more accurate where we acquired lists of participants in meetings.

David Kiwana, PhD student, and DICTS staff

Faculty of Medicine (Meetings 8, 11, 16 February)

Prof. Nelson Sewankambo, Dean, Medicine
 Assoc Prof Elly Katabira, Medicine, Coordinator
 Dr. Fred Kironde, Senior Researcher, Biochemistry
 Dr. Segane Musisi, Senior Researcher, Psychiatry
 Prof. Florence Mirembe, Senior Researcher, Reproductive Health
 Prof Edward Mbidde, Senior Researcher,
 Dr. Moses Joloba, Senior Researcher, Molecular Biology
 Dr. Emilio Ovuga, Psychiatry, Facilitator of Ph.D. students
 Dr. Catherine Abbo Adito, Ph.D. student ? here or Social Sciences?
 Freddie Bwanga, PhD student, Microbiology
 Benson Asiimwe, PhD student, Microbiology
 Dr. James Tumwine, Editor, Journal of African Health Sciences from Dept. of Pediatrics
 Byamugisha Josaphat, PhD student, OBS/GYN
 Dan K Kaye, PhD student, OB/GYN
 Dr. Paul Waako, Senior Researcher, Clinical Pharmacology
 Jackson K. Mukonzo, PhD student, Clinical Pharmacology
 Jasper Ogwal-Okeng, PhD student, Clinical Pharmacology
 Winifred A. Tumwikirize Byambabazi
 Her colleagues in Drug Info Center (a pharmacist and a physician)
 Dr. Jackson Orem, Ph.D. student

Central Library (Meetings/visits 9 and 17 February)

Dr. Maria Musoke, University Librarian
 Miriam Kakai
 Lisa Slate

Faculty of Computing and Information Technology CIT (10, 14 February)

Dr. Venansius Barya Baryamureeba, PhD, Dean
 Senior staff assembled by Dean:
 Patrick Ogao, Netherlands?
 Ddembe Williams, London South Bank University
 Name not captured--from Jamaica
 Paul Bagyenda (software department chief)
 Daniel Kayiwa, software developer (DSS)
 Maureen Twikirize, Secretary to Dean provided complete curriculum

Institute of Public Health and Demographic Surveillance Site (10, 14, 16 February)

Dr. David Serwadde, Director
 Dr. George Pariyo, DSS, Coordinator
 Dr. Stefan Peterson, Visiting Professor from Karolinska Institute
 Dr. Fred Wabwire-Mangen
 Ms Kaija Judith, DSS Iganga
 Ms. Namuju Sylvia, DSS Iganga
 Dr. Arinaitwe Moses, fac-new
 Hans Agren+ colleague, Swedish 'counterpart' visitors to Dept of Psychiatry

Faculty of Arts and Mass Communication (13 February)

Dr. Nassanga Goretti Linda, Senior Lecturer, Coordinator
 Mr. Tayebwa William, Ph.D. student
 Dean Assoc Prof Hannington Sengendo, PhD
 Nakinwale Aisha Sembatya, Ph.D. student
 John Kanyamurwa, Administrator/financial

Gender Mainstreaming (Division of Registration's Office)

Evelyn Nyakoojo, Senior Assistant Registrar
 And three members of staff: Pina, Joyce, and one more

Faculty of Technology (13, 17 February)

Dr Barnabas Nawangwe, Dean and Coordinator
 Dr Mackay Okure, Senior researcher, Head of department
 Mr Tugume Alexis
 Mr Amany Henry, accountant
 Moses, PhD-student and responsible for GIS-lab
 Senior researcher with field work in northern Uganda
 Robinah N. Kulabako, PhD-student
 Peter ?, PhD-student

Faculty of Agriculture (15 February)

Prof Mateete Bekunda, Dean
 Prof Elly Sabiti, Coordinator
 Dr Johhny Mugisha, Senior researcher
 Justine Nambi, PhD-student
 Alice Amoding, PhD-student
 William Ekerere, PhD-student
 Constantine Katongole, PhD-student
 John Baptiste Tumuhairwe, PhD-student
 Peter Walekhwa, PhD-student
 Dr J.S. Tenywa, Senior researcher
 Assoc Prof Samuel Kyamanywa, Senior researcher
 Lady responsible for clearing of equipment at airport
 People working at gene technology lab

Cross-cutting and Medical labs at Medical Campus (16 February)

Hakim Sendagire, PhD-student
 Peter Vuzi, PhD-student
 Dan Kyabayinze, PhD-student
 Lab technician doing PhD
 PhD-student from pharmacology lab
 Infectious Disease Institute: Head of lab

APPENDIX D: Comments on Activity Plans

As we look at the written documentation produced within the present Makerere – Sida/SAREC collaboration program (proposals, activity plans, reports etc), we assume the overall purpose is to help participants at Makerere University (students, supervisors, coordinators) of the program to clarify:

- the vision, goals and hypotheses of the program
- how these aspirations are to be accomplished
- if and when specific objectives have been achieved.

The same materials document for Sida/SAREC the extent to which this Swedish support facilitates meeting of the goals. Transparency and full accounting in the use of Sida/SAREC support is important to all involved, beyond the legal requirements of the agreement. It makes it possible for Sida/SAREC and the University to make adjustments during the life of the collaboration—and for all to work on strategy and planning for the future.

The Activity Plans for the first year of Phase II (July 2005 – June 2006) are generally easier to follow than those we saw two years ago (in April 2004). While all of the plans contain useful information, some of it clearly presented, they are uneven in quality. Faculty by faculty, elements supplied by multiple contributors are not compiled in a way that enhances ‘readability’ by those outside a particular unit.

To the extent that the Activity Plans provide evidence of research capacity to the wider University community as well as to Sida/SAREC and other partners, harmonization of format would help. Generally, Activity Plans from faculties with fewer PhD-students (e.g. the Faculty of Social Science) are shorter and easier to follow. Those units with a larger numbers of PhD-students pose more of a challenge. For information about each PhD student, it may serve everyone best if the information from all units can be compiled into a single document with a more consistent format. This would have the added benefit of reducing redundancy for those who prepare the reports as well as for those who read them.

For learning about the involvements of students (and faculty supervisors and research fund users) in their areas of research, we found tables of the sort prepared by the Faculty of Agriculture (that currently display activity plans for each of the students) to improve the readability. Lists of outputs by team, specifying both faculty and student participants, would also assist more readers in understanding the accomplishments. For publications, a more standardized bibliographic format would help. For clarifying the implications of research for more stakeholders in Uganda, it may be useful to add information about how research is being (or will be) translated into policy and practice, and to identify anticipated benefits to Uganda and Ugandans.

The repetition and variation in presentation may reflect late starts in the production of the Activity Plans by some program participants. More direct communication between the School of Graduate Studies and the participants in the program, (e.g by the use of email lists directly to all participants) might help to reduce these delays.

In addition to the considerable testimony about persistent problems with procurement, Activity Reports from most faculties and units emphasize how procurement delays constitute major obstacles to research. Similarly, late release of funds from Sida/SAREC is often noted in the

Activity Plans as a cause of delay. These reports reinforce our perception that delays in anticipated releases of funds to units have multiple causes—all of which could be examined to enhance operations. For example, sometimes delays appear to be based on whether any funds are still available in the program's account from the last program period; sometimes on whether Sida/SAREC has released funds for a new period; and, other times reflect late reporting by participants.

Having heard more on this visit than previously about the challenge of support for post-doc research, it seems worth noting that there is already a line on the Activity Plan for post-doctoral research training, but none of the faculties has entered any information here. We are not sure what this implies—lack of time to consider this relatively new challenge, lack of interest in post-doc research training, or simply forgetting to fill this in? The Faculty of Agriculture stated that post-doc research needs should be partly covered by small faculty grants from the Sida/SAREC supported faculty fund. (They use 300 000 SEK per year for that purpose. The faculty funds of the other faculties appear to be smaller, e.g. 140 000 SEK per year at Faculty of Medicine.)

Vehicle maintenance costs have been noted for most of the faculties. However, so far only the Faculty of Agriculture, which is still waiting for equipment, has entered any costs for maintenance of equipment in its Activity Report. Despite the presence of already procured, expensive equipment at several faculties, including Medicine and Technology, we did not find any budget allocation for maintenance, spare parts, etc.

As we study the next set of reports in September, after the upcoming meetings in March and April, and discuss them with their preparers, we hope to generate more ideas for helping to make reporting more informative for more purposes, and less burdensome.

APPENDIX E

New *Draft* Reporting Form Prepared by Research Supervisor, Faculty of Medicine*

PHD ANNUAL PROGRESS REPORT FORM**Makerere University Faculty of Medicine**

Makerere University Faculty of Medicine Department, e.g. Psychiatry: Senior Researcher:	Karolinska Institute Department, e.g. IHCAR: Senior Researcher:
Period: From: To:	
Name of student: Qualifications:	
Supervisors (title, qualifications): 1. 2.	
Study title: Sub-title:	
Field of study, e.g. Immunology, degenerative disease, mental health:	
OBJECTIVES: Overall objective: Specific objectives: 1. 2. 3. 4.	
Expected uses of results: 1. 2. 3. 4.	
DESCRIPTION OF STUDY: Planned activities:	

* This form was offered as a draft by Emilio Ovuga who was about to discuss it with his Ph.D. students.

Data collection, analysis:

Planned meetings:

Data management:

Analysis:

RESULTS:

Abstract for year under review:

Publications (Authors, title, journal, vol, pages, year)s:

- 1.
- 2.
- 3.
- 4.

Planned manuscripts (Authors, title, targeted journal, expected date of submission; include annual report)

- 1.
- 2.
- 3.
- 4.

Planned conferences, workshops, seminars, courses (with venue and date):

- 1.
- 2.
- 3.
- 4.

Available credit units:

Additional credit units expected:

Personnel: 1. 2. 3. 4. 5. 6. 7. 8.	
TOTAL BUDGET for year under review: (in approved currency):	
Acknowledgements:	Declaration of interest:

Note:

This form should be accompanied by a narrative that describes in detail important points that could not otherwise be included in the form; the form serves to provide an overview of the achievements and problems the student has experienced in the course of the year under review.

2006 Makerere University Research Monitoring Team Final Report

Phyllis Freeman & Eva Johansson
Monitors

2 November 2006

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RESEARCH MONITORS FINAL REPORT 2006

1.0 Introduction

This report differs from our previous ones and primarily focuses on the important issues of planning and reporting. The appendices also contain alternative instruments for planning and reporting. These have been designed by colleagues at Makerere University, as we interviewed them about how reporting could become a productive rather than burdensome aspect of the ongoing collaboration. Thus, we offer the text in Sections 1-4 merely to orient the reader to the tools in Section A of the appendices.

Section B of the appendices contains the list of priority issues on the content of the collaboration that we will continue to monitor, as well as itemization of those whom we interviewed and documents we assembled and read.

1.1 Research Monitors Activities 2006.

- 1.1.1 Uganda: Based on the Terms of Reference established in 2005, the two research monitors made two visits to Makerere University in 2006, the first in February, second in August. After the first visit, we filed an interim report in March 2006. [See Appendix B 2 for Table of Contents from Interim Report, March 2006 – the table of content is organized so that it can be used for the monitoring during the full period through 2009.] The second visit coincided with that of Jerker Thorvaldsson and allowed us to work together, which we found to be immensely helpful.
- 1.1.2 Sweden: Eva Johansson also visited or interviewed by telephone, 26 of the Swedish collaborators, to learn their views about their experience in the ongoing collaboration. (From no source has Johansson been able to determine the denominator, the full number or identities of all Swedish collaborators involved in this collaboration.)
- 1.1.3 Stockholm: Both research monitors and the auditing monitor met with the Sida team in Stockholm on 19 September 2006 to provide a preliminary report, prior to the Annual Review at Makerere University beginning 25 September 2006.

1.2 Methods.

- 1.2.1 The February 2006 visit to Makerere University: This visit allowed us to establish a simple method for continuity in our ongoing review of the second period of Sida research support for Makerere University from 2006 through 2009. In addition to collecting and reading all documents available since the previous visit, we interviewed many participants, revisiting issues already discussed, and addressing new ones. We settled up a simple set of categories that are now familiar to our colleagues in all units:
 - Progress: achievements since previous visit (including all relevant documents generated)
 - Persistent problems: status update
 - Newer challenges and opportunities: status update of those identified previously, new ones to add to agenda for review

- Strategies and mechanisms for addressing the problems, status update
 - Questions for further exploration and discussion at next visit.
- [See Research Monitors' Preliminary Report, March 2006 for more detail.]

- 1.2.2 Focus of 2-9 September 2006 monitoring visit: The critical mandate, included in the research monitors' Terms of Reference, has been to improve the reporting process - to achieve timeliness, improve quality and scope of the content, and clearer presentation of what is reported. Because of the centrality of reporting, we turned specifically to this task. We prepared to do so in the February 2006 visit. In September we engaged Makerere University participants in evaluating the reporting methods and in considering how to improve them.
- 1.2.3 Problems with reporting process, instruments, content and timeliness: That planning documents and reports had been neither timely nor sufficiently informative has been much discussed in Annual Review meetings since the inception of this collaboration, as well as in many other settings. Thus, we do not revisit the list of criticisms here, but focus on steps to engage those who report in a different way—so that improved reporting can assist them—rather than simply adding a burden.
- 1.2.4 Reporting across programs: Improving reporting is particularly timely for several reasons. Having recognized problems with coordination, varied (and often redundant) reporting requirements, the university and its community of research partners had met in April 2006 to discuss 'harmonization' of requirements. The report prepared by the university (presented by Professor L.S. Luboobi, Vice Chancellor) in anticipation of this meeting (Partnerships in National Development, Building For the Future Together, 26 April 2006, often referred to as "The Stakeholders' Report") contains an excellent summary of the university's research priorities and strategy as a basis for better coordination of effort in the future. The university has embarked on an effort, led by the Planning and Development Department.

As this university-wide exercise is just at the beginning of a long-term process, it will be very useful to focus on improving the reporting within the Makerere University-Sida collaboration, and to use experience in this regard to inform the university's broader effort.

At the time of this visit, consultants to the University's Planning and Development Department (PDD) were just completing the Final Report on the Harmonised Reporting System (dated May 2006, but still under revision in September 2006). In discussing the needs of the units participating in the Makerere University-Sida research collaboration with PDD, we noted some concerns. We discovered that discussion of the 'architecture' of the reporting system to be harmonised did not seem to extend to some of the issues especially pertinent in our monitoring of the Makerere University-Sida collaboration. For

example, there did not seem to have been consideration of exactly who would need to see each sort of information, including financial data, who would have the authority and ability to add or change information.

In the Makerere-Sida context, we had been discussing intensively the data needs and reporting responsibilities of participants at every level: graduate students, supervisors, coordinators, deans, School of Graduate Studies staff, and central administrators (including administrative personnel who may work with coordinators, deans, administrators). As part of the discussions about improving reporting in this collaboration, we had focused throughout the week on the utility of a student or supervisor to know what funds would be available for any time period, to update allocations and expenditures as they are made, and to view or get regularly reports of funds allocated, expended or remaining. These issues surfaced as pertinent in many ways and became central to our task. Near the end of the week we learned that the new system might not have these capabilities, we became worried about the extent to which the harmonization effort could address the needs of participants in this Makerere University-Sida collaboration.

2.0 Reporting experience within Makerere University and to Sida

Prior to September 2006:

2.1. Reporting tool in use.

Participants in the research collaboration have been using a reporting form provided by Sida. Although this format had been in the guidance provided to all Sida grantees, a change in Sida reporting approach no longer emphasizes a particular format. Now it appears that Sida has changed from a required form, to encouraging grantee organizations to select a suitable format - so long as a basic set of substantive questions are covered.

In February 2006 we came to the conclusion that the content and utility of the information provided to Sida on these planning and reporting forms was unlikely to improve—until and unless a new approach, especially including new forms, could be devised. Thus, we targeted our September meetings on the Makerere University campus to discuss the research and reporting process with leaders in each unit, as well as with higher level campus administrators. We gathered as much information as we could about all other aspects of the collaboration as we proceeded, but concentrated this time on the reporting task.

2.2 Lack of connection between financial and program planning and reporting.

The monitoring team observed that only one unit that routinely reported financial information on the annual report form with program information (Faculty of Social Science). Most of the annual reports of other units noted, in the space allotted for financial reporting, that these data were to be found elsewhere. This revealed an important lack of connection between program planning and expectation of researchers

(students, academic supervisors and senior administrators)—and allocation of resources to facilitate program implementation.

2.3 Impact of disconnection between finances and activities.

Through the week of interviewing in September 2006 we learned many ways in which this lack of connection impeded collaboration and slowed the pace of research activities within virtually every unit. (There are important variations, particularly between those units that manage funds at the unit level, and those that do not. There exist many other variables that form the basis of the steps we suggest towards improving the reporting mechanism for this program.)

- 2.3.1 Information needed for collaboration in planning across units: We found that many of the “persistent” and “new problems” had to do with planning and sharing information as a basis for planning.
- 2.3.2 Release of new funds: A most crucial problem is the relationship between program planning, knowledge of availability of funds to carry out the activities, and accurate documentation of expenditure of at least 70% to permit release of funds by Sida for a subsequent cycle.
- 2.3.3 Many other points of delay or confusion enumerated by individuals whom we interviewed and are closely related to reporting and planning:
 - o delays in using funds already deposited in the Makerere University accounts by Sida, (especially for items requested through procurement process and contracts committee)
 - o delays in carrying out scheduled activities and expenditures for these within units – when students, supervisors or even coordinators were uncertain about the availability of funds
 - o delays in financial reporting, especially for advances
 - o delays in reallocation across units by the Steering Committee or by SGS
 - o delays in reporting—and confusing about the match between planning periods, expenditure of funds from previous periods, and releases of funds by Sida for subsequent periods (usually on a schedule not matching the planning documents, given the delay in expenditures)
 - o lack of clarity in the meaning of what has been planned or reported.

Thus we asked each unit about its experience in this regard. We focused particularly on unit deans and coordinators who

- o manage the resources (human, financial, equipment and supplies),
- o manage the planning and reporting, and,
- o participate on the Steering Committee.

Each had criticisms and suggestions, and the Director of the School of Graduate Studies (SGS) also shared forms used in other programs, and one he found particularly useful (from Carnegie Corporation).

2.4 Inquiry specific to clarifying the reporting challenge.

In order to look at the forms of confusion and variables that contribute to it in more depth, we (including our auditor colleague) revisited the Faculty of Social Sciences. It proved a very useful example for learning for several reasons:

- The financial information for this unit had been included on the report
- This is the unit that handles most of its allotted Sida funds at the unit level
- The program coordinator is also the Dean of the faculty
- This same individual participated in preparation of the Stakeholders report (Partnership in National Development, Building For the Future Together), and now chairs the university's committee on strategic planning.

3.0 New approach to reporting based on in depth discussions with SGS and two research units

3.1 Information from the Faculty of Social Sciences Dean and Coordinator forms basis for next steps.

In a follow-up interview with Dean Kirumira of FSS, we reviewed each step in the planning and reporting process from the perspective there. This information is summarized in Appendix A-1: the FSS example. As he too was familiar with alternatives, including the one favored by the SGS Director, this eased communication about desirable attributes of reporting formats.

3.2 Based on this example, the FSS Dean and Coordinator worked through with us a different approach.

The overriding purpose of the alternative is to design a tool that can become integral to program activities, driving planning, monitoring of changes in planned activities and expenditures, and reporting of research activities, expenditures and outcomes. See this in format as a table, Appendix A-2: Reporting Format to Link Planning to Outcomes; and Research Activities to Budget and Actual Expenditures. This table is followed by notes to accompany the table, and by notes on reporting narrative to accompany the table.

3.3 Discussions with involved persons.

We discussed this example in depth with Prof. Eli Katunguka-Rwakishaya, Director of SGS, and with the SGS accountant Mary Nakyewa. As it seemed a very useful exploration, we also engaged the Coordinator and Dean of the Faculty of Technology, Dr Barnabas Nawangwe, who noted the experience of his unit as a basis for comparison with that of FSS. See Appendix A-3.

3.4 Comparison of experience at Faculty of Social Science and Faculty of Technology. Appendices A-1 and A-3 allow the reader to compare experience at these two faculties. Over time, it will be useful to expand this analysis to all units, and to use this information in reaching agreement about a more productive approach to reporting.

4 Next Steps: Pilot Experiment to Develop a New Reporting Tool

4.1. Pilot development and testing of alternative instruments.

Both units, the Faculties of Social Science and Technology volunteered to pilot development and testing of alternative instruments for planning and reporting. We hope that from this process, tools that will facilitate research and strengthening of research capacity, (including, of course, Ph.D. education) will emerge from the ongoing experience of participants. Thus, the offer of these two faculties to experiment and to share the learning as well as new iterations of the tools, can be of value to all.

4.2 Implementation.

At this stage, it is the SGS, the two units carrying out the pilot, and the Steering Committee who will be most aware of new developments. It is our hope, that as experience yields lessons that can be useful to all, that the SGS and Steering Committee will determine how to make use of this. We the monitors will follow developments closely, and have expressed our willingness to contribute to deliberations as we review new generations of plans and reports that experiment.

Appendix A-1

Faculty of Social Sciences ‘example’

I. Year 1, First 6 month reporting period

- A. Sida/SAREC – Makerere University Research Collaboration Agreement
 1. Date signed: _____
 2. Amount Total for Phase II: _____ (in Swedish Kroner)
 3. Amount Total for Year 1: _____
 4. Amount Total for Year 1, Disbursement #1: _____
 5. Amount Totals for Year 1 by unit, Disbursement #1: _____

- B. Activity Plan, Year 1 to begin 1 July 2006
 1. Date: _____ (? Which to use: date prepared, distributed or approved to put here—or all?)
 2. Amount anticipated from Sida to SGS to carry out Activities, Year 1
 - a. Total: _____
 - b. By unit (here FSS): 3,375,599 Swedish Kroner

- C. #1 Disbursement from Sida/SAREC to Makerere University/SGS account
 1. Sida/SAREC to bank in Uganda
 2. Bank informs SGS funds have arrived
 3. Exchange rate increases or decreases value of funds in Ugandan Shillings
 4. Disbursed from Sida to SGS for FSS: 3,175,700

- D. Within SGS—for FSS: Divide funds into those to send on to FSS account, those to withhold at SGS:
 - a. Funds arrive at SGS account from Bank: 4 October 2005 amount: _____ UGS
 - b. Withhold funds for:
 1. unforeseen
 2. travel
 3. equipment
 4. Swedish Institute (support for Mak U Ph.D. students working in Sweden)
 - c. When and how does SGS inform FSS (and all units) that funds are available?²⁶
 - d. SGS awaits a request from FSS for funds
 - e. SGS releases funds to FSS once request received (this is currently the only unit that receives all remaining funds into its own account)
 - f. FSS received 2,576,266 Swedish Kroner—and reports on this amount—thought they had spent all available funds for FSS—still some remained in SGS

- E. Within FSS-steps:
 - a. FSS has original activity plan from spring 2005, and is waiting for release of funds for activities—*planned* to begin July 2005 for completion 30 June 2006.

²⁶ questions to pursue—different views in FSS & SGS

- b. How, from whom, does FSS learn funds are available for Phase II, Disbursement #1?
 - c. What and how much information about timing and amounts anticipated has flowed from 1 July 2005-start up of period until funds arrive?
 - d. What communication between Coordinator/Dean and FSS accountant?
 - e. What communication among Coordinator/Dean, FSS accountant and senior researcher/supervisor and Ph.D. student researchers (during waiting period from 1 July until funds arrive?)
 - f. Coordinator/Dean requests release of funds from SGS to FSS account: date: ? December 2005.
 - g. Amount transferred from SGS to FSS in December does not match amount in Activity Plan (it is less).²⁷
 - h. Unclear how FSS Coordinator/Dean receives or does not receive information about exactly how much is withheld at SGS, and by category. SGS reports transferring information; FSS Dean/Coordinator reports awareness of the amount transferred, unclear about amounts withheld at SGS (Does FSS accountant have this information by emphasize with Dean/Coordinator the amount within FSS control/account?)
 - i. FSS Dean/Coordinator works with 5 research subprogram groups (senior researchers and Ph.D. students)—they must REDO the Activity Plan to adjust for actually available funds—now in December 2005!
 - j. TRAVEL: SGS spent funds on a first come first serve basis, so a unit conserving travel funds for later in period may lose these—without advance warning.
- F. Problems occurring at level of FSS-categories;:
- a. Delay of activities from 1 July anticipated start date for Phase I
 - b. Shortfall of funds for carrying out program
 - c. Activity Plan requires change—a labor intensive activity
- G. Within FSS: Consequences for research and capacity building
- a. Researchers are discouraged by delay and confusion surrounding reasons, inability to anticipate next steps with timetable
- H. Shortfall causes cuts in program, for example:
- 1. Faculty research fund: 0 available – and this has been the successful mechanism for research capacity strengthening for all FSS faculty – benefit of Sida/SAREC collaboration potentially extends to all interested.
 - 2. GIS training—so researchers operate without this tool.
 - 3. Administrative costs paid by FSS and reimbursed with Sida/SAREC funds when they arrive
 - 4. No other funds distributed for July-into December for research within FSS
 - 1. Many researchers stop activities for lack of funds
 - 2. Some continue any way, must find funds elsewhere
- I. Consequences for reporting (likely to be similar in other units):
- a. Delay in reports of Ph.D students to supervisors, supervisors to coordinator
 - b. CONFUSION about what to report in which period (as most activities delayed by a full 6 month period)

²⁷ Consequences to FSS efforts to conduct research, build capacity

- c. FSS approach to accommodating delay and funding cuts unlikely to match that of other units
- d. SGS, Steering Committee, Sida/SAREC and all others will have difficulty understanding achievements, problems, how to address them
- J. Consequences for all units across program:
 - a. Delay in spending down to 70% means next 6 month period also delayed...[Delays accumulate and at the end, risk of funds unspent, must return to Sweden—as for Phase I.
 - b. Frustrations with mismatch between planning, implementation and accounting makes reports confusing and frustrating to all—makes achievements harder to identify and appreciate; and problems harder to remedy!

II. I. Year 1, Second 6 month reporting period...delay, shortfalls, confusion and frustration continue to accumulate...

Problem within units compounded in second half of year: researchers don't know if they are using funds for first or second half of Year 1.

Appendix A-2

Table and narrative elements of initial draft for new instrument

Reporting Format to Link Planning to Outcomes; and Research Activities to Budget and Actual Expenditures

***Draft Table 1** (8 September 2006, Kampala, updated to add funds committed column)

Planning			Status/Progress			Change/Comment		(	
Objectives and problems to solve	Planned activities	Budget (by activity planned)	Activities undertaken - What - When - By whom	Actual Expenditures	Funds committed, but not spent	CHANGES from plan, activities and budget (comments)		Con pape publ etc. Ach	
						Activity	Expenditures		

* Monitoring Team discussed this draft so far with Dean Kirumira, Director Katunguka, and Accountant, Mary Nakyewa

Notes to accompany *Draft Table 1* from 8 September 2006.

Based on discussions with Dean Kirumira at the Faculty of Social Sciences, followed by further discussion with Director Katunguka at the School of Graduate Studies, several other assumptions are in play:

1. Experimentation with a new reporting format for Sida/SAREC seems worthwhile to pursue now as the “harmonization” effort (reporting across all external sources of Mak U funding) is not likely to come to fruition for at least several years. (We checked this with the university Planning Department.)
2. The summary (Table 1) would need to work such that it can be a ‘friendly’ tool for reporting research related activities *at the time they are carried out*.
3. This table/template should encourage users to fill in expenditures and comments about these *as expenditures are made*.
4. Dean Kirumira thought a new approach like this would be useful IF activities can drive reporting; not a budget or an (outdated) plan.
5. Experimentation with such a new format will be required to determine how to use it to move from one planning, activity and reporting period to the next—without duplication of effort in explaining content where it continues; and to assure clarity in the chronology of events.
6. Two units are likely candidates to PILOT a new reporting format: Faculties of Social Science and Technology (based on Johansson’s discussions with Technology Dean/Coordinator).
7. Freeman had a brief, and positive, conversation about this format with Dr. Katabira from Faculty of Medicine.
8. The Steering Committee may discuss a move toward a new reporting format as early as its 15 September meeting; and may want to discuss this with Sida/SAREC at the Annual Review.

DRAFT: Reporting Narrative (to Accompany DRAFT Table 1)

Table 1 is not intended to limit description of research content, activities, achievements, or problems to overcome. A narrative portion of a revised Sida/SAREC-Makerere University reporting tool should encourage full description of these. It would also be useful to design the categories of the narrative to draw out:

- The implications of the planned research activities in terms of contributions of various sorts: to one’s academic discipline/advancing knowledge; to solving problems in Uganda; to assisting Uganda’s government (national or sub-national units), industries, residents
- Ultimately, the impact for research, policy, practice and the role of the national university as a contributor to Ugandan priorities will be important to include. As “impact” often takes a long time to accumulate and judge, we urge SGS and Mak U coordinators/Steering Committee to work with senior researcher/supervisors and with Ph.D. students to characterize and articulate their research undertakings in terms of the big picture—the ultimate contribution hoped for.
- Dean Kirumira suggested that the form indicate that those using it NOT be limited by its structure, but feel encouraged to add information they believe to be significant, even if it does not seem to “fit”.
- We did not get so far as to work on categories for the narrative portion—beyond the discussion of encouraging all to place their discreet research activities into a bigger picture context of contributions that might come of it—the “implications” for further research, policy, practice, etc.

Appendix A-3

Faculty of Technology ‘example’

I. Year 1, First 6 month reporting period

K. Sida/SAREC – Makerere University Research Collaboration Agreement

1. Date signed:
2. Amount Total for Phase II: 51,392,000 (in Swedish Kroner)
3. Amount Total for Year 1(05/06): 13,108,000 (in Swedish Kroner)
4. Amount Total for Year 1, Disbursement #1: 6,123,178 (Uga for Uga)
5. Amount Totals for Year 1 by unit, Disbursement #1: _____

L. Activity Plan, Year 1 to begin 1 July 2006

1. Date: May (? Which to use: date prepared, distributed or approved to put here—or all?)
2. Amount anticipated from Sida to SGS to carry out Activities, Year 1
 - a. Total: 13,289,500 (in Swedish Kroner)

M. #1 Disbursement from Sida/SAREC to Makerere University/SGS account

1. Sida/SAREC to bank in Uganda (Could Sida notify SGS by email that the funds have been sent?)²⁸
2. Bank informs SGS funds have arrived
3. Exchange rate increases or decreases value of funds in Ugandan Shillings

N. Within SGS—for FoT: Divide funds into those to send on to FoT account, those to withhold at SGS:

- a. Funds arrive at SGS account from Bank: 4 October 2005 amount: _____ UGS
- b. Withhold funds for:
 1. unforeseen
 2. travel
 3. equipment
 4. Regional Collaboration
- c. When and how does SGS inform FoT (and all units) that funds are available?²⁹
As soon the funds reach SGS account, the accountant at SGS sends me an e-mail.

O. Within FOT-steps:

- a. How, from whom, does FoT learn funds are available for Phase II, Disbursement #1?
An e-mail from the accountant at SGS.
- b. What and how much information about timing and amounts anticipated has flowed from 1 July 2005-start up of period until funds arrive?
When the funds reach Graduate School, we are informed immediately.
- c. What communication between Coordinator/Dean and FoT accountant?
There is regular communication by e-mail and consultative meetings

²⁸ suggestions to Sida/sarec

²⁹ questions to pursue—different views in FOT & SGS

- d. What communication among Coordinator/Dean, FoT accountant and senior researcher/supervisor and Ph.D. student researchers (during waiting period from 1 July until funds arrive?)
There is regular communication by e-mail and steering committee meetings
 - e. Coordinator/Dean requests release of funds from SGS to FoT account as soon as funds have arrived.
 - f. FoT Dean/Coordinator works with 6 research subprogram groups (senior researchers and Ph.D. students)
- P. Problems occurring at level of FoT-categories;:
- a. Procurement processes delay activities.
 - b. Load shedding has delayed some experiments
 - c. Some students lagging behind (recruitment of new students more rigorous, problem being addressed by Faculty steering committee, supervision being strengthened)
- Q. Within FoT: Consequences for research and capacity building
Delays in disbursement of funds could lead to delays in procurement of equipment, hence delaying overall completion of studies or even falling out due to frustration.
- R. FoT never experiences Shortfalls, even where we have spent all our money, SGS allows us to borrow from other projects and we continue with our activities and then money is refunded when Sida makes releases.
- S. Consequences for reporting (likely to be similar in other units):
- a. Delay in reports of Ph.D students to supervisors, supervisors to coordinator
 - b. CONFUSION about what to report in which period (as most activities delayed by a full 6 month period)
- T. Consequences for all units across program:

Appendix B-1

Priority List of Issues and short update of the status of issues

1. Procurement
2. Financial management systems
3. Systematization of routine tasks and streamlining of procedures
4. Self-evaluation
5. Research Policy
6. Ph.D. requirement controversy (because of the level of tension it has caused among senior participants)
7. Recognition of research achievements
8. Swedish collaborators, participation and involvement
9. Issues in PhD education
10. Post doc possibilities
11. GIS, Laboratory and equipment maintenance and repair
12. Import tax payment—we hoped this is resolved—just needs continual implementation/follow up

1. Procurement

By February 2006:

- Persistent problem since the start of the Sida/SAREC programme B
- Bottleneck that continued to threaten the potential for the university to develop
- Threatened the survival of the Demographic Surveillance System (DSS)
- No continuity in accessibility of fundamental resources
- Examples included the purchases of chemicals and reagents or spare parts, repair of equipment, adding or extending visits to field sites to complete work

By September 2006:

- Most important changes - workshop entitled “workshop on procurement of science related goods and services for researchers” that was held at Speke Resort Hotel, Mynyonyo at 28-30 April 2006. The most important outcome:
 - Planning of procurement should be carried out properly and in good time and reported to the procurement office
 - There is a legal provision for immediate procurement for urgent and emergency requirements
 - Procurements that have already been approved from donor/partner organisations do not need another approval from the procurement office in order to be procured.
- Until our visit, none had experienced the change in procurement
- Other plans at Makerere, that we learnt about:
 - The procurement office planned to visit other procurement offices in Sweden and/or in South Africa in order to learn and develop.
 - The Steering Committee of the Sida/SAREC programme can be used as a body in pushing procurement issues in the right direction.

2. Financial management systems

By February 2006:

- Financial management system is burdensome especially for supporting research.
- The centralized system might provide better information for audits, but the

cumbersome nature of the system

By September 2006

- University is working on the financial management system.
- The accountants at each unit are being trained.
- Suggestion to Sida/SAREC about a course for the accountants so that they should become better trained to be able to take care of the accounts at the unit level.
- For the units having good capacity, funds have already been transferred to unit level. For those having not so good capacity, the funds will be managed from SGS. The units to which funds already are transferred
 - Faculty of Social Science, most of the funds are transferred
 - Faculty of Medicine, some funds are transferred
 - Faculty of Technology, some funds are transferred
 - For Library and DICTS, the funds will be managed from SGS.
 - The faculty of Agriculture will be payed by request.
 - Mass Communication are on their way of opening up an account for the Sida/SAREC funds.
 - Gender Mainstreaming are payed by request
 - At IPH individual people are payed
 - DSS has opened an account and funds have been transferred. IPH are responsible for the day to day management, while SGS has the overall responsibility.
- Thus, transfer of funds seems on its way as well as training of accountants, but all funds are not transferred into any of the units. And from our discussions with Faculty of Social Science it did not seem clear even for them, being “the best” unit, getting “the most” of the funds, which parts of the funds that were transferred and which part was not

3. Systematization of routine tasks and streamlining of procedures

By February 2006:

- Tools (or expertise for designing them), already existed on campus (see March 2006 report for more examples)—and staff at the School of Graduate Studies seemed eager to proceed with systemization. Items ripe for development into routine systems included:
 - Communication: creation of “email listservs” of all parties, as one large group, and for subgroups (e.g. coordinators, supervisors, Ph.D. students)
 - Financial reports: Design and distribution of templates for updating budgets
 - Financial status: System to permit all participants to check directly the financial status of their accounts on the intranet to facilitate planning of research and speed processes of procurement etc.
 - Application/registration: To clarify and automate guidance, forms, deadlines etc.
 - Automation of electronic posting of course schedules, contents and requirements, class lists, student evaluations of courses: A system to do this is already functioning in Faculty of ICT.
 - Procurement: design and distribution of procurement tools to allow procurement to be carried out over the web to speed up the entire procurement procedure.
 - Capturing the research output of the university in abstracts and full text for electronic presentation for local and international access

By September 2006:

- Communication: Email listserv in use by SGS for full participant list
- Capturing the research output of the university: DATAD (Database of African Theses and Dissertations) and USDL (Uganda Scholarly Digital Library systems operating in the library. The latter had 54 entries so far, full text/adobe.

4. Self-evaluation

By February 2006:

- Key staff recognized the need for collecting baseline data, and developing Indicators and Methods of evaluation appropriate to the mission of Makerere University
- Key staff recognized need for indicators and methods of self-evaluation to be developed by Makerere University—to reflect research goals of university and evaluation of progress towards those (not a set devised for a other universities in diverse settings with very different goals—see March report 2006 on inappropriateness of standard measures).
- Head of DICTS prepared a draft list of baseline data elements and presented it to Director of SGS.

By September 2006:

- Evaluation approach is to become part of research policy document for Senate
- Director of SGS asked School of Education to develop a tool to capture the baseline data identified by Director of DICTS
- Steering Committee will review tool, then baseline data will be collected and sent to Senate
- Director of SGS has identified a consulting group that can assist in organizing a self-evaluation system for Makerere University's research activities (within the Sida collaboration, and beyond)
- Director of SGS estimates having a document on self-evaluation by March 2007

5. Research Policy

By February 2006:

- Draft research policy dated June 2004 had been sent to a Faculty Senate Subcommittee to revise and resubmit for consideration in the next few months.

By September 2006:

- Senate made specific requests for additions to research policy, including way in which research will be evaluated, with the benefit of a baseline data set
- Research policy discussions have not yet focused the issues of intellectual property rights

6. Ph.D. requirement controversy (because of the level of tension it has caused among senior participants)

By February 2006:

- Some indication that the Ph.D. requirement was causing difficulties at the Medical Faculty

By September 2006:

- Appointment and promotion policy changed to exempt clinical medical school disciplines from Ph.D. requirement

- Debate over whether to exempt these units in the medical school from the university-wide policy caused great controversy on campus, and among units with varying views
- While the policy has been resolved, tensions still run very high among units with differing points of view

7. Recognition of research achievements

By February 2006:

- Little discussion of need and opportunity to organize more ways to recognize and reward the new achievements—especially to motivate research teams

By September 2006:

- Stakeholders report published, highlighting role of research for Makerere University—makes purpose of recognition for researchers clearer
- President's award during summer of 2006, including many with connections to Makerere University, highlighted the utility of recognizing researchers. Vice Chancellor for Academic Affairs noted this explicitly in our discussions with her.

8. Swedish collaborators, participation and involvement

- Different amount of involvement in different faculties
- Differences in culture, funds from the own university, and willingness to become involved are reasons behind this
- Quality is discussed from all Swedes point of view
- None of the Swedes feels like they are a part of the budgeting procedure of the programme, their suggestions of budgets are cut down and they do not know of whom and why
- Supervision and whom to supervise is a problem for almost everyone
- Nice to be seen and heard, we are the forgotten, used but not seen part of this programme

9. Issues in PhD education

By February 2006

- Initially participants concentrated on program start up issues such as registration
- Thereafter Concept Paper Guidelines and Supervision, PhD committees and Courses were issues discussed
- Discussions were underway about how to balance reliance on supervisors or on PhD committees - for vetting proposals and for assuring students learn research methods and other fundamentals of research - in courses

By September 2006

- SGS plan to reorganise the PhD education
- Planned to create a PhD committee or doctoral committee who should make the guidelines for the concept papers and who should also follow up the evaluations etc. Instead of using the present way of vetting the PhD proposals, there should be an evaluating group of 4-5 persons from the faculty and external evaluating the proposals
- SGS preparing a more planned and strict course curricula that should be included in all PhD program. Today some units have a one year course curricula and 2 years of research. Sometimes there are problems that the courses do not add anything from the masters courses. There is a suggestion from SGS that there should be an catalogue

with courses and the students should have the possibilities to choose from these regularly given courses. The courses should be cross-cutting (many of the courses today are so as well), and the students should get points/credits out of the courses.

- SGS have an idea that the defence generally should be shifted towards a public defence. The general idea from SGS was that students are yielding a lot of benefits from a public defence, but some units will have problems accepting the idea.
- Comments about issues related to PhD education that we heard from various sources.
 - Still there are problems with registration – it takes too long. The problem now has not the SGS or the Faculty; but the problem is to get the receipt that the student fee has been paid (SGS is the body paying the fee for the Sida/SAREC students) from the main building so that it can be given to SGS for registration. If SGS could send a list directly to the registrar office listing those for whom they have paid, this will speed up the process
 - It might be good with a public defence, the problem might only be that it will prolong the time it takes to get a thesis approved. One additional evaluation through the use of opponent etc will increase the bureaucracy and add on the time before the thesis work has been approved.
 - Still there were a lot of comments about supervision, both on the Swedish and Ugandan side. Swedish collaborators mentioned that there is a problem built into the system in which the Swedes are supposed to supervise the Ugandan supervisors to become better supervisors and similarly be collaborators and senior staff both parts. Also there is sometimes a problem of Ugandan supervisors having had to little possibilities to do research recently and thereby also lacking experience doing research. Another problem is the need of both Ugandan supervisors and students to do a lot of consulting and teaching in order to survive. Many at the Swedish side are seeing the PhD students in the present programme as the coming generation that can in the future be the good supervisors.
 - Joint degree was seen positively of many of the PhD students but some of the Ugandan PhD students also pointed out that if they were supposed to take a joint degree then the Swedish side has to put more effort into the supervision and then the Swedish supervisors have to be better paid.

10. Post doc possibilities

By February 2006:

- As Phase I students complete degrees, there is a pressing need to systematize information sharing about post doctoral opportunities to attract collaborators and widen the base of research support.
- SGS had received approval to purchase a database of research supporters and programs
- There are also a variety of open access databases of grants and other resources that could be made use of.

By September 2006

- Still planning to improve web page and databases with such information.
- Students who have defended, have to our knowledge, **do not have? (got) Post doc** possibilities through the Sida/SAREC program or through Makerere University
- Some money is set aside for competitive research pool and where especially post-docs could have special possibility to apply competitively. 45 000 dollars a year is possible research grant from Makerere.

11. GIS, Laboratory and equipment maintenance and repair

By February 2006

- Several units (e.g. the cross-cutting lab located in Biochemistry, Technology and, most recently, Agriculture), have bought new, expensive and advanced equipment to use for research purposes
- In most cases equipment has been or will be installed by the manufacturer and the staff is to be trained to use of equipment
- Most advanced lab equipment requires continuous maintenance and service in order to run properly throughout the anticipated years of service. Each well-functioning laboratory depends upon carefully planned, routine maintenance of every aspect of the lab and equipment - supported by allocation of sufficient funds for this purpose. If maintenance is to be performed by staff within the lab, the relevant persons require training in specific equipment maintenance procedures. Maintenance functions appear to need immediate attention if Makerere University is to get full benefit from major purchases.
- We were concerned about tests of equipment performance, about routine replacement of parts, and about disuse of relatively new equipment that is already in need of service and parts. We saw at least one laboratory on the medical campus where maintenance routines and allocation of resources for spare parts and service appears to function well, at the Infections Disease Institute (IDI). This laboratory offers a possible resource for helping other laboratories to establish maintenance protocols and for staff training (even though IDI it is not a part of the collaboration with Sida/SAREC).

By September 2006:

- Cross-cutting Biochemistry lab get their equipment maintained by one person from Nairobi who takes care of all equipment in whole Uganda, Tanzania and Kenya. A university instrument technician (engineer) would be very good and is needed who could take care of all instrument at the campus.
- HPLC is running smoothly.
- Building has started to be restored and entrance moved.
- Generator was there
- All equipment has been marked
- A book for registration of use of equipment was present.
- Manuals of all instruments were present.
- More people are using the lab but it would be good to have even more collaboration and use of the lab.
- Wireless internet was present in the lab.
- Not very much collaboration between different labs across campus.
- For equipment maintenance at Fac of Tech three technicians and 2 senior researchers have been sent on a training course for equipment maintenance
- Now each instrument has its own maintenance manual and one person is in charge for each instrument
- Several GIS laboratories are present at Makerere. The one set up by Sida/SAREC has the newest and most modern software. But also Environmental Sciences and Fac of Arts/Geography have labs of similar sizes and there is also air conditioning at Fac of Arts GIS lab. Environmental Sciences and Geography has a large number of students doing GIS courses. At present there seems not be any collaboration between the different GIS labs and they do not buy software jointly. Also there are difficulties to book the GIS lab at Fac of Tech since there is no book for scheduling. All times when we have visited the GIS lab has been empty but we were told that when they tried to

book it from Geography it was not possible since it was full. But there is no system to permit booking in advance. There is also no manual beside the one sold together with the software.

12. Import tax payment; achievements and persistent problems

By February 2006:

- Import Tax Payments for equipment arriving at the airport (to avoid long delays in releases) has been an persistent problem since the start of the programme.
- Continuing impasse with the Ministry of Finance over how the government will pay import taxes - to which it is committed in the agreement with Sweden.

By September 2006:

- Letter has been sent to the Ministry of Finance, 23rd March 2006
- Answer saying, “this Ministry will pay the taxes due to behalf of the University with regard to equipment and reagents, where taxes are payable, as a Government contribution”. Thus, the University are advised to submit documents (Bank Payment Advice Forms from Uganda Revenue Authority and Other relevant import documents such as packing lists, Bills and Lading, Airway bills and invoices) to the Accounting Officer of the Ministry to enable her to process payment of the taxes. According to the Director Eli Katunguka it should now take less than 2 weeks to get equipments out of the airport.
- No equipment was at the time for our visit standing at the airport any more.
- Still little experience to confirm whether the process has become easier

Appendix B-2

Faculty Issues

(Limited scope of topics under discussion, especially in September, does not reflect on unit activities; rather it reflects the monitors' concentration on major "persistent problems" and on the special issue of reporting rather than on the full array. We have not intended to repeat here information already in the unit reports.)

School of Graduate Studies (SGS)

By February 2006

- Significant increase in staff (from approximately 10 in 2004 to 24) Important developments in policy/management capacity to coordinate graduate work and research with active Steering Committee of Deans/Coordinators
- Focusing attention on development of supervision skills (workshop held late January 2006 across faculties that moved from scepticism to enthusiasm on the part of many participants—with encouragement to participate reinforced, though not required, by the Vice Chancellor)
- Renewing attention to PhD course curriculum "cross cutting courses"

By September 2006

- Little increase in staff number e.g. new Associate Director for Research
- Letters about procurement
- Participated in organisation of Stakeholders Workshop which gave a very good document and overview over the whole development of Makerere
- Seems devoted to the work of developing Makerere towards a Research University
- Many things are still undone and in the planning stage, e.g cross cutting courses
- Director wants people to come and ask him to fix things

Faculty of Technology

By February 2006

- Has become the centre of excellence in the area for research of energy and energy consumption and has been chosen the pilot in energy consumption
- Advanced equipment now present at the Faculty (not only standing uncleared at the airport) with staff that have learned to use it. The new laboratory, with access to advanced equipment, increases the attractiveness of the environment here for continuous research and engaging new partners in new activities.
- Has the best lab in sanitation within the area. Sanitation policies have been disseminated and are used in policy speeches.

By September 2006

- Participants 30, including 2 post docs. 3 assoc prof have become 7 and 2 more have applied.
- 2 student have defended and become post docs within the program
- Publications have increased 5 times
- First major international conference have been held, proceed published by Elsevier and manuscript internationally reviewed
- People are looking for other funds and applying
- Distance and e-learning have come to stay. Reply in time creates discipline
- Fewer meetings, part of administration over email, increasing transparency and shorter

meetings

- Account update every week for people within the program
- International knowledge, fitting in the globalising world has increased
- New programs for students have been established
- Regional collaborations have increased
- Applied research through innovations goes out to the small scale industry that finds clusters and increases their productivity which increases the national economy.
- Procurements go better but can be even better if possible to make contract with a firm for half a year for supply.
- Letter of credit can be a problem
- The lack of planning was a problem but have improved
- Bureaucratic procedures are still a problem
- Centre for research in Energy and Energy Conservation has been created. Work with small hydro stations, sun and wind etc. Ministry established a forum
- Change all light bulbs to magnetic resonance bulbs lead to an energy reduction of 30%.

Faculty of Agriculture

By February 2006

- Vastly increased numbers of contacts with the community, farmers, stakeholders, industry and politicians. The research results of the program have been disseminated to the community, farmers and stakeholders through a yearly workshop. Around 100 delegates have participated each year and staff at the faculty is commonly contacted afterwards for further advices and suggestions. Also a number of meetings with the private sector have taken place. Furthermore, the results from the program are expecting to generate a new law during spring2006 about waste management.
- One of the PhD-students had won an award at a large international conference in Dublin for the best poster at that event.

By September 2006

- One PhD student defended thesis. Now on maternal leave.
- All new started research and been to Sweden.
- Equipment at airport now on the Faculty
- Annual graduate workshop has been hold supported by Sida/SAREC grants
- Would like timely information about funds and release of funds. Would be good if possible every month and by subprograms.
- Suggest also in beginning of each year a workshop on reporting. The Sida/SAREC spring meeting this year was a catastrophe. They got info the same day that they were supposed to attend and wrote planning documents after the meeting. For autumn meeting they got information 7 august.
- Receipt is a problem.
- Joint degree good but needs more engagement from the Swedes and they need to be better paid.
- Power is a big problem. Why does Fac Agric not have a generator?

Faculty of Social Sciences

By February 2006

- Visible developments in moving from research topics to programs with themes—a major change since 2004

- Well organized planning, in “retreat” with Swedish counterparts, accompanied by an intensive program of coursework for graduate students to start Phase II (in Sweden); and in regular meetings for planning and assessing progress
- Growing involvement in and contributions to research shared with Faculties on campus

By Sept 2006 (focus of comments on financial flows and reporting comes from questions by research monitors specifically about these issues)

- Growing frustration with ways in which uncertainty about Sida-Mak U cycles and release of funds by Sida and SGS confuse researchers—delay research and adversely effect motivation
- Problem effects all faculty interested in research because shortfall from anticipated research funds from Sida collaboration resulted in no new funds for the pool reserved from Sida funds to award small grants to faculty who compete for them. This was the mechanism the FSS had developed to assure Sida collaboration could motivate all faculty, not just those supervising Sida supported Ph.D. students.
- Discussion of these problems became the basis for the new reporting tools to be piloted (See appendix A)

Directorate of ICT

By February 2006

- Continuing rapid development of infrastructure according to University Master Plan for ICT
- Continuing impressive teamwork among staff, now, for first time, including staff pursuing PhD studies within this collaboration
- Clear sense of needs of entire University and strategy to address these (including for stretching resources with a new cadre of interns)
- Major, debilitating delays with procurement

By September 2006:

- Progress from February continues, but:
- Procurement delay created a “huge disaster” as equipment will be outdated by the time it is finally delivered
- DICTS well aware that if equipment is not delivered within the Sida funding period, the unexpended funds could be lost forever
- Director of DICTS working with Uganda’s new Ministry of ICT—on bandwidth in particular

Faculty of Medicine

By February 2006

- Met with full faculty and with 5 research groups; too much content to report here
- See concerns about laboratory maintenance below

By September 2006:

- Focus on special issue: conflict over change in appointment and promotion policy (see Appendix B-1.
- Anticipating a university decision to organize multiple units in “college” structure, first to be a college of health sciences gathering Medicine, IPH, Nursing and other allied health fields within one unit

Faculty of Computing and Information Technology

By Feb 2006:

- A different, and highly dynamic approach to capacity development than in other faculties
 - Increased senior staff capacity through attracting colleagues from other parts of the world, especially those with roots in Uganda, to come on sabbaticals or stays of months to several years to contribute to
 - A new, course-based curriculum for PhD students in which all engage in intensive coursework about how to do research – during the first year (now 25 1st year students enrolled; 5 in previously existing, non-course based program)
 - Innovation in a special unit of the ICT Faculty for software development to meet needs at Makerere University (e.g. web-based system for registering students in electives, online student course evaluation; software development for DSS and much more—often open source software) and in Uganda for use in government and industry. Faculty expect to engage many student interns in this work.

By Sept 2006

- Faculty of ICT has become Center of Excellence for Africa, linking 5 universities in different regions of Africa; Makerere U serves as hub.
- Innovative and aggressive approach to Ph.D. education continues
- New building underway to expand opportunities for undergraduates, MA level students as well as generating a larger pool of candidates for Ph.D. (now 5000 undergraduates and 500 graduate students)
- New “e-learning” approach undertaken where invited faculty guests from campuses in other parts of the world engage with Makerere University students and then continue to work with them as informal supervisors—through e-learning relationships.
- More visiting faculty on sabbatical have joined Dean’s team to coordinate activities, increase presence of senior, experienced faculty on campus while Makerere University trains a new generation of potential faculty to take up senior academic and administrative responsibilities.

Planning and Development Department (PDD)

By February 2006

- Looking for ways to integrate management of research resources from multiple sources into a more efficient process across the campus
- Engaged a local consulting firm to review all reporting forms and recommend opportunities to streamline. [Report due to arrive in advance of meetings: 28 March 2006 Steering Committee, 3-7 April meeting with Sida/SAREC, and of “Stakeholders” in late April.]

By September 2006

- PDD coordinated a faculty group that drafted the “Stakeholder’s Report)—a very impressive document that summaries the research goals and activities on campus in a dynamic way that represents the university very favourably
- The approach in the Stakeholder’s Report has become a foundation for continuing strategic planning across the university—with a greater concentration on the role of research than before

- Report from consulting group nearly complete
- Architecture of consolidated reporting system based on draft report and discussions with planning department does not seem to have crucial components for facilitating research reporting (planning, activities implemented, and finances) that are central to discussions with all units in the Sida collaboration (see text of this report)

Institute of Public Health and Demographic Surveillance Site

By February 2006

- Launched the Demographic Surveillance Site
- Completion of baseline survey through reporting results back to participating communities; start of first follow-up round with all 12,000 households in baseline study
- Alerting research colleagues to the opportunity to collaborate with this facility in the Iganga/Mayuge districts.

By September 2006

- Collaboration with KI on administrative/financial management in development—with hope that it could facilitate procurement and other operations that currently impede research
- Special discussion of first public thesis defence (Dan Kaye) discussed with pros and cons as a potential model for Makerere University (see Ph.D. issues below)
- Demographic surveillance site attracting funds to contribute to its support

Mass communication in Faculty of Arts

By Feb 2006

- Former Head, Nasanga Goretti Linda, returned as coordinator
- Building PhD program on another Sida supported initiative on environmental journalism
- Completed baseline study of media coverage of environmental issues
- 2 Ph.D. students identified (Nakiwale Aisha Sembatye (Aisha)) and William Tayweebwa

By Sept 2006

- New leader for Mass Media/Sida collaboration appointed in April, Peter Mwesiga (formerly an editor of the Monitor)
- Revised proposal to Sida, expanding focus to include Media & Democracy and Policy, Law & Regulation along with Environmental issues
- no response yet from Sida, thus activities not yet underway
- Previously identified potential PhD students not in program; now hoping to enrol master students
- Communication slow between Sida and SGS and Mass Media not adequate yet to launch this program
- Faculty officially 14; actually 12 (2 unfilled); 22 part time lecturers from industry, 400 undergraduate and Master's students in day and evening programs

Central Library

By Feb 2006

- Launch of electronic catalogue, including 140,000 titles (entered by 23 library students in one year, when anticipated to require three years to complete).
- Take part in the establishing of internet databases, such as Uganda Science Digital Library in which Faculties and researchers can publish printed matters (e.g. the abstract book of the Sida/SAREC supported small faculty grants from Faculty of

Agriculture), and DATID in which East African thesis titles and abstracts are published

- Major worries about sustainability of e-subscriptions after Sida/Carnegie/Norad funds no longer available
- Forming a Ugandan consortium to share subscription costs among 15 campuses—unclear how many will be able to pay, what will happen on Mak U campus if consortium does not meet the budget
- Major procurement problem with circulation equipment
- Interface problem with SMART card
- E-learning work with undergraduates going well—learning to search using Google, then e-journals

By Sept 2006

- Concerns over sustainability of e-journals continue
- New building in progress as result of university decision to concentrate on a few
- Thesis not yet in Africana but searchable on the local net and they can be asked for and got from the main librarian in Africana. Thesis from later years not yet in book of collection of thesis.
- ?D space with thesis and dissertations, articles not published and conferences. Searchable through internet
- Policy of publishing the whole thesis, not done yet
- Catalogue conversion – Manual records are in their way into electronic.
- DATAD – 10-11 Universities in Africa. Only abstracting. Input data a little by little.
- 8 satellite libraries should come together into one library
- Requested to graduate school to get a hard copy and a soft copy of the thesis

Gender Mainstreaming in Academic Registrar's Office

By February 2006:

- Another new participant for Phase II, this unit recently achieved commitment from University to support its scholarship program with 10,000UGS per female student (to be paid out of private pay student fees for supporting gender mainstreaming). Scholarship funds now support approximately 100 women students/year, especially those interested in science, who would be financially unable to study as private students.
- Gender Mainstreaming staff seem especially attentive to widening their base of support and to documenting their developmental process to provide evidence for future advocacy for support of women on campus.
-

By September 2006:

- Completed Sexual Harrassment Policy for campus
- Funds for FSI program end soon—so staff has completed sustainability plan for the program, even if at a much smaller size
- FSI enrolled 650 total so far, 300 still in process, just selected final group
- Sida support focus is small % of women eligible for promotion to senior position because so few PhDs
- Eager to know from Sida potential for a cohort after those currently enrolled

Appendix B-3

Monitoring Process: Methods (Table of Contents from March 2006 Interim Monitoring Report)

PRELIMINARY REPORT OF RESEARCH MONITORS
 Makerere University
 Meetings 6-17 February 2006

I. INTRODUCTION

II. PROGRESS FROM PHASE I

- o Achievements
 - o Program-wide
 - o Unit by Unit

III. PERSISTENT PROBLEMS

- o Procurement especially special features for scientific research
- o Import Tax Payment
- o Burdensome character of financial management system – especially for supporting research
- o Research Policy
- o Documentation for Planning and Reporting

IV. NEWER CHALLENGES AND OPPORTUNITIES

A. Examples Ready for Discussion and Action

- o Systematization of Routine Tasks
- o Streamlining of Procedures
- o Self-Evaluation: Baseline Data, Indicators and Methods
- o Greater Recognition for Research Achievements
- o Emerging Issues in Ph.D. education
- o Laboratory and Equipment Maintenance and Repair

B. Strategies and Mechanisms:

1. Articulated by Makerere colleagues:
 - o Enhancing Research Coordination: Makerere University's Sida/SAREC Steering Committee
2. Additional opportunities we learned about through our meetings
 - o Varying Approaches to Research Capacity on campus to compare

V. QUESTIONS FOR FURTHER EXPLORATION AND DISCUSSION (at Makerere University and with Sida)

APPENDICES:

- A. Research Monitoring Plans for 2006-2009
- B. List of Documents Consulted (and those anticipated by September 2006)
- C. List of Participants Interviewed

D. Comments on Activity Plans

E. New Draft Reporting Form Prepared by a Research Supervisor, Faculty of Medicine

Appendix B-4

People Interviewed at Makerere University in September 2006

September 2006 Makerere University (*pf only—Eva to add, and another list for Swedish collaborators separate from this one?*)

Monday, 4-8 September 2006

Central Administration:

Prof. Livingstone Luboobi, VC (6 September)
 Prof Lillan Tibaternwa, Deputy VC
 Matia Kagimu Kabuye, Planning and Development Department, Director (*twice*)

School of Graduate Studies:

Prof. Katunguka-Rwakishaya, Director (multiple meetings with all)
 Dr. Christine Dranzoa, Deputy Director
 Mrs. Mary Nakyewa K, Administrator/Accountant
 Harriet Katbanda

Faculty of Social Sciences

Dr. Edward Kirumira, Dean, Social Science
 Dr. Charles Bwana, Deputy Dean for Research
 Assembled supervisors and Ph.D. students

Directorate of ICT

Eng. Dr. Francis F. Tusubira, Director, DICTS

Faculty of Medicine

Prof. Nelson Sewankambo, Dean, Medicine
 Assoc Prof Elly Katabira, Medicine, Coordinator
 Dr. Fred Kironde, Senior Researcher, Biochemistry
 Dr. Moses Joloba, Senior Researcher, Molecular Biology

Central Library

Dr. Maria Musoke, University Librarian
 Miriam Kakai
 Deputy librarian

Faculty of Computing and Information Technology CIT (September)

Dr. Venansius Barya Baryamureeba, PhD,

Institute of Public Health and Demographic Surveillance Site

Dr. Fred Wabwire-Mangen
 Dr. Stefan Peterson, Visiting Professor from Karolinska Institute

Faculty of Arts and Mass Communication

Peter Mwesige

Gender Mainstreaming (Division of Registration's Office)

Evelyn Nyakoojo, Senior Assistant Registrar

Frances Nyachwo, Senior Assistant Registrar

Susan A. Mbabazi, Senior Administrative Assistant, FSI Desk Officer

Joyce Hayoko, Accounts Assistant

Hilda Mukisa, Assistant Registrar

Faculty of Technology

Dr Barnabas Nawangwe, Dean and Coordinator

Faculty of Agriculture

Dr Johnny Mugisha, Senior researcher

Justine Nambi

PhD-student Alice Amoding, PhD-student

William Ekerere, PhD-student

John Baptiste Tumuhairwe, PhD-student

Peter Walekhwa, PhD-student

Appendix B-5

Swedish counterparts interviewed by Eva Johansson, Summer 2006

Mikael Amelin, KTH
Gerard Bax, Uppsala Universitet
Bertil Egerö, Lunds Universitet
Barbara Ekblom, SLU
Margareta Espling, Göteborgs Universitet
Elisabeth Faxelid, KI
Ulf Isacson, KTH
Sven Hoffner, KIRT
Per Erik Jansson, KTH
Annika Johansson, KI
Rolf Johansson, KTH
Stefan Jonsson, KTH
Håkan Jönsson, SLU
Gunilla Källenius, KIRT
Stig Ledin, SLU
Erasmus Ottabong, SLU
Lennart Söder, KTH
Göran Tomsson, KI
Lena Trojer, Blekinge Tekniska Högskola
Petter Pilesjö, Lunds Universitet
Allan Rohde, Uppsala Universitet
Dick Urban Vestbro, KTH
Björn Vinnerås, SLU
Mats Wahlgren, KI
Richard Wait, Uppsala Universitet
Inga Britt Werner, KTH

Appendix B-6

Documents Reviewed

- Final Report of the Harmonised Reporting System, May 2006 (still undergoing revisions in September 2006)
- Partners in National Development, 26 April 2006 (the stakeholders' report)
- Reporting Format, Carnegie Corporation of New York (*supplied to us by Planning and Development Department*)
- Examples of the “logic model” reporting format, also from Carnegie Corporation, (supplied to us by SGS/Katunguka)
- Strengthening Research Capacity at Makerere University, Proposal to the Carnegie Corporation of New York by School of Graduate Studies (SGS) Makerere University, Kampala, March 2006
- Annual Progress Report for the Sida/SAREC Research Cooperation with Uganda Sida/SAREC- Makerere University Bilateral Collaborative Research Support Programme
- Progress Report of Activities under Sida-SAREC/Mass Communication Department Project Jan-June 2006
- Annual Progress Report, Makerere University, Gender Mainstreaming Division
- Activity plans from each unit (the ones we did not get in February)
- Makerere University Research Committee—baseline data list by Tusubira
- 15 March 2006 letter from University Secretary, Sam S. Akorimo to Prof. Ekatunguka Rwakishaya on Payment of Taxes on Equipment under Sida/Sarec Makerere University Program—accompanying Letters from Prof. Ekatunguka Rwakishaya to Mr. Muhakanizi, Deputy Secretary to the Treasury, Uganda
- Makerere University Policy on Appointment and Promotion of Academic Staff (as reviewed and approved by the University Council at the 106th meeting held 6-7 July 2006)
- 1st Annual Report February 2006, School of Graduate Studies (SGS) Makerere University
- Email-list, Swedish collaborators, Faculty of Medicine
- Draft application to Sida/SAREC for Development of Financial-Administrative System at Makerere

From Gender Mainstreaming:

- Brief on the Mak U Gender Mainstreaming Program to Sida/SAREC Monitoring Team, 7 July 2006
- Development of a Sustainability Plan for Gender Mainstreaming Program and the Female Scholarship Initiative, August 2006
- MaknU Policy and Regulations on Sexual Harrassment Prevention
- The Focus, Good Gender Practices for Development, Volume 3, Number 2, July 2006

**Report of the Research Monitors
Collaboration between Sida/Sarec and Makerere University**

30 October 2007

Eva Johansson & Phyllis Freeman

TABLE OF CONTENTS

Report

- 1.0 Introduction
- 2.0 Methods
- 3.0 Summary of Unit Updates
- 4.0 Reports and Reporting
- 5.0 Evaluation and Indicators of Progress/Success
- 6.0 Summary of Research Monitors Recommendations to Sida

Appendices:

- A. Summaries of site visit meetings and interviews (including schedule and participant lists):
 - 1. Faculty of Technology (pilot unit for reporting)
 - 2. Faculty of Social Sciences (pilot unit for reporting)
 - 3. Faculty of Medicine and Cross-Cutting Laboratory
 - a. Faculty of Medicine
 - b. Cross Cutting Laboratory
 - 4. Faculty of Agriculture
 - 5. School of Public Health and Demographic Surveillance Center
 - a. School of Public Health
 - b. Demographic Surveillance Center
 - 6. Mass Communication
 - 7. Gender Mainstreaming
 - 8. Library
 - 9. Directorate of ICT
 - 10. Planning Department
 - 11. School of Graduate Studies
 - a. Cross Cutting Courses
 - b. Ph.D. theses
 - c. GIS laboratory
- B. List of documents obtained during visit
- C. Summary using new format, Faculty of Technology
- D. Draft Guidelines for completing reports using new format
- E. Workshop Presentation: Guidelines for New Format
- F. Pilot Monitor's report 2004 — sections relevant to evaluation
- G. Draft evaluation instrument: Questionnaire to be completed by Ph.D. students about supervision
- H. Supervision evaluation instrument, *Nature* 2007
- I. Email exchange with President, International Association of Universities/UNESCO, about evaluation

REPORT OF THE RESEARCH MONITORS

1.0 Introduction

1.1 Site visit dates and participants. From 12-26 August 2007, Prof. Eva Johansson conducted the annual research monitoring visit to Makerere University. Prof. Phyllis Freeman assisted from Boston. Jerker Thoraldsson scheduled his annual campus audit for early September 2007.

1.2 Research Monitor Meetings. Johansson met with each participating unit (Faculties or Schools of Agriculture, Graduate Studies, Mass Communication, Medicine, Public Health, Social Sciences, and Technology). She also met with the participating university service units (Directorate of ICT, Gender Mainstreaming, and Library), supporting offices (Department of Planning), and near the end, the Steering Committee comprised of Deans and Coordinators (or their delegates).

1.3 Main topics. In this visit, Johansson concentrated on three topics:

1.3.1 Update since last monitoring visit divided into three components:

- Achievements
- Persistent problems
- New Challenges and Opportunities

1.3.2 Reports and Reporting

1.3.3 Evaluation and Indicators of Progress/Success

In the body of this report we review the methods we used to work long distance, and the substance of each of these topics. We discuss recommendations and next steps in each section as pertinent, then summarize all recommendations in the final section.

2.0 Methods.

2.1 Annual Progress Reports. For the first time, aided and prodded by the School of Graduate Studies, nearly all units provided the monitors with their draft reports (electronically) prior to the first day of interviews. We also received the Activity Plans from March 2007. Johansson and Freeman read these in anticipation of Johansson's monitoring site visit, preparing to work with each unit to strengthen the content and presentation—and to discuss the new format. (Also, for the first time, each unit was aware of the monitoring visits and ready to receive the visitor.)

2.1.1 New format for reporting to Sida. The new format emerged during the research monitors' site visit in 2006, out of discussions with Dean Kirumira of the Faculty of Social Sciences. The monitors prepared a template based on Dr. Kirumira's thinking and shared it with the School of Graduate Studies and several other units. As a result of positive reactions from the School of Graduate Studies and the Faculty of Technology in particular, both the Faculties of Social Sciences and of Technology agreed to pilot its use in preparing

their Annual Progress Reports for the September 2007 annual review meeting with Sida/Sarec. [See Research Monitors' Report 2006.]

2.2 Interviews. Prof. Johansson conducted all of the interviews alone, as Prof. Freeman was unable to travel. Freeman contributed questions and background on the units with which she has worked more extensively. In most of Johansson's meetings with Schools and Faculties, she arranged to meet first with Coordinators and/or Deans, then, in a group, with as many supervisors as were available, followed by a meeting with the available group of Ph.D. students. (See Appendix A.)

2.3 Documents generated by Makerere University. Johansson collected many new documents (see Appendix B for full list) and sent those in electronic format to Freeman.

2.4 Research Monitors' Collaboration and Deliberations. During Johansson's 14 day site visit, Freeman collaborated with Johansson in daily phone calls averaging approximately one hour, and through daily electronic communication in which we exchanged documents, offered suggestions to one another, and edited documents in process (e.g. guidelines for new reporting format, draft evaluation tool for students to evaluate supervisors).

2.4.1 The process. Johansson made extensive notes during each interview. At the end of each day, she discussed the content with Freeman by telephone (Freeman placed all calls.) Freeman made notes during these discussions, and sent these back to Johansson daily. On the final weekend of the site visit, Johansson entered her notes from the visit(s) to each unit into a template prepared by Freeman for this purpose and sent them to Freeman to edit. Near the end of Johansson's site visit, and on the basis of the daily discussions and exchange of documents, Freeman proposed a report outline, Johansson collaborated in finalizing it, and Freeman prepared most of a first draft; Johansson added, edited the substance, and commented before Freeman sent a completed draft to Johansson to review, correct, and send to Sida, accompanied by the Appendices. These contain the many documents Johansson drafted during her site visit.

3.0 Summary of Unit Updates. For unit-by unit summaries, see Appendix A. Each summary begins with the day(s) on which the meetings took place and the list of participants. Appendix B contains the list of documents Johansson collected during the interview process.

3.1. Major achievements-themes. Many more aspects of the program have been formalized or systematized. The curriculum containing cross-cutting courses is in final stages of approval, and both the university research and intellectual property rights policies are close to complete. Ph.D. theses are now available in the library shortly after they have been printed and the GIS laboratory is now operating. Indicators of research capacity and how to quantify these are under discussion and workshops on supervision and other key aspects of capacity strengthening have been carried out. Several units have succeeded in attracting additional, external funds as a result of participation in the Sida/SAREC program. Another indication of improving research culture is the increasing number of applications for faculty research funds.

3.2 Persistent problems-themes. Although it has improved some, procurement still requires more time and steps than in Sweden and other industrialized countries. Many staff and PhD-students, particularly the newer participants in the program, do not understand how to account for research funds; and some procedures seem unnecessarily complicated and time consuming. On time reporting and appearance for meetings remain inconsistent. Power cut offs and limits

to bandwidth persist, though with some improvement since last year. Students in several units noted that supervision by some Ugandan supervisors remains a source of frustration. Insufficient numbers of faculty compounds the supervision problem and interferes with student performance, due to workload.

3.3 New challenges-themes. Transfer of samples back and forth for analyses (between Uganda and Sweden, and Uganda and the Netherlands) are reported to be a challenge in several units, both to get the samples shipped in time and to have them handled properly (on dried ice or with liquid nitrogen that must come from Kenya). The fall 2006 strike posed new challenges. Many PhD-students studying in Sweden find the stipend to be insufficient given housing and food prices there. Given the increasing interest in research, insufficient funds for the competitive grants program to match the growing interest is a new challenge.

4.0 Reports and Reporting

4.1 Draft Annual Progress Reports 2007. Because the research monitors received electronic versions of draft reports from nearly all units prior to Johansson's meetings and interviews, we were able to review and discuss them, and Johansson was able to point out strengths and weaknesses while meeting with each unit. (See Appendix A.)

4.2 Revised Annual Progress Reports for Sida. Revised versions were to be transmitted to SGS by August 28 and forwarded on to Sida by August 31. The School of Graduate Studies sent multiple reminders of due dates to units this year, with better results. (As of this writing, 17 September, Sida has received only four of the revised Annual Progress Reports from SGS.)

4.3 Design versus Content. Our review of the draft reports demonstrated again that some weaknesses in reporting had to do with the scope and layout of the standard reporting format as well as in habits of participants.

4.3.1 Weaknesses in reporting not determined by format. Very few units put *any* information in the final section designated "Financial Report". Johansson found that many did not understand why, when they had accounted in June, they were being asked for budget information in the Annual Progress Report.

4.4 Limitations of standard/old format causing weaknesses in reports. The old format does not function as a tool to help everyone stay current by matching plans to activity schedules, noting activities undertaken, funds spent and progress or results obtained. Only DICTS, Gender and one sub-program in the Faculty of Medicine (Mental Health) even attempted to update budget and expenditures. And each did it a different way, that of DICTS being the easiest to follow. *The new format is designed as a tool for researchers to use as part of managing their own research, matching plans to actual activities and expenditures, step by step—not as a retrospective summary that may seem redundant.*

4.5 Design of new reporting format 2006. Sida initially engaged research monitors in this collaboration out of concern about the usefulness of the reports during Phase I. During the first two years of monitoring, our judgment was that it would be difficult to improve the quality of reports without devising a new form. In 2006, Dean Kirumira of Social Sciences concurred, and guided design of a new format. The Director of the School of Graduate Studies found the new draft to be promising, and in addition to Social Sciences, Dean Nwangwe of the Faculty of Technology agreed to test the new approach for the 2007 Annual Progress Report. (See Research Monitors' 2006 report for initial template and explanation.)

4.6 Advantages anticipated. The anticipated advantages included a visual presentation that would align objectives with activities planned and those actually carried out, provide space for explaining changes between plans and execution, along with an easy to follow display of planned budgets, actual expenditures, and the reasons for any changes.

4.7 Pilot results from Faculties of Technology and Social Sciences.

4.7.1 Faculty of Technology. In her first visit to the Faculty of Technology, Johansson learned that Dean Nwangwe and colleagues found the new format to offer significant advantages, as did Johansson. They agreed that a summary would be particularly useful, as would some changes in layout. Dean Nwangwe developed a template for a summary in discussion with Johansson, and completed a summary together with staff, and Johansson adjusted the format to make it easier to read. (See Appendix C for edited version used in 25 August 2007 workshop.)

4.7.2 Guidelines. It was the Ph.D students at the Faculty of Technology who first requested guidelines to aid them in completing the new form.

4.8 Faculty of Social Sciences. As Johansson's first meeting with the Faculty of Social Sciences occurred before Dean Kirumira returned from a leave of several months, supervisors and students had completed draft reports using the old format rather than the new one. The Associate Dean Charles Bwana and Johansson agreed to discuss the reporting format again when Dean Kirumira returned a few days later; and to hold a workshop for supervisors and staff in which Johansson could present guidelines for completing the new forms to lead participants through preparation of Annual Progress Reports.

4.8.1 Guidelines and reporting workshop. Johansson immediately drafted guidelines (see Appendix D), sent them to Freeman for editing, then on to the School of Graduate Studies. Johansson prepared a presentation on the guidelines (See Appendix E) for a workshop on Saturday, 25 August 2007, where deans, supervisors, and Ph.D. students from the Faculty of Social Sciences met. Johansson guided them through her presentation and participated in discussions with them that continued through lunch.

4.9 Adoption of new format for all units to use for report in 2008. Discussions between Johansson and senior staff at the School of Graduate Studies (Drs. Eli Katunguka, George Nasyniama and Maria Nkayewa) further encouraged a rapid transition to the new reporting format. Johansson discussed the new format with most units during her two weeks on campus and found them to be interested in switching to it (see Appendix A). On Thursday, 23 August 2007, when Johansson met with the full Steering Committee, there was general agreement to make this change.

4.10 Recommendation to Sida. As Sida will receive 2007 Annual Progress Reports from the pilot units in the new format, and from others in the standard/old format, this comparison should provide a good basis for analyzing the advantages and disadvantages of these two approaches. On the basis of our reviews of the draft reports in August 2007, and of Johansson's experience with unit participants, the School of Graduate Studies as the coordinating body, and deans and coordinators at the Steering Committee, we recommend that Sida adopt the new approach to reporting.

4.10.1 Improvements. As it is likely that Sida staff and Jerker Thorvaldsson will have insights to improve the new format, we suggest that everyone review it carefully, discuss it at the September 2007 Annual Review Meeting to improve and adjust the template. As discussions with the monitors at Sida on 17 September 2007 already indicate, it will be useful to encourage some sort of narrative to accompany the table; and it will be useful to develop guidelines for narrative portions of the report.

4.10.2 Agreed minutes from Annual Review 2007. It may be particularly important to clarify expectations within units, and between units and SGS (and, if needed, specified agreements that might be made at the Steering Committee) about what achievements can reasonably be made in reporting timeliness and content during the next six months (prior to the spring meeting with Sida), and in the next year (prior to the fall Annual Review 2008). If such steps can be specified and appear in the Agreed to Minutes from the September 2007 meeting, it can form the basis for setting expectations and monitoring improvement.

4.10.2.1 Examples of objectives for improvements might include:

The new reporting format can be used as a tool to encourage matching of activities to expenditures. For this purpose, agreeing to regular, internal reviews of research activity and expenditure reporting is necessary. (The purpose here is to encourage all participants to use the new reporting format as a tool. Those at Makerere University still need to decide when each unit would make the transition, and how frequently each participant would add to his or her report. There also would need to be a decision about how to integrate this aspect of reporting with the financial reporting.) *[What would be appropriate intervals during a transition to the new template/system? Monthly for Ph.D. students and supervisors; quarterly with Coordinators and twice a year with SGS? How to integrate this with the quarterly responses to SGS that units are now to complete on financial reports SGS sends to units monthly?]*

4.11 Next steps. Next it will be appropriate to align the Activity Plan format with that for the Annual Progress Reports and with the quarterly responses from participating units to SGS to the monthly accountings now supplied to Deans and Coordinators by SGS. *[At best this will include training and involvement of those to be designated as “research managers”.]*

4.11.1 Mid year review of Activity Plans. If Sida and Makerere University colleagues agree that all units will change to the new format for the next round of reporting, the logical next step is to consider how the Activity Plans, the planning process, and accounting by units and SGS, and incorporation of “research managers” can be aligned with it. As there was no time during Johansson’s August visit to explicitly discuss Activity Plans or how a new Research Policy may be implemented, Sida may be able to take up some aspects of this in conjunction with financial reporting and reallocations during the September 2007 Annual Review; then Freeman could take next steps in a campus site visit in February, preceding the spring 2008 meetings between Makerere University participants and Sida staff.

4.11.2 Annual Progress Reports 2008. If Sida and Makerere University participants decide to move to the new reporting format, the 2008 reporting would amount to the first full scale test of the new approach. We would urge Makerere University colleagues to begin to use the reporting process as a tool for regularly managing research and research funds, given that a central purpose of the new reporting format is its potential for constant updating of plans, activities completed, and expenditures (and changes in these), to stay abreast of research activities. Then in our annual monitoring visit in advance of the

September 2008 Annual Review Meeting with Sida, we would work with Makerere University colleagues to evaluate the new reporting process and format (including clarification of desirable narrative portions) in order to adjust and improve both.

5.0 Evaluation and indicators of progress/success

5.1 Monitors' initial recommendation for self-evaluation at Makerere University 2004.

In our first report to Sida in 2004, we recommended that Makerere University and Sida pursue an approach to evaluation commonly known as “self-evaluation”. [See *Report of Pilot Monitoring Team, Makerere University Research Capacity Development*, Section 4.4 Formal Evaluation: Options and Choices for Sida/SAREC and Section, and, Section 4.5, Our Recommendation: Base ongoing monitoring, and ultimately more formal evaluation, on a self-study model of Makerere University programs of research and doctoral studies; and Appendices G and H to that report.] We have appended these parts of the earlier report to this document as Appendix F (Pilot Monitor's report 2004 — sections relevant to evaluation). An observation we noted there continues to be true: There is no consensus, even among methodologists, about how to evaluate “research capacity strengthening” in developing countries.

5.1.2 Progress toward self evaluation since 2004. In the years since 2004 at least one member of the Makerere University senior staff (Dr. Tusubira) proposed a set of baseline data about research and research capacity to the director of the School of Graduate studies. And discussions took place about utilizing the experience of Dean Kirumira of the Faculty of Social Sciences to pursue self- evaluation at Makerere University in a workshop or other activities.

5.1.3 Newer, broader impetus towards evaluation at Makerere University. Several notable advances have taken place at Makerere University, independent of the collaboration with Sida/SAREC.

5.1.3.1 Carnegie Corporation support for training/Planning Department at Makerere University. Carnegie has supported development of capacity for evaluation on campus as well as research management. The Planning Department made use of this support to send 5 staff to an intensive course on methods for evaluation of university programs (See Appendix A.9 for more about training.)

5.1.3.2. New Strategic Plan. The Chair of the Strategic Planning Committee (Dean Edward Kirumira) reports that evaluation is likely to be a pillar of the new, ten-year, strategic plan that is currently under development by the University. The call for evaluation may be very broad, encompassing all academic programs, as well as support activities of the university, such as financial operations. The new plan is likely to be published in November, and to be available for the Commonwealth Business Forum (at which Makerere University will seek cooperation and support with the business community.)

5.1.3.3. Almost complete Research and Innovations Policy. The latest Draft research policy (dated July 2007 and marked “limited distribution”) incorporates the aim to “strengthen research capacity and output at Makerere University, hence to improve the visibility of Makerere as a leading research led university in the region. This will be achieved through strategic objectives shown in Section 3.0.” The objectives (See Sections 3.0) imply the need for evaluation of progress—across the university, as do the “Guiding Principles” in Section 4.0, including Section 4.2 (Strengthen research management and coordination) which specify a set of activities

that might be monitored as part of evaluating progress—once a research policy is approved. (We have no information yet about the status of plans for implementation, including the collection and analysis of data noted or implied in the draft research policy.) Throughout this draft policy it is clear that the University Research Council and the School of Graduate Studies are designated as key players in establishing a research agenda, encouraging and supporting progress for Makerere University to meet the aim noted just above (including allocation of overhead as well as tasks), and ultimately, to determine how to monitor and assess progress.

5.1.3.4. Almost complete Intellectual Property Management Policy. This draft policy (June 2007) also features “Guiding Principles”, including development of a database to capture all research activities, and requiring all researchers to maintain records of their findings to be submitted to the Intellectual Property Manager for each unit through one’s supervisor/Head of Department. The draft calls for the process to be developed by the University Research Council. As the process anticipated in this policy appears parallel to the reporting tasks required by Sida, and probably by those of other external funders of research at Makerere, it is another logical focus for Makerere University to advance a unified approach to reporting *and to evaluation of progress*.

5.1.3.5. Pilot program: evaluation undergraduate faculty. The Deputy Vice Chancellor for Academic Affairs has organized a pilot program for evaluation of faculty teaching undergraduates. So far, instruments for students to use have been developed, and are in testing at several faculties including, at least, law, social sciences, and education. A team of 3rd and 4th year undergraduate students is enthusiastically involved, including some from the Faculty of Computing Sciences who are committed to making the evaluation amenable to on-line completion by students.

The Faculty of Computing Sciences is testing a system to allow students to access their own examination results more quickly than would be possible using the current system on paper—as an incentive to engage students in evaluating courses. This Faculty’s Exams and Academic Programmes Coordinator notes that students can, in this way, play a crucial role in improving the quality of their education. (The Faculty of Computing Sciences hopes to test the system tailored to their courses at the end of this fall semester.) This group helped the Academic Registrar’s office to prepare a more generic, University-wide system that will need to incorporate hundreds of courses—a big challenge. The pace depends in part on uptake of ICT by students in each unit. Once the system is operating, there is discussion of expanding to include graduate programs, research and supervision. This could allow the School of Graduate Studies to track student progress.

5.2 Discussion of participants in Sida/sarec program about initiating evaluation by focusing on supervision. The monitors agreed that Johansson would discuss the topic of evaluation in general in her meetings with each unit in August 2007, and then focus on participants’ views of what indicators of success or progress would be useful for evaluating supervision, as this is the core of the capacity strengthening strategy build into this program.

5.2.1 A gap in information about supervision. During meetings with deans and coordinators, faculty supervisors and Ph.D. students, Johansson observed that the deans and coordinators, and often supervisors themselves, did not regularly learn the views and concerns of the PhD students about supervision and related topics.

5.2.2 A sample instrument from Sweden. Thus, Johansson offered as an example, an

instrument used by her faculty of Landscape Planning, Horticulture and Agricultural Sciences at SLU. It is a questionnaire filled out by PhD students to educate everyone about students' perceptions of supervision and how it affects their progress. In Sweden it allows the faculty to learn about, and address student concerns in order to improve graduate education.

5.3 A draft version of the Swedish questionnaire adapted for Makerere University.

Johansson took the first step in adapting this questionnaire from Sweden to the Makerere program. (See Appedix G.)

5.3.1 Discussions about the draft questionnaire for graduate students. Johansson shared the draft questionnaire with a number of the units (those with whom she met after preparing it), with the senior staff of the School of Graduate Studies, and with a member of the DICTS senior staff, and, ultimately, with the Steering Committee.

5.3.2 Evaluation of supervision by supervisors. There also appeared to be significant interest from Makerere University participants in a number of units as well as from the Steering committee in developing an instrument to engage supervisors themselves in evaluation of supervision, especially to learn if supervisors' skills at this task are improving, how and why.

5.4 Discussion of Evaluation and the Draft Questionnaire

5.4.1 Discussion with the Steering Committee. Johansson ultimately discussed evaluation in general, and development of instruments for evaluating supervision in particular, with the Steering Committee. The Steering Committee endorsed the idea of having graduate students evaluate supervision (not individual supervisors so that the identity of students can remain confidential—see draft instrument in Appendix G). They also indicated interest in development of a tool for supervisors to join in evaluating progress in supervision as a key to research capacity. The Steering Committee decided that the draft questionnaire would be sent to all members, so all could comment before a Makerere University version would be submitted to Sida for further discussion. (To date, Johansson has not received additional comments from members of the Steering Committee.)

While meeting with Johansson earlier and also at the meeting of the Steering Committee meeting, Apolo Kyeyune, the representative from DICTS to the Steering Committee, made a number of suggestions about the instrument, and about a process for administering it at Makerere University. Apolo Kyeyune, had earlier stated to Johansson his willingness to become actively involved with further development and use of such an instrument. Apolo Kyeyune is one of the five staff for whom the Planning Department had arranged participation in an international course. (See Section 5.1.3.1 above and Appendix A, Sub part 9 on Planning Department.) Thus, Johansson and Kyeyune discussed the possibility that the Planning Department might administer such evaluation of supervision, and analyze the results.)

5.4.2 Discussion with the School of Graduate Studies. Senior staff of the School of Graduate Studies seemed to think it was a good idea to make use of those who had attended the evaluation course in possible evaluation of supervision.

5.4.2.1 Process. Along with the School of Graduate Studies, it is the Steering Committee that can elaborate a process for evaluation of supervision, taking account the other evaluation initiatives ongoing on campus. (See See Section 5.1.3 and subparts above.)

5.4.2.2 Evaluation of supervision by graduate students. As this is a process undertaken by thousands of universities around the world, Makerere University may want to gather and consider a variety of instruments in use elsewhere based upon variations in how universities characterize and prioritize their objectives, approaches to evaluation, evaluation philosophies and the range of instruments that have emerged based on these differences. (It will also be useful for all involved to compare tools for evaluating graduate supervision and courses, with those under development for undergraduate courses.)

5.4.2.3 At a minimum, the steps include deciding:

- who will complete development of the instrument (a questionnaire) ?
- who will review and approve it?
- when and how it will be administered?
- whether the Planning Department (or some other entity) will collect, maintain, analyze the data, and report the results?
- to whom, and how, the results will be reported?
- How can these efforts focused on graduate education reinforce the growing efforts to evaluate undergraduate academic teaching and programs as well?

5.4.2.4. Evaluation by supervisors. The steps are similar. Here it may be useful to review the instrument offered by NATURE in a special guide to mentoring and supervision (NATURE 447:791-797, 14 June 2007—in Appendix H)

5.5 Recommendation to Sida.

5.5.1 Encourage systemization and a university-wide approach. Encourage inclusion of evaluation of graduate programs and research to become part of ongoing, university-wide efforts to develop a system of evaluation within Makerere University of all of its programs. combining initiatives of the University's Strategic Planning Committee, the University Research Council, the Planning Department, the work already underway under the auspices of the DVC of Academic Affairs.

5.5.2 The role of SGS: to lead and coordinate. Encourage the School of Graduate Studies to engage the Sida/Sarec program Steering Committee in taking leadership to develop evaluation of graduate programs and research as the university moves forward under a new Strategic Plan, with newly developed policies on “Research and Innovations” and Intellectual Property Management”, and after a pilot program with evaluation of undergraduate teaching. *[It is not clear from the draft policy on Intellectual Property Management where the proposed new entity—an Intellectual Property Management unit (IPMU) is to be placed within the University structure—though the University Research Council is to create a technical committee to assist in implementation of the new policy—so we should watch for how this will work—as functions overlap with Sida's interests in reporting, capturing university-wide data, and evaluation—see especially Section 3.2 of this draft policy—which includes Section viii:” build an impact evaluation method in the distribution processs”—of IPR/innovations.]*

5.5.3 Collaborate with other supporters of research, graduate education and program evaluation at Makerere University. Sida is in a good position to work with other organizations investing in strengthening of research capacity and graduate education at Makerere University (Carnegie Corporation, Norad, etc.)—and to discuss the potential for advances in evaluation with the School of Graduate Studies and Steering Committee in particular at the upcoming Annual Review meeting.

5.6 Next steps. Sida program officers can discuss evaluation in relationship to reporting activities and expenditures at the September Annual Review meeting, and agree on next steps for moving the process of self-evaluation of research capacity and graduate programs forward. (As it is likely that the overriding concern about financial reallocation will consume much of the discussions, Sida may wish to delegate to the research monitors learning more about the University Research Council and its role in determining how the new policies on research are to be implemented, including the roles of SGS, unit Deans and Coordinators, new research managers and researchers.)

6.0 Summary of Research Monitors' Recommendations to Sida.

6.1 Reporting. Review the proposed, new reporting format, guidelines and timetables with Makerere University colleagues and Swedish counterparts at the upcoming Annual Review in September 2007—and suggest improvements, changes—especially those that may enhance financial reporting and rapid reallocation of Sida funds at Makerere University. Agree upon a timetable for the transition to the new approach. Discuss what narrative might accompany the template Johansson has already reviewed with all campus units, or delegate this step to the research monitors.

6.2 Evaluation. Work with SGS and the Steering Committee to encourage development evaluation of graduate programs, research capacity and research; work with Carnegie, Norad and other sources of external support for graduate education, research capacity and research to coordinate the efforts related to the Sida program with those across campus. Coordinate all with activities in the office of the University Research Council, the DVC for Academic Affairs, the Office of the University Registrar, the Planning Department and the University's Strategic Planning Committee.

APPENDICES: PART A

Summaries of site visit meetings and interviews (including schedule and participant lists):

1. FACULTY OF TECHNOLOGY (pilot unit for reporting)

Date of Visit: 14 August 2007

People involved in interview:

- Barnabas Nawangwe, Dean, dean@tech.mak.ac.ug
- Tugume Alexis, helps to coordinate program
- Henry Amany, accountant
- John Baptiste Kirabira, jbkarabira@tech.mak.ac.ug
- Izael Pereira Da Silva, idasilva@tech.mak.ac.ug
- Mackay Okure, mokure@tech.mak.ac.ug
- Joseph K Byamhanga, Gatsby@tech.mak.ac.ug
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- Sandy Stevens Tickodri-Togboa, stogboa@tech.mak.ac.ug
- J B Turdagenda, Jbturge, tech.mak.ac.ug
- J B Abraham muwaguzi, PhD-student
- Salome Kweyunga, PhD-student
- Moses Musinguzi, PhD-student
- Lilian Namuganyi, PhD-student
- Richard Iumba, PhD-student
- May Namutebi, PhD-student
- Assumpta Nnaggenda-Musana, PhD-student
- Al-mas Semdegeya, PhD-student
- Mazzi Lydia, PhD-student
- Peter Lating, PhD-student
- Henry Alinaitwe, PhD-student
- Peter Olupot, PhD-student
- Joseph Ndemei Arineitwe, PhD-student
- Robinha Kulabako, PhD-student
- Geofrey Bakkabulindi, PhD-student
- Charles Daniel Otine, PhD-student

Update on major changes since last visit:

A. Accomplishments

- **Equipment.** Labs were in a sorry state, with only old and obsolete equipment. Now these are much better.
 - o Cross cutting GIS laboratory has now been established. It is open for everyone and most easily accessible for faculty.
 - o The infrastructure department (roads) have bought equipment.
 - o The water unit within Technology has bought new equipment so now they have reached the same level of sophistication as national water lab; thus the

Technology faculty are now able to do consulting work for the ministry. The equipment is intended mostly by faculty but students can also use the equipment. Also, other programmes outside Sida/SAREC can use the equipment to carry out research.

- **Improving Culture of Research.** The Sida/SAREC programme has helped to improve the culture of research. Previously specimens had to be transferred to Tanzania, Dar es Salaam, or South Africa. Now possible to do the experiments entirely at Makerere University.
 - o Purchase of more student lap-tops means that the students no longer rely on access only through computer labs and can work anywhere.
 - o ICT has benefited the faculty a lot. This faculty is a big user of ICT, some years ago it used 80% of the ICT at campus.
- **Procurement of equipment.** As the rules at the ministry have changed, the procurement problems are fewer, at least for the moment.
 - o Only once did a clearing agency not release new equipment that had arrived at the airport. [The clearing agencies pay the tax for the equipment to the airport and move the equipment out from the airport and store the equipment in specific places. Then government pays (or possibly Makerere first and then Mak U is re-paid by government). Then equipment is released to Makerere. This procedure normally works quite well since it started 1.5-2 years ago. But during the last year or half a year, once a clearing agency said that Mak U had not paid and thereby they did not want to release the equipment.]
- **Space.** Space has been a problem, but now a new building will double the space at the faculty, anticipated to be ready by February 2008.
 - o Lecturers and staff will move to new building.
 - o Labs and seminar rooms will remain in the old building.
 - o Asked Sida for a loan to revamp the labs. Sida wants Makerere University to reallocate funds for this purpose—relying upon the Steering Committee to agree on how to use money already on campus before any new funds will become available.
- **Publications.** Rate is now rising; it has reached at least one publication a year for senior scientists. Together they have published 10 papers. Conference presentations appear to have increased by a factor of five. Everyone, senior scientists and PhD-students, knows everyone must publish, but few manage to have papers accepted in highly ranked, international journals.
- **Engineering and technology conference.** This faculty held a conference on advances in engineering and technology. The papers were peer-reviewed and published in a conference book by Elsevier. **This is a major break-through as this faculty published 30-40 papers in the conference book based on conference presentations.**
- **Upgrading annual meeting to conference.** This faculty used to hold an annual meeting for collaborations about innovation systems. This year the Faculty of Technology will transform the meeting into a conference. Now they are calling for papers. The conference will take place in December 2007.

- **Uganda as successful as South Africans.** In a conference last year about construction and management, all delegates were South African and Ugandans. The Ugandans have been equally successful in this area as the South Africans.
- **Increasing publication rate of young scientists.** This faculty intends for the young scientists, especially, to publish very much more than their predecessors, and for their publications to be much more visible inside and outside Makerere. This expectation is another example of a very positive change in the research culture.
- **Ph.D. student progress.** (Now 24 Ph.D. students and two post doctoral fellows from Phase I group of students—this includes students in the Sida/Sarec supported program for technology in East Africa.)
 - o Phase I students. Of the first six PhD-students, 2 have defended, one dropped out, 1 has completed the final seminar, one will defend in November 2007, one will defend in October 2007, and, one who started late will defend in mid next year. The first two defended in Sweden. Sida was not satisfied with that location; now KTH has a memorandum of understanding with Makerere University, thus KTH supervisors will benefit from having the students although they are defending at Makerere.
 - o Phase II students. They are doing well. Some started late. The late starters will not have completed their doctorates by the time Phase II ends. However, this faculty will take responsibility for these students to assure their completion. Two have dropped out, one did not appear to begin the program, the other one is not ready, having not yet completed the Master's degree yet, this one will be too late also.
 - o Also in Phase II, there are two post-docs, the two who defended their theses in Phase I.
- **Scholarships for students visiting Sweden.** The student scholarship for work in Sweden has improved. These are paid directly now by Swedish Institute. Previously the students received the stipend money before they left Uganda, and often they were robbed or lost their money. Also, those students had to pay a currency exchange charge. However, students find amount of money low if the cost for accommodation is high, which it often is in Sweden.
- **Supervision.** Learning how to supervise in collaboration with KTH.
- **Collaboration with Mozambique.** This collaboration in Technology is progressing well. This program is half way through its first phase. Participants are beginning to write joint proposals for joint research. There are 5 regional themes, and each of the universities handles a particular component. Participating universities exchange students and staff. All Aim building centers of excellence. And are eager for scientists to do their research in the best places. At the Makerere University, the center of excellence is for energy conservation and recirculation. (Eva has the brochure about this).
 - o There is an annual conference about innovation systems and innovation clusters – an important aspect of collaboration. Examples of clusters are Metal, ICT and Construction.
 - o Participants have developed and investigated 22 clusters, and these have started to work well. The clusters will be a marker of Uganda's ability to compete. Carnegie wants an application and would like to support one cluster.

- **Faculty funds.** For the first phase the faculty funds were not used so much. Now everyone wants to do research and faculty funds are not enough. Research culture has developed.
- **Staff and staff development.**
 - Tugume Alexis, the project officer is a good help for the coordinator; Technology now has a well-functioning team to help coordinate the program (an accountant is necessary).
 - There has been a staff development: soon the room=unfilled positions can be filled by new PhD holders.
- **Promotions.**
 - New Ph.D. holders. Faculty who were Ph.D. students have been promoted as soon as completed defending their theses.
 - A Swedish supervisor was promoted because of a Ugandan's defence completed in Sweden.
 - Ugandan supervisor at Makerere University promoted.
 - One supervisor on another univ in Ug has been appointed dean partly because of the collaboration.
- **Non-academic collaborations:**
 - Governmental collaborations and collaborations with Ugandan industries have been developed.
 - Local enterprises are asking to use equipment at Makerere University
- **Computer center in Arua.** This computer center is working very well. (Faculty wants to develop similar center in other remote settings but problems with funding.)
- **Chaolin extraction spurs a new company.** One of the PhD-students who has defended worked with chaolin and now he together with Swedish collaborator and PackForsk a small enterprise with research base have started a company to extract the chaolin. (Chaolin is something you dig out from the earth and that can be used in paper production etc and it is quite valuable; and they have found a very rich chaolin source in Uganda with chaolin of high quality.

B. Persistent Problems

- **Procurement.** Procurement is still a problem. There is a law to follow and people do not know how to maintain compliance and still get their equipment, etc. in a reasonable time. They will need to plan better and go to offices in Makerere and move the paperwork forward themselves.
 - The national government promised to pay the taxes, but now the problems are increasing again. It is still easier to procure on the Swedish side and then ship from Sweden—or from the supplier wherever.
- **Band width.** They still have problems with band width. Sometimes it is difficult to load big documents. At least the service is better than it used to be. Also there are problems

with power cut-offs. Because Makerere is a big user of power in Uganda) and pays on time, they have special commitment from the power supplier, so now power is not off so often as before.

- **Field work support delays.** It still takes a long time to get field work money to researchers.

C. New Challenges and Opportunities

- **Funds and timing.** Technology Faculty has overspent its budgeted funds for field work. They underestimated in planning, and some work is ahead of schedule, thus needing additional funds more rapidly than planned. They are on track with spending, but the funds for the current period have not been released.
- **Intellectual Property Rights.** For one of the post-docs, lack of IPR policy has been a problem. The post-doc together with supervisors are trying to raise money from investors and if they succeed, then they must share any income. Thus they are setting up a company—in order to make use of the newly found and extracted chaolin.
- **Student problem.** One student dropped out during the first phase due to health problems. This person has continued with PhD-education but not under this program. The health problem persists, and progress is slow.
- **Supervision.** There have been problems in collaboration between Ugandan and Swedish supervisors, and complaints. Swedes currently do all supervision according to some PhD students and some Swedish supervisors. Part of the cause is that students think that if they are supervised at Makerere University they will be delayed; thus there is little call for supervision by even those Makerere faculty who are ready and willing to offer it. This faculty has developed guidelines for supervisors. Some supervisors do not give the required amount of time. Some problems are ones of perception; sometimes there is a real lack of supervisory skill. For those faculty who are supervising PhD students for the first time, lack of experience is real. Now the SGS study plan is developing. A guide for supervisors and a guide for students are in development, but the new versions conflict in part with existing documents.
- **Courses.** PhD-courses sometimes take place when it is not possible for the student to participate (e.g. if the student is in Sweden or Uganda at the wrong time).
- **Transitions.**
 - o Retirement and replacement of supervisor. One Swedish supervisor has been retired. Will the person coming after him take over?
 - o One experienced lab tech in Sweden has left. Who will help the students?
- **Problems when students are in Sweden.**
 - o Funds. Sometimes the Swedish Institute is not told that the student is coming, then the student must wait for money up to two weeks. Also amount of money is not enough if accommodation is expensive.
 - o Getting accommodation is a challenge. Students are doing booking by themselves from Uganda.

- o Some students commented upon a lower input from Ugandan supervisors than those from Sweden.
 - o Period of staying in Sweden should not be fixed to four months.
 - o Difficult to get medical treatments in Sweden. If you need medical treatment, then you have to pay first and after that get back from insurance.
 - o Visa applications sometimes take long time. Visas should be good for multiple entries. This is possible but you have to explain.
 - o Publication is sometimes a problem since there is no local good journal and international journals do not take papers from this region. But there is plans to start good journal at Mak
 - o Courses sometimes not offered in English.
 - o PhD courses in Uganda are downgraded in Sweden.
 - o To make also a Lic is double job. Difficult with the topic of two thesis so that it would not be similar.
 - o Installation grant still there or not?
 - o Stressed – then not performing.
 - o Most students do more in Sweden in 3 month than in Uganda in 12 month period.
 - o Some students have to do administrative work when in Sweden.
 - o Students have been left out from Sida/SAREC meetings during later years.
 - o Network printers are in supervisors office so cannot print.
 - o Uncertain: Have to defend in Uganda, allowed or not allowed to defend in Sweden?
 - o Need guidelines of how to fill the template.
- **Post docs and funding.** Optimism that those who complete Ph.D.s will have better access to funding, by virtue of being Ph.D holders.

Reports and reporting process

D. Status of written report received for visit (views of Eva and pf)

Good start but there are a lot of question marks and issues to be clarified. Needs a summary.
[Now completed.]

E. Issues raised about reports

1. by unit to Eva/monitor

-Dean and coordinator say template seems useful, they like it.
-Supervisors afraid of filling in the report documents with information about budget and funds used on the Swedish side, since they do not want to account for Swedes use of budget.
-PhD-students – found template difficult to fill, and say they need guidelines. [Eva prepared and distributed a set of guidelines; see summary in Appendix D and of discussion with Steering Committee in body of report.]

2. by Eva to unit

-Eva explained that Ugandans do not account for Swedes if figures for Swedes are placed in the table. Instead, the Ugandans completing the report must get the figures from Swedes, figures for which the Swedes will be responsible.

-Dean Nawangwe and Eva agreed on that summary was necessary—and developed a summary

template that was filled in by the faculty.

2. FACULTY OF SOCIAL SCIENCES (pilot unit for reporting)

Date of Visit: 14 Aug, 16 Aug, 22 Aug, 25 Aug 2007

People involved in interview:

- Edward K Kirumira, Dean
- Charles N Bwana Ag Dean
- Enid N Sajjabi Accountant
- Ebo Obura Assistant Registrar
- Alfred Timko Sem Registrar
- Peter Atenyerega Sub program 3
- Charles B Rwabukwali Sub Program 3
- Grace Bantebya Sub program 2
- Rulanga Mwrindwa Sub program 1
- Frank Mbaaga PhD-student
- Gabriel Jagwe-Wadda, PhD-student
- Sarah Kamyia, PhD-student
- Consolata Kabonesa Sub Program 2
- Fred Bateganya PhD-student
- Rosalind Lubanga PhD-student
- Robinah Musoke
- Murindwa Rutanga Sub Program 1
- Aramanzani Madanda PhD-student

Update on major changes since last visit:

A. Accomplishments

- **Building capacity.** In process of building capacity – this new phase involves 9 PhD-students and 8 supervisors. The program is good, leads to supervision and joint supervision, gives possibilities to apply for more grants. The students and researchers are in the building. Every year one is learning more. Much has been streamlined. Teamwork-working with others is increasing and improving. Students are forming a nice PhD-students body – additional students have been added to the sida/SAREC ones so now 15 students – gives lively seminars.
- **Meetings are enhancing supervising capacity.** Exchanges with Swedish counterparts who come and discuss all, including documents and reporting. Margareta was at Makerere 4 times last reporting year
- **Phase I students.** This group is approaching the end of thesis writing. One of the students from the first phase has submitted his thesis.
- **Participation of Swedish supervisors.** The Swedes have been in the field with the students.
- **Literature reviews.** Eyes have opened up in order to learn literature as the foundation of knowledge for further research.
- **Student registration.** 4 of the new PhD-students are fully registered. Proposals have been sent to the faculty and they have gone to do field work.

- **Workshops.** A number of workshops and seminars have been held, some of them organized by the SGS and some at the faculty. Examples are Methodology, How to write, Workshop for supervisors.
- **Linking students with collaborators.** Program has initiated many links including making use of potential collaborators known to Swedish supervisors. Collaborations with other universities in Africa have been developed. Also, there are increasing collaborations with other faculties within Makerere University, including beyond those in the collaboration with Sida.
- **Publications.** Have increased.
- **New students.** Only one of the new students is late. The rest are moving on well.
- **Senior researchers.** They are doing well – at supervision and on the rest of the work.
- **Spin-off effects of Mak U-Sida program.**
 - Include co-supervision at other universities in USA and Amsterdam.
 - A proposal has been sent to USA to create a center of excellence in HIV/AIDS. CORDEZA is supposed to be hosted at the faculty and the responsibility will be of Makerere.
 - Received funds to participate in a doctoral school at Tromsø.
- **Supervisors.** One supervisor has 8 PhD-students, one of them in Nairobi, thus they are serving the world.
 - Supervisors are interacting very well with Swedish supervisors, the collaboration is very good and joint papers are presented in conferences.
 - Supervisors are elected for different posts.
 - Good supervisors – good relationship – work closely.
 - 2 senior supervisors and 1 PhD-student on each project good – even better if they can overlap even more.
- **Dissemination of research results.** Results from the Sida/SAREC program have been presented at conferences and published.
- **Special recognition.** One supervisor was elected as a world woman leader. Only 30 individuals from the whole world have been so designated, and each will have an opportunity to study at Harvard – Academic mentoring. Women in the academia should be strengthened.
- **Bottlenecks.** These are now being addressed – systems have been put in place.

B. Persistent Problems

- **Cash flow.** Late flow of funds.
- **Accountability.** Academics find it difficult to account.

- **Workload.** Problem for senior people to have time to do teaching, supervising, administration and research.
- **Duration of visits by Swedish supervisors.** The Swedish counterparts should stay longer, the program is often tight, they need to stay 2-3 weeks at a time.
- **Completion.** Phase I students have not finished yet.
- **Student fee.** SGS did not pay registration fee for new PhD-students in time.
- **Vetting.** Takes long time – now it is shorten, only have to wait for positive reply from one of two vetters.
- **Process of admission.** This is long at Makerere – effective date is what is counted for the time used.
- **Weak on deadlines and time frames.** Many excuses, “I did not know/I have not received...” – for buying time.

C. New Challenges and Opportunities

Challenges:

- **Strike.** Because Makerere University was on strike in the fall of 2006, things were delayed.
- **Communications.** Some people at Soc Science are not on the Sida/SAREC mail list.
- **Increase in number of master students.** These students consume a lot of time. Makerere should concentrate on post-graduates and leave undergraduates to other universities.
- **Staffing freeze.** The university is going through a hard-ship – cannot replace people – government wage bill have not increased – this influences the feelings and the mood on campus. At present the lower positions are filled but it is difficult to fill the higher positions – this program is good since it ensures movement upwards in positions.
- **Promotions.** Makerere is not proactive in promotion.
- **Competition with new universities.** Makerere is still living in 1922 – New universities in Uganda hire away the professors.
- **Supervision.** Swedish supervisors do more with the students than the Ugandan supervisors.
- **SGS.** For phase I student that has submitted, faculty has not send letter with examiners, are waiting for letter from SGS – long time.
- **New research policy.** Public defence – public might influence the examiners. Book should first be examined and thereafter public defence.
- **Stipends.** Money not enough when in Sweden, conditions are not good.

New Opportunity:

- **Tracking research and supervision.** Should develop an instrument to track activities on a daily basis.

Reports and reporting process**D. Status of written report received for visit** (views of Eva and pf)

Anticipated new format from this faculty, but report received in the old format.

E. Issues raised about reports**1. by unit to Eva/monitor**

Most of the colleagues have been working with the new format. But they were unsure of how to fill it in, so they also completed the old one and sent that in. Suggested a workshop in which Eva participate and explain how to fill and then everyone will fill and the report to sida will be in the new format. Format is good but need guidelines. [All completed; see body of Monitors' report.]

2. by Eva to unit

Eva promised to take part in a workshop on Saturday 25 August.

F. Next steps to improve**Developing indicators****Suggestions of indicators:**

- Number of publications.
- Number of senior staff.
- Spin-offs – money from other donors – links with other universities – but must be an outcome out of linkages like exchanges, money, applications, joint publications etc.
- Number of PhD-students
- Type of equipment – no of computers
- Faculty should have a workshop discussing this. There is a need to find out weather you have progressed.
- The aim with the Sida/SAREC program is to develop capacity of senior scientists to supervise.
- Individual level – output –support – need some sociodemographic information as male/female, year, how long will they serve on the faculty so none retires before program is over
- Profiles, the aim is to strengthen human resources at faculty so then they should have at least 10 years more to go.
- How many graduate students other than the sida/SAREC students can be used as one indicator; or completion of students – measuring capacity to get PhDs to complete.
- Student output/turnover, volume of students, leadership in academics, seminars at faculty or public are other indicators.
- Impact on Uganda – agencies, framework, policies
- Technical assistance in areas of expertise, taking part in ongoing debates about e.g conflicts. Researchers should encourage public debate and participate.
- Demonstrate that due to this support I have been able to participate in e.g. conferences.

- Participation in academic policy making, presenting results in governmental workshops, and policy-related workshops.
 - No of publications can be used but for those only sitting in the office and not participating and not impacting on faculty it is not good.
 - Policy briefs and state of the art papers are good indicators. State of the art paper can contain information about where are we now, thus making an impact.
 - Inaugural lectures – public lectures are important e.g when there is a resettlement.
 - Generating knowledge is creative. Lunchtime seminars are good. They are now closed, should be open to public. How many lunch time seminars (breakfast meetings) you have given can be an indicator, is a test of confidence. Size and topic of lunch time seminar could play a role. Each senior scientist should give two.
 - You can see capacity in proposal writing success and in linking (memorandum of understanding with other universities, establishing programs for African collaboration, organizing meetings and workshops). One should be able to demonstrate that the linking is active and that it adds to capacity building and it should be beyond the automatic links within the program. Linkages can also be governmental and non-governmental.
 - Publication is of course an indicator as are quality of journals and impact factors.
 - Attracting funds to support masters students could be an other indicator.
 - What type of PhD-students do you produce, what is the national need, feed back to the institution, what are they doing, which areas, if they are publishing 5 papers, then they should also have impact on society.
 - How useful are you beyond yourself – sitting in boards etc.
 - Impact – you cause a change to start, add to the debate. 5 PhDs trained then it should impact the recruitment.
 - PhD-training is not the main point, instead train people to be good supervisors.
 - Number of publication and number of citations.
 - Difficult to expect impact in 3-4 years.
 - State of the art should be a must. Contribute to evidence-based policymaking – if they take it up is beyond you.
 - Teamwork important.
- How much are we felt in the society and in the private sector.

3. FACULTY OF MEDICINE and CROSS-CUTTING LABORATORY

a. Faculty of Medicine

Date of Visit: 15 and 21 August 2007

People involved in interview:

- Prof Elly T Katabira, coordinator, Katabira@imul.com
- Dr Anna Ehnvall, Gothenburg University, Sweden
- Prof Hans Ågren, Sweden
- Prof Peter Allebeck, Sweden
- Ms Stella Namatovu, Deans office
- Ms Rosemary Baryagasha, Deans office
- Prof Florence Mirembe, coordinator RL-subprogram
- Dr Fred Kironde, Malaria subprogram
- Dr Celestino Obua, former PhD-student/co-supervisor
- Dr Paul Waako, coordinator Clinical Pharmacology
- Dr Seggane Musisi, Mental Health subprogram
- Freddie Bwanga PhD-student, Microbiology subprogram
- Lynn Athyambe, PhD-student, RH-subprogram
- Josaphat Byamugisha, PhD-student, RH-subprogram
- Jackson K. Mukonzo, PhD-student, Clinical Pharmacology
- Michael Odida, PhD-student, Degenerative health
- Winifred A Tumwikiirize, PhD-student, Clinical Pharmacology
- Kiwuwa Steven Mpungu, PhD-student, Malaria subprogram
- Jackson Orem, PhD-student, Degenerative Disease subprogram
- Cecily Banura, PhD-student, Degenerative Disease subprogram
- Noeline Nakasujja, PhD-student, Mental Health
- Catherine Abbo, PhD-student, Mental Health
- William Buwembo, PhD-student, Malaria subprogram
- Musa Sekikubo, PhD-student, Malaria subprogram
- Fatuma Numosoke, PhD-student, Malaria subprogram
- Jolly Beyeza, PhD-student, RH subprogram
- Janet Nakigudde, PhD-student, Mental Health subprogram
- Norah Mwebaza, PhD-student, Clinical Pharmacology
- Wilson Muhwezi, PhD-student, Mental Health

Update on major changes since last visit:

A. Accomplishments

- **Improved research culture.** Increasing interest of faculty in pursuing Ph.D. and research.
 - o Before service and teaching was a priority. Now research is important.
 - o Previously it was possible for faculty to progress (be promoted) without a PhD, and many were hesitant about the need for a Ph.D.—and saw the new university rules requiring this as interfering with tradition.
 - o Now faculty with masters degrees in clinical disciplines are increasingly likely to pursue PhD studies, even though under the new policy the clinicians are not required to have a Ph.D. to be promoted
 - o The interest in Ph.Ds studies extends across the Medical Faculty, not limited to availability of slots in the Sida collaboration.

- Increasing numbers of faculty choose to take on research and to publish. Publication is a good indicator of developing capacity here.
- **Journal of African Health Sciences.** During the period of this collaboration with Sida the Medical Faculty started a journal, succeeded in getting it listed on Medline within the first few years, and by our last visit it was already the consensus of the faculty that it is their favorite example of growing research capacity.
- **Faculty of Medicine annual scientific conference.** This yearly conference encourages young researchers and helps them to disseminate results to those working in communities. This conference is already reaching practitioners who come to the conference and want to make use of the results. In long term it will influence policy at the district and national levels through the ministry. The third conference was about to convene after Eva's visit.
- **Spin-off effects of the research collaboration with Sida.** The program has spawned a training component. Younger faculty become better teachers because of the exposure to research and researchers. They go to Sweden and to conferences etc. There is increasing demand for research activities, courses, lab practices, writing skills etc.
- **Additional sources of research funding.** This collaborative program has generated additional support from other sources. For example, the University of Alabama offer research staff a course in grant writing. Those who attend the short course are trained as trainers and come back to pass on what they have learned to colleagues at Makerere in similar short courses. The faculty from the University of Alabama people faculty visit Makerere University to observe and assist.
- **Thesis defense.** The open system for PhD theses defense system in Sweden has now been adopted by the Faculty of Medicine, and has become part of the new research policy at Makerere – although the faculty have not seen the policy document yet. [This document is almost final]
- **Administrative staff.** New staff have been hired to help students arrange travel etc.
- **Examples of improving research capacity:**
 - Supervision. The program has lead to better supervision. Co-supervision with KI works very well. Swedish supervisors think that Makerere takes a lot of steps by themselves which is not common in many other developing countries.
 - Better proposal writing
 - Better level of preparation of newer students
 - Better treatments of the new students by supervisors and others, and more collaborations.
 - Creation of the drug information center

B. Persistent Problems

- **Finance and accountability.** For most students involved in the program, this is the first time they have handled university funds for research, and thus do not know the system for budgeting, accounting etc. SGS has now organized a workshop for PhD-students about financial systems.

- **Procurement.** Some improvement. The office of procurement held a workshop for researchers.
 - Even of small items, one must show 3 bids, or prove that the supplier is the only one.
 - It is difficult to procure molecular items that need to be on ice etc. Often this is done through KI, but now KI will start to charge overhead.
- **Communications.** Because there is such a big group of PhD-students, there are communication problems. For example, the Faculty does not always learn about student's travel plans to Sweden in time for students to arrange visas, housing, stipends, etc. At least a month of advance notice is needed for travel planning to work well.
- **Insufficient time.** Time is always a challenge, as there is always too much: research, teaching, administration and clinical responsibilities. Students are not 100% students, and have other demands as well.
- **Long distance supervision.** Supervising through email is a challenge, when it is not possible to sit together to discuss projects as a team.
- **Sustainability of key infrastructure.** It is difficult to maintain the clinical pharmacology lab, drug information center etc.
- **Funding.** Finding sufficient support is always difficult. Even when they are at the University, getting access to them is slow after requisition.
- **Laboratory space.** Still is a major problem for the faculty.
 - More equipment is needed.
- **Reporting.** Seen as time consuming, burdensome.
- **Covering teaching responsibilities at Makerere University.** When students are in Sweden, there is not always someone to substitute and cover the teaching they leave behind.
- **Socio-economy and health.** For some PhD students, member of family is sick and then there is a problem being a full time student since other activities are better paid.
- **Accommodation in Sweden.** Difficult to find and expensive.

C. New Challenges and Opportunities

Challenges:

- **Visas.** Students find it difficult to understand the Swedish visa system, to avoid overstaying the time limit, or to get an extension if the work is not complete– which can be difficult.
- **Drop in new students.** Lately there has been a drop in the number of students ready to pursue a PhD because the ministry needs them and pay scholarships for them.
- **Shortage of Swedish supervisors for one subprogram.** This problem is now solved.

- **Delay.** The fall 2006 strike caused delays.
- **Budget information.** PhD-students do not know how much money they have to spend.
- **College of Health Sciences.** The transition from separate Schools (of Medicine, Public Health, Nursing, etc.) to a College of Health Sciences remains a wish. Approval has not been forthcoming from the Academic Council.

Opportunities:

- **Additional supervisors.** The addition of the new Ph.D.s have helped to share supervision responsibilities—a great advantage.

Reports and reporting process

E. Issues raised about reports

1. by unit to Eva/monitor

-Like the new reporting format.

-Reports should be done easier to save time for coordinators.

-Katabira will try to get the reports improved from the different coordinators for each subprograms.

2. by Eva to unit

Missing budgets in most subprograms as well as used money and changes in plans in relations to what was already planned.

F. Next steps to improve

Developing indicators

Potential indicators:

-Publications in peer reviewed journals.

-Number of completed PhD in time and on budget.

-Collaborations, south to south and north to south.

-Attract others to work with you

-Staff promotion

-How far involved at community level – what has happened at district level and documentation of changes of policy.

b. Cross Cutting Laboratory

Date of Visit: 17 Aug 2007

People involved in interview:

-Fred Kironde

-Steven Mpungu Kiwuwa, PhD-student, Malaria Subprogram

-Allan Luggajju, done master

Update on major changes since last visit:

A. Accomplishments

- **Students.** Lab involves 5 PhD-students on the program and another PhD-student + Master students outside the program.

- **Equipment.** Lab has new equipment: two refrigerators, three microscopes and a virology machine, the eye-spot ELIZA, has been installed.
- **Senior staff.** Fred Kironde is now working in the lab, before he was chairman of Biochemistry.
- **Internet.** The wireless internet is still there sustainable through the collaboration and connection via Infectious Disease
- **The drug information center.** It is working well, answering questions about HIV and anti-malarial drugs in particular. They have 5 queries a week, mostly from people coming directly in to the center, but some people call, send faxes or emails.

B. Persistent Problems

- **Procurement.** Paper chasing – takes a lot of time.
- **Delay.** A coulter counter is supposed to come soon. This is an old order but the letter of credit was a problem.
- **Purchases to make.** The humalyzer needs to be upgraded. Also need a cell sorter (fluorescent), a minus 80 freezer, and a centrifuge. This equipment will be purchased. For some companies there is a problem with letters of credit; when Makerere University is better known by the companies, the problems are normally diminish. It is difficult to buy from the local suppliers since they add a lot of money on the items. It is better if things can be bought directly.
- **Pick up at airport.** When buying liquid nitrogen, someone has to go to Entebbe and pick it up as soon as it comes to the airport. Try to collaborate with labs on campus.
- **Power.** There are still power problems. The hospital power line is more stable than the common Makerere line so lab will try to get power to the laboratory on the hospital line instead the Makererre line. The lab has a generator but the fuel is expensive and sometimes the generator is damaged. Sometimes the power goes off at night and some times the current changes to low insufficient voltage.

C. New Challenges and Opportunities

- **Personnel.** The number of technical staff is too low. In the university structure, there is no money for technical staff. But they are needed so because of that they are on external funds from donors. In the experiments also nurses and home visitors are needed. They come to the program on part time, day time and their mother institutions pay their salaries. From the lab they are helped with some extra dollars now and then or transport etc.
- **Location.** Part of the lab is going to move to Majuge. At Majuge, they require help with vaccines so some additional people will have to move there from Makerere. This project is supported by the Malaria network trust.

4. FACULTY OF AGRICULTURE

Date of Visit: 15 Aug, 21 August 2007

People involved in interview:

- Prof Elly Sabiiti, esabiiti@agric.mak.ac.ug
- Johnny Mugisha, jomugisha@@agric.mak.ac.ug
- Jeninah Karungi, jkarungi@agric.mak.ac.ug
- Felix Bareba, fbareba@agric.mak.ac.ug
- J. S. Tanywa, jstanywa@agric.mak.ac.ug
- Justine Nambi-Kasuzi, PhD-student
- Lubanga Umar Kombo, MSc-student
- Constantine Katongole, PhD-student
- John Baptiste Tumuhairwe, PhD-student
- William Ekere, PhD-student
- Alice Amoding, PhD-student

Update on major changes since last visit:

A. Accomplishments

- **PhD. Student progress.** One completed Ph.D. and graduated; another has finish Ph.D. and will graduate next month; two are writing theses. Most likely three PhD-students will graduate from the faculty next month, the one from the Sida/SAREC program, one financed by ICRAF and one from Tanzanian government.
- **Promotions and capacity building.** One PhD-student who completed her Ph.D. has been promoted and appointed as lecturer. Now she is doing a one-year post-doc to enhance her research capacity. She is supervising one Master student who has started to do research. One of the PhD-students in phase II dropped out, and this created the funds to pay this post-doc and a master student. This is a good example of capacity building.
- **Promotion based on publications.** A fast track to promotion has been developed, based on publication of 10 papers in 5 years.
- **Small grants.** The small grants administered by SGS have allowed faculty to be active in research; and contributed to promotions, one to professor and one to move from lecturer to senior lecturer.
- **Research team and students feel vibrant since start of Phase I.** The program has brought harmony and kept the faculty active in research. Increased visibility from presenting research findings in poster sessions at conferences internationally has enhanced the reputation of the individual researchers and of the Faculty of Agriculture.
- **Attracting new research funds.** This program has opened possibilities to attract additional funds from other donors. The faculty seems eager to pursue this.
- **Purchase of new equipment.** The faculty has purchased a disc pasturimeter. This allows them to estimate dry matter content of grass without harvesting.
- **Faculty research dissemination workshop.** (Eva has proceedings) This Faculty has organized dissemination of their research results for the companies, NGOS, Kampala city

council, research institutions beyond Makerere University and other interested parties. As a direct result, Uganda's government banned polyethylene plastic bags in waste. Now there is no manufacturing and no import; instead paper bags and banana bags are used. The faculty in which is a national association.

- **Faculty Award.** The Developing World Academy of Sciences made an award to Prof. Sabiti. Sida support permitted his participation in the work of the academy.
- **Student publications.** One Phase II student has submitted a paper for publication, and it has been accepted. More Phase II students are getting ready to submit papers.
- **Undergraduate research funds.** Small grants from the Sida pool, finance undergraduate research, encouraging a research orientation earlier in a student's development.
- **Swedish students at Faculty.** Two Swedish students will conduct Minor Field Studies at this Faculty. Inga Ledin is the supervisor.
- **Writing workshop.** Carnegie and Makerere University financed a workshop to improve writing for publication.
- **This faculty reports on an achievement that benefits them, but implemented by SGS.** That is, funds flow much more quickly from SGS to the faculty.

B. Persistent Problems

- **Procurement.** Procurement is still too slow. Sida/SAREC committee should be delegated to approve procurement, but this approach has not yet been approved. The process remains too cumbersome, requiring approval from various committees that do not meet often. Documents continue to disappear. Companies often want part of the payment in advance—a step the University procurement office has difficulty.
- **Consequence of procurement problems.** Sometimes reagents are not available in Uganda. Then PhD-students have to send samples to Sweden for analyses—a time consuming step that requires advance planning.
- **Planning and timeliness.** Difficulties in planning ahead and completing tasks on time, including reporting, persist. Heavy work load and a shortage of staff aggravate contribute to this problem.
- **Faculty/staff shortages.** Half of the academic staff are on study leave. Those who remain take over their responsibilities, including supervision. PhD-students struggle to find time for research and teaching. As the university now has authority to recruit new assistant lecturers, doing so might relieve this problem.
- **Ph.D. student withdrawals.** Students who withdraw part way through their Ph.D. studies create a burden. This faculty suggests the students should be bounded to the faculty so that they would have to reimburse funds expended on their studies if they quit.
- **Strike.** The staff strike in the fall of 2006 caused problems, including delays in all types of progress.

- **Email access.** It is slow and on/off. Previously caused exclusively by loss of power, now slow or non-existent email comes from the overburdened system in addition to power outages when Makerere is not able to pay the provider, and power is turned off. Bandwidth has also been reduced.
- **Transportation.** This Faculty has one, old vehicle that is often in need of repair; they need a new one.

C. New Challenges and Opportunities

- **Scientific writing.** As different supervisors require different styles of writing, there should be more additional writing courses so that all supervisors have the writing skills.
- **Student Travel to Sweden.**
 - Visa delays and need for advance planning of courses. Because there is significant delay in obtaining visas to travel to Sweden, students miss PhD-courses as these are often announced too late to permit students to travel in time.
 - Transport and warm clothing is not paid any more by sida.
 - Expensive with accommodation in Sweden.

Reports and reporting process

E. Issues raised about reports

1. by unit to Eva/monitor

- Coordinator and faculty present like new reporting format. They suggest more space for reporting outputs, contributions, and impact.
- The new version of this year report will include budget information.

2. by Eva to unit

This Faculty need not use the new reporting format this year, as it has been a pilot year (Technology and FSS), and the change for all units is to be for next year. Most units have not reported budgets and funds actually expended, nor changes from the research activities planned.

F. Next steps to improve

Developing indicators

- This faculty suggested the following items as candidate indicators for measuring progress/improvements:
 - Number of PhD-students graduating
 - Duration of students on a program.
 - Graduation rate for a program
 - Publications in international journals
 - Publications in conference proceedings
 - Publications in books
 - Dissemination reports
 - Brochures produced
 - Annual reports
 - Involvement of stakeholders in the programs- you should plan together and work together

- Number of collaborations – joint publications, publishing, meetings supervision
- Promotion
- Receiving awards
- Attraction of other funds
- Belonging to different boards
- Outreach
- Dissemination
- Adoption of technologies
- Intervention developed – innovations – but not possible to get such through if there is not additional funding.
- Linkage of partners – joint supervision, joint publications

A suggestion from this faculty was that SGS should be evaluated on the time it takes for a student to be fully admitted.

5. SCHOOL OF PUBLIC HEALTH and DEMOGRAPHIC SURVEILLANCE UNIT

a. School of Public Health

Date of Visit: 21 and 22 August

People involved in interview:

- David Serwadda Dean MUSPH
- Fred Wabwire-Mangen DSS Co-ordinator
- Freddie Ssengooba HPPM
- Edward Galiwango, Soc DSS
- Elizeus Rutebemberwa, HPPM
- Moses Anhaitve, HPPM (ARVMAC Project)
- Karin Kallander, Post-doc

Update on major changes since last visit:

A. Accomplishments

- **Change of name: Institute to School.** The Institute of Public Health has changed name to School of Public Health (SPH). The Institute had centers with managers; now the School has academic departments. This change is in line with other institutions, increasing visibility and status of this unit. The change to more academic nomenclature fits with the trend toward creation of a umbrella “college” combining the Faculty of Medicine with the School of Public Health. Other health-related faculties will also become schools. Creation of the umbrella college will require additional infusion of funds.
- **New external support for the School of PH.** This unit has worked hard to diversify sources of support and attracted additional funds from several: the Rockefeller Foundation for “Information for development”, the European Union for “ARVMAC”, PMI for “Verbal Autopsy” and from EDCP for TB Vaccine. This success is crucial for sustainability as they anticipate no increase in contribution from Makerere University or from the government. For DSS the focus is building infrastructure. At the DSS in Rakai, it is not possible to build infrastructure nor to provide care using funds from the US-funders (from Gates, Rockefeller foundations and the US NIH).

In the TB Vaccine program funded by EDCP there has to be a new TB-building, a new TB field lab, and an additional building. This is a collaboration with Kisumu DSS in Kenya. Two studies are planned, one with neonates and one with adolescents at the DSS. Sida/SAREC is co-funding this study. The best population to follow is present at the Iganga/ Majuge DSS, but the study will be improved if this DSS can increase the size of the study population. With the money from EDCP may make it possible to expand. The School of PH is also requesting additional funding from the Gates Foundation (AREAS) to expand in office space, lab facilities, and to sustain all. Some money has also been directed to KI for supervision.

- **Transfer of operational authority for the DSS.** SGS delegated operational responsibility for the DSS site to the SPH in May 2007. The SPH then transferred local, operational responsibility to Majuge. The School of Public Health will focus on growth and development—and on improving management now that it has increased authority from SGS to do so.

- **Expenses for students in Sweden.** Unlike other units, Ph.D. students from SPH do not have problems with accommodation in Sweden. They book through the University accommodation center at KI. Cost from 2200 SEK per month.
- **Collaboration among DSS units.** The SPH's DSS site in Iganga/Majuge collaborates with other DSS's, including Rufig DSS in Tanzania (Dr Masanja), Ifakara DSS in Tanzania (Dr Don), Kisumu DSS/CDC in Kenya, Nairobi DSS in Kenya, Navrongo DSS in Ghana. Most collaboration is with Kisumu. Sida and EDCP are supporting this.
- **Increasing involvement of KI senior researchers.** KI is involved as a collaborating university **with** a senior researcher at Makerere University. KI is represented on the steering committee of the Iganga/Majuge DSS, and in the higher education board at School of Public Health.

Recently a structure for engaging senior researchers at DSS has been suggested by SPH and involvement of Swedes is anticipated to increase. A guest house for visiting scientists will be needed to accommodate them.

Karin Kallander is the first senior scientist at DSS. Karin did her PhD as “twinned” PhD student with one Ugandan PhD-student. George Paryo supervised her together with two Swedish colleagues. Now Kallander is a post-doc—as a visiting lecturer for two years. She is supervising PhD and Master's students. The School of public health would like an increase in visiting professors and lecturers from KI who could come and give courses.

B. Persistent Problems

- **Procurement.** This is still a challenge. Is better but still not good. Has to do good detailed procurement plan so that the committee knows in advance about what should be procured. Management of the site has to plan procurement and then check off when they take orders.
- **Motivated staff.** It is important to keep staff motivated otherwise they run off to do consulting.

C. New Challenges and Opportunities

- **Transfer of courses from KI to Makerere University.** The SPH would also like courses at KI to be available for Makerere students through KIRT (KIRT is an organization taking care of foreign PhD students at KI). It would be useful to move some courses from KI to Makerere, then every student would be able to take some courses at Makerere.
- **Administrative streamlining.** Acceptance, pre-registration and registration need to be streamlined between Makerere and KI. It should be possible to conduct web-based seminars as registration seminars at Makerere, so that PhD-students would not have to travel to KI to do seminars there.
- **Post doctoral exchanges.** It is timely to encourage post-doc exchanges between Makerere and KI.

- **Literature online.** Access in literature is difficult sometimes, so, if possible, it would improve working conditions for students if they can access literature through KI, as it is possible to do for students registered at KI.
- **Tension between teaching and administration.** Those heavily involved with the Iganga/Majuge DSS are taken away from teaching (for example, Fred Wabwire Mangen). More people are needed at the DSS – but to do so will require more and more consistent funding. Many scientists do a lot of administration at the moment.
- **Committees related to DSS.** A number of committees related to the DSS are run on behalf of the university. These committees have to be properly managed. Running of DSS is not easy and needs knowledge about money flow.
- **DSS operation coordinator.** DSS needs a site operation coordinator.
- **Cost – Staff relations at DSS.** The operational costs of DSS total approximately 350 000 US dollars. Projects other than Sida are needed to complete the budget. With a lot of projects the DSS is understaffed. At present the DSS is overwhelmed with work and proposals. Many new projects are coming on board.

Reports and reporting process

E. Issues raised about reports

1. by unit to Eva/monitor

-SPH prefers the new reporting format. Can it be used also for DSS?

-Unit found out that the report they had done for DSS was not included by SGS anywhere in the reports. It appears neither in the SPH report nor in the SGS report. SPH was disappointed about that and did not find the report as it was now as representative for DSS as it should be.

2. by Eva to unit

-Missing connection between planned activities, completed activities and changes. Also missing information about budget for planned activities, and how much of the money that was used.

-New reporting format can be used for DSS when included in the SGS report.

-Could not see much about DSS in the present reports.

F. Next steps to improve

At latest 27 August to SGS.

Developing indicators

Indicator suggestions:

-Research output e.g. papers.

-Funds awarded other than by Sida/SAREC.

-For DSS important indicators are related to policy implication levels, development programs, prioritizing issues and dissemination of results to society.

-Individual capacity e.g. member of boards etc.

-Providing data – usefulness for the district.

b. Demographic Surveillance Center

Date of Visit: _20 Aug 2007

People involved in interview:

- Daniel Kadobera, Data manager
- Fred Magoola, Information officer
- Derean Nabukalu, Ass Data Manager
- Edward Galiwango, Site operations coordinator
- Judith Kaija, Field supervisor
- Peter Waiswa, PhD-student

Updates--descriptive

60 000 people within the DSS but want to increase. Dependent on collaboration and funding. EDCP and Sida funds Tb vaccine cohort preparations.

One year ago the data collection had started. During the last year, data has been collected continuously on a 4 month round. During this year, there are possibilities to address special issues. Which data should then be collected and how should it be used. At present information about death registration is collected. Next year there will again be 4 month rounds of collecting of data.

For the additional data that can be collected, Swedes from KI also comes and collect data.

There has been established a letter of delegation from KI for e.g. timely purchases.

Data collected at the site can be used as information for development, the data can be processed to the district, and can then lead to better district planning and governmental policies.

DSS have 40 personal in the field.

The vabotopsy study uses a questionnaire with a coding system in order to try to find out probable cause of death.

The DSS wants to use in country money in order to increase the malaria research.

Peter in the project “Saving new born life” partly financed by Sida/SAREC use community workers to improve life for babies and mothers. Advisory boards are used and results are linked to policy. Some studies have been carried out and feed back has been given to the ministry.

The Sida/SAREC money has partly been used for PhD registration and then they have been going further for additional fundings. During the last 1-2 years there have been increased activities at the site.

There have been two retreats and meetings to discuss the structure of DSS. A need of restructure has been identified. There is a need to have a research and scientific manager who

can coordinate the number of studies. There are many requests and it is not possible to say yes or now to everybody. The scientific and research committee vet if a person can do research. For field work, the research and scientific manager should decide. There is also a need to have a field manager. The administration has to be strengthening. Someone has to be responsible for the economy. Also a station manager is needed. Above the station manager should be the site manager in charge of the DSS site and responsible for contacts with the university and the School. There should be regular meetings with the site management committee and all relevant persons/committees in the region/government.

The key collaborating institution for DSS is KI. Should have a structure of senior residential scientists who should come to DSS and live and work there. Also students can come. One student came from Sweden and investigated gaps of data. Karin Kallander is a post doc from KI at DSS and she is the first senior residential scientist. It would be good to have a guest house for coming senior residential scientists.

Master students at public health can go to DSS for study for a year.

DSS can contribute to the service in the district.

Fred joined in February. Sylvia, former information officer went for a master at Makerere.

The hand held data registration system is at its last step. Software for the handheld computers has been developed. This is a mobile system. University of Bergen uses it as well. Currently a field test is carried out at DSS using the handheld computers. If works, then there will not be so much paper to store.

At present GPS handsets are used. Trained field assistants take GPS coordinates and create maps out of this information. These maps are electronic maps and can e.g. show where schools and centers are located. Burden of disease profile can be developed yearly and used as planning tools for the district. Website has been developed: www.iganga-majuge.org.

DSS has meetings with the district planners in which the district planners want dissemination of results. It is possible to detect most important diseases and how much of the resources that goes to each disease.

When collection of baseline data is resting at the moment it is possible to make evaluation of the collected data and validation of it. Are the collected data right? Calculations done right? How is the quality of the capturing of the data? Also now there is some time to reflect on each ones experience. Are some challenges similar for many persons? Etc.

In the villages each child born and death are registered.

In each team of the vabotopsin study there is a team leader, a supervisor, one editor and 6 intervjuers (4 ladies and 2 men). Until now, they have done a very good job. The end of the validation will be within 2-3 month.

The interviewers cannot catch every birth and death, therefore scouts living in the area is of importance. People that are there when events take place are necessary. Otherwise, some events are not captured.

Indepth is an international network of surveillance site. They have one meeting a year. Next meeting will be in Nairobi. Many people from DSS will go. It is a good opportunity to show what one is doing and learn what others are doing. Periodically there are invitations to participate in networks e.g. epilepsy, HIV, also invited for joint application.

The DSS contains 65 villages.

Researchers and visitors are not allowed in the field. Instead the regular team does all the interviews. Researchers might be supervisors. Also a group of stand bys are present in which there are needs of additional people. They also come in when there is a gap, someone is sick or deliver a baby.

In order to get people to cooperate out in the villages, it is important with sensitization. Otherwise the villagers tend to refuse. It is the field assistants that do the sensitization through radio programs and through meetings.

The other faculties within the program are represented in the research committee. Some of the other faculties have shown interest in using the DSS. E.g. Professor Sabiiti has asked for possibilities to use the site for studies related to food security, household food production etc. Matete has also sent someone to ask for possibilities to use the site. One person from Faculty of Social Science have investigated acceptance of people about visits in their homes. In fact now it is the time to tell other faculties that now is the time to send students and make cooperation.

The district can offer land for additional building of houses e.g new labs, guest house etc, but no buildings at present.

6. MASS COMMUNICATION

Date of Visit: 21 August 2007

People involved in interview:

- Monica B Chibita Senior Lecturer
- Linda Nassunga Goretti, Senior Lecturer
- Marjorie K Niyitegeka, Acting Head, Assistant Lecturer

Update on major changes since last visit:

A. Accomplishments

- **Students.** Enrolled three students: two Masters, and one PhD. Sida support began although the projects are not fully agreed upon by Sida. First funds available.
- **Senior Researchers.** All three have begun their research, see below.
- **Nassunga – Environmental communication study.** Three districts should be covered, so far 1.5 have been reached. The purpose of the study is to gather data through the use of questionnaire and focus groups. The study includes uses of fish landing sites and how to managing waste at these landing sites, who are the stake holders at the landing sites, and how can media be used in spreading information; media used is radio. After collecting baseline data, there will be a media campaign based on results from the study. Baseline data come from questions about: how they deal with the waste, health, sources of information, knowledge about policies, need to fill gaps, etc. The problem is that the poor fishermen (and women?) catch and smoke the fish, and health problems develop from dumping wastes directly in the lake, then drinking the water directly from the lake. They use charcoal for smoking the fish. Once the study covers all three districts, then the researchers will work with an agency to mount the media campaign, check that the messages are reaching the listeners. Posters are other possible support materials. Questionnaires are in local languages including Lusoga, Luganda, Lusoga, and Nyankolo.
- **Monica B Chibita** Senior Lecturer. She finished her PhD last year. Now she works with indigenous language radio in order to study broadcast policy and democracy. She has read literature about the importance of debate in the public sphere where everyone can participate in local languages. She has published a paper in a journal and presented two at a conference. The work did not start until March 2007. She is now conducting interviews and focus groups. She wants to do “discourse analysis”, a particular analytical approach that allows summarizing and investigations of aggregated data. She wants to go to Örebro to learn discourse analysis when the project is approved. Monica’s PhD candidate has not started yet--but hopes to start soon with triple sandwich analysis of media regulation including South Africa, Uganda and one country in West Africa.
- **Peter Mwesige** is exploring limits of talk shows. This topic emerged from his PhD. He explores the nature of participation and examines the role of the Ugandan political talk shows. He has done a literature review and developed a content analyses sheet. He has conducted some interviews but not developed it all nor yet analyzed the results. Peter’s Master student has developed his proposal and is going to start one year of research work.

- **Overlap.** There is some overlap between the work of Peter and Monica—and this is an advantage. The researchers at the department need to work harder towards finding more common areas for collaborative work.
- **Equipment.** This group has purchased some equipment, lap tops, printer etc.

B. Persistent Problems

- **Start-up.** The program has not moved very quickly. They still wait for final comments from Sida on the final program. Hope to get additional funding and move forward more comprehensively in next phase (Phase III).
- **Frozen positions.** The department reduced employment of many of its staff when the university froze hiring; it is still frozen. The department currently has 12 full time teachers, half of whom are studying for PhDs themselves, the rest have PhD's already.
- **Counterparts in Sweden.** Not yet identified.

C. New Challenges and Opportunities

- **On studies.** Studies like these are time consuming. One must explain many times to the fishermen the differences between what is law and what is not. The fishermen often want the problems to be solved immediately, but still they are willing to answer the questions for the study.
- **On promotions.** Publications are the limiting – it is a breakthrough to succeed in becoming published internationally.

Reports and reporting process

E. Issues raised about reports

1. by unit to Eva/monitor

New reporting format might be good.

3. by Eva to unit

The draft report is missing connection between what is planned and what is carried out and what has changed. It is also missing the budget and expenditures for planned activities. The accounting is done as it should but that is not the same thing as what is requested in a report.

F. Next step to improve

Potential indicators mentioned:

- Number of students completed
- Publications
- Promotions
- Students on the program, ongoing and completed.
- Number of students supervised, both masters and PhDs
- Recommendations and policies taken up
- How measure new knowledge produced? – Publication

- Paper presentations that are relevant – in the context of the research.
- Communication and behavior is difficult to measure.
- Supervision skills and practices.
- Internal supervision policy – interaction with other peoples who have supervised for long time.
- Emerging new areas of research

7. GENDER MAINSTREAMING

Date of Visit: 16 Aug, 22 August 2007

People involved in interview:

- Prof Ruth Mukama, Head, Gender mainstreaming
- Dr Ewsibia M Mugisha Baine, Assistant Registrar, Ag Head of Division
- Susan A Mbabazi, Senior Administration Assistant, Gender mainstreaming
- Franas Nyacharo, Senior Assistant Registrar, Gender mainstreaming
- Rita Nabachwa, Department of Biochemistry, Master student
- Mary Tumuboina-Rwere, East African Institute of Higher ..., PhD-student
- Vianney Night, MBA finalist at Faculty of Economy and Management, Accountant SGS
- Margaret Tumusiime, Molecular Biology and Biotechnology, Faculty of Veterinary Medicine, MSc-student
- Helen Musanabera, Senior Librarian, Mak Univ Library, PhD-student at East African School of Library and Information Science
- Evelyn Nyakoojo, Senior Assistant Registrar, Gender Mainstreaming
- Paul Kiggundu, Accounts Assistant, Gender mainstreaming
- Hilda Mukisa, Assistant Registrar, Gender mainstreaming
- G.W. Nasinyama, SGS

Update on major changes since last visit:

A. Accomplishments

- **New gender policy.** A new gender policy has been developed based on visits to other universities. It will be drafted by the end of September, then circulated to get input from other units.
- **Students.** The new cohort of students are better prepared, have been better screened, and interviewed. One master's thesis has been completed and submitted, two students have withdrawn, and some of the students have completed their proposals.

C. New Challenges and Opportunities

- **Vehicle.** This group needs a vehicle, purchasing one is not allowed.
- **Over-centralisation of funds.** If a lot of things were decentralized to the units then everything would go faster. The process of getting funds is slow.
- **Student fees.** The fees for the students are now paid for two years at a time. It would be better if student fees were paid yearly. Gender recommended that money for fees should be committed but not spent in the budget for the second year, but the auditor did not like the idea.
- **Workload.** The PhD-students have too many duties as teaching, doing research etc.
- **Master students' income.** This group needs to get additional salary from Sida/SAREC topping up their salary from Makerere.
- **Supervisor lack of responsiveness.** Sometimes students find it difficult to get answers from supervisors about problems they raise.

- o Study plan. If a study plan were developed, written and signed by the supervisor and the student, the responsibility of each of them would be clarified. Then both should meet deadlines and responsibilities.
- o Tracking system. It would be useful to develop a tracking system showing how many students per supervisor, when students submit work, and when supervisors respond. There are many time limits during the second year of Master's studies, and students are delayed if supervisors etc are late to respond.
- o Supervisor control. The minimum number of supervisors for a Master's student is one and students find the relationship a delicate one as the supervisor is able to control a great deal—and there is no one interested in hearing student worries and complaints.
- o Need for student outlet for complaints. There should be a neutral place that allows students to raise problems without concern about reprisal. It is hard to complain formally. Sometimes staff do not know how to supervise. Staff has to go through courses to learn how to supervise. People should understand their responsibility.
- o Scope of discussions. Different types of projects a student has beside his/hers studying duties as a PhD student and which are outside university should be discussed with supervisor.

E. Issues raised about reports

1. by unit to Eva/monitor

-Long discussion: participants asked Eva about what is supposed to be in a report and which issues are related to accountability.

-Liked new reporting format.

2. by Eva to unit

-The budget and expenditures part of the report is very difficult to understand. It does not help readers follow the relationship between planned activities, budgets, money spent, activities completed, and changes from the plan.

F. Next steps to improve (including dates, etc.)

Developing indicators

-Qualifications of women staff. Focus on qualifications of women staff for higher studies. How well women are performing in higher position, if they are promoted to deans, senators, if they are contributing to senate meetings and contribute to changes. One can measure number- how many women participate in meetings with voting? Also, a measurement of success related to the gender department is how persons after their studies initiate and support processes that affects gender. There should be a follow-up to learn about those who have been supported: What do they do, are they participating in the institutional work, are they contributing to resolution of gender related issues at the university, and in society? It would be good if someone distribute a questionnaire to find out what they have had, what they contribute and how much they have got out of their training.

-Publications. Should contribute something to the community/society, can also use number of enquires and citation indexes.

-Feed back of end-user is another criteria.

-There should be officially equal possibility to study but it is not so, but Makerere has an

equality policy. Indicators should be developed to help developing equality between male and females.

8. Library

Date of Visit: 13 August 2007

People involved in interview:

- Maria Musoke, University Librarian, email: mmusoke@med.mak.ac.ug
- Miriam Kakai
- Robert Kakembo
- Rhoda Nalubega, document delivery service
- Rachel Nakalembe, acting library at the Medical Library
- Faith Akiteng – Head circulation unit
- Elly Gamukama PhD-student
- Ruth Nalumaga PhD-student
- Jane Kawalya PhD-student
- Alison Annet Kinengyere PhD-student

Update on major changes since last visit:

A. Accomplishments

- **Two pieces of good news:** The cross-cutting course ran 30 July – 11 Aug and conference proceedings have been published.
- **Cross cutting course.** The first cross-cutting course given in November 2005 had 11 students, mainly from the Faculty of Medicine. This year the course enrolled 33 students from all faculties. To accommodate the wider distribution of disciplines, course faculty changed the structure of the course to address every comment from the 2005 group of students. The 2007 students found the content of the course to be highly relevant. They rated the course presentations as very good to excellent. (Eva has these course evaluations.) The students recommended this course not only for PhD-students, but also to supervisors.
- **Circulation.** The library has solved the circulation problems. Library staff developed a road-map for the implementation by the circulation unit. (Eva has the road-map.)
- **New library building.** The new building is ready. The new facility increases reading space, computer labs, and offices.
- **Contribution to workshop.** Library staff contributed a half day session with lectures to an SGS-sponsored workshop. Somebody suggests that session initially designed for the undergraduates would be useful and should included for the PhD-students.
- **DATAD.** Although the DATAD coordinating office has been closed down, the Makerere University Library continues importing data into DATAD.
- **Uganda Scholarly Digital Database (USDC).** It is now feasible for Makerere University staff to access the Uganda Scholarly Digital Database (USDC) and to upload data. Dr. Tusubira tested access and found it possible. (There is now a need to create an online tutorial so that others can upload new contributions—a new opportunity.)

C. New Challenges and Opportunities

- **Access to e-resources.** While some aspects of the challenge of accessing e-resources have been solved, the new challenge is the e-resources that was seen as solved earlier. The problem now is that after access to certain publisher's e-resources was closed, when restored, full access did NOT return. Publisher's allow access to e-resources on a country-wide basis, but now only some of the participating Ugandan institutions have regained their access. The Makerere University library is still communicating with publishers, and facilitating organizations, to try to resolve this problem. As publishers who sometimes visit the campus come next time, library staff will try even harder to get their help in resolving this.

Reports and reporting process

D. Status of written report received for visit (views of Eva and pf)

The Library's report was difficult to understand.

- o It would be particularly useful to learn what each project component had to do with the objectives. It would be easier to understand if drafters would incorporate a bit more explanation.
- o E-journals sustainability part needs some introduction.
- o Attached table too long. Should only include the part where information is available. For data not available, can just be a sentence mentioning reasons why.
- o Students reports should be more similar.
 - One student not included at all; the report came during the meeting.
- o No budget or financial information of any sort provided so far.
- o Plans and budget is not connected to results and money spent.

E. Issues raised about reports

1. by unit to Eva/monitor

-Sida students should have a report template; student should submit to supervisors who should read, approve when complete and clear, then sign.

-Library staff liked the new template proposed in 2006 by FSS to monitors and SGS, and piloted first by Technology.

-Library staff will not have time to improve the report now as they are all leaving for a conference. Will it be possible when they return, and before the sida deadline?

F. Next steps to improve

Developing indicators

-Indicators can be uses of resources, e.g it should not be numbers of computers that should be the indicator but instead how they are used.

-Move from process items (e.g. use of computers) to indicators of improved outcomes of library services, such as quality of research articles.

-Indicators include database use, increase in research output, and publication rate.

-One approach to gathering data to gauge whether library services are improving could be to design and distribute a questionnaire to library users to complete once a year. Feedback of users can be one source of data. Library has previously asked users to put comments into "feed back boxes" in the library.

9. DIRECTORATE OF ICT

Date of Visit: 16 and 22 August 2007

People involved in interview:

-Dr F F Tusubira, tusu@dicts.mak.ac.ug

-Apolo Kyeyune, akyeyune@dicts.mak.ac.ug

Update on major changes since last visit:

A. Accomplishments

- **Two categories.** There are two categories of achievements: human capacity and infrastructure.

Human capacity

- **Student progress.**
 - Mulira is the first student to complete Ph.D. One licentiate student has also completed his degree (Moses). The others are still in first year of their PhD education, and they are progressing.
 - One technician has finished a bachelor degree and wants to pursue a master's degree. He must take a two year break in order to work full time for DICTS (before it is his turn to study again).

Infrastructure.

- **Computer access for students.** More students have more access to more computers, having moved from 3000-5000 computers available on campus to students since our last visit. Given the student population of 45 000 students many more are needed. Students are not able to purchase their own as many struggle to pay the fees. But the cost of access will decrease.
- **Organization.** The level of organization is high in ICT. Presence of ICT is broad, but there are some system problems. (See new challenges.)

B. Persistent Problems

- **Procurements for infrastructure.** Most items sought are “committed”; the contracts are signed but are not yet paid. University procurement has improved, but not to a desirable level. It is difficult because procurement involves many players: the units, the procurement office, steering committee etc. The governmental way of working is devoid of urgency. Procurement takes from 3-4 month up to 12 months. Typical timelag is six months, plus three months for delivery. By that time the technology is already old upon arrival. Prices are also decreasing, so that the price of equipment arriving is lower than at the time it was ordered.
- **Staffing challenge.** Many staff study. Staff in critical operations may be away for periods of six months, creating greater workloads for those who remain. This is partly solved by engaging students from Makerere University to carry out the simpler tasks. This approach helps all, as new student workers get practice, and they perform needed work for DICTS. Students do not get paid salaries; rather they get on-the-job training. There has been a recent release of paid positions – for 8 persons. According to DICTS master plan there is a need of 32 persons. (How many of the 32 positions are filled now?)

- **Sustainability.** ICT is politically popular—not just on campus, but nationally. DICTS is approaching government – as the government will need trained personnel to expand ICT services for the country. Now government is mainstreaming ICT to get a national backbone. The national government has established a ‘task team’ for E-government, and Makerere is a member. DICTS believes that government should provide direct support for ICT on campus. Electricity, water and bandwidth should be seen as essential resources. Current bandwidth of 24 Mbits/sec. Is sufficient. The commitment of the university is increasing and so is ICT. Sustainability will come, especially as members of the university and educational network of higher education in Uganda will have specific agreements with supplier.
 - The bandwidth is more than 70% of the cost for ICT – if this cost can decrease, then sustainability will increase.
 - Cost of running ICT courses is double that of what private students pay. Do not want to increase cost. Students are poor.

C. New Challenges and Opportunities

New Challenges:

- **Website.**
 - Updating. Though responsible for updating and maintaining the Makerere University website, the Public Relations office often does not update it as needed. Users are surprised to find the website is not functioning as it should. The academic/registration information systems should permit posting of exam results, etc., but not so yet.
 - UNDERutilized as a tool. Students cannot access registration forms, course schedules, course evaluation forms, etc. on the website as these are not yet posted for use online or for downloading. Instead, students must go office to office to find them, and pay for hard copies. [The Faculty of Computing Sciences has equipped its website with all of these features on line. As the monitors noted in previous visits, this faculty has the software and was ready to help SGS and other units adapt it to their needs.]
- **DICTS director.** Dr Tusubira is going back to Faculty of Technology. He may be succeeded by Nora Mulira as the new director. Nora has been in the Sida/SAREC program and now finished her thesis in Netherlands and defended. Tusubira will continue to supervise his PhD-students.
- **Insufficient operating resources for academic v administrative functions.** The faculties are restructuring so that teaching and research staff should be 60-70% of staff and support staff should be around 30%. [Currently the proportions are the opposite, with 70% for administration.]

New Opportunities:

- **Access to campus network at student housing.** This is the next goal. Those students who can purchase computers will then be able to use them where they reside. ICT is poised to introduce wireless networks into residence halls. Fiber optic cable is needed to do so. Only 2000 students live on campus. Many off-campus residences also introduce internet connections in the student hostels. Wireless access is not so stable as wired connections, but it will not be possible with wired in the students hall. DICTS is looking for the most

cost effective and secure solution in considering the when choosing in between wired and wireless hook-ups.

Reports and reporting process

D. Status of written report received for visit (views of Eva and pf)

As usual, this report is one of the clearest.

E. Issues raised about reports

1. by unit to Eva/monitor

-Apolo wrote the report, it is the third year he has done so. This delegation from Tusubira is part of capacity building.
 -Apolo and Tusubira like the new format – it is the type they are more used to and is closer to the logic model.

2. by Eva to unit

-ICT report contains all essentials.

F. Next steps to improve

Developing indicators

Suggestions of indicators:

-Impact on e-learning. Should not be measured by numbers of computers (quantity) but instead impact (extent people have changed, what new benefits to end-users?).
 -ICT notes that ICT is transformative—changes approaches to education, administration, research and its dissemination in fundamental ways.
 -One of the PhD-students will present a paper at conference about indicators, 24 indicators about what change is created (We have paper from Florence K. by email.)
 -At present no indicators are used for the ICT-service we use. Availability on request is counted. ICT view is that increasingly the focus should be benefits to campus activities and achievements, not just quantification of use.
 -Baseline data for ICT should be about “real” benefit – not number of computers. One approach to gathering data about the benefits of ICT to all aspects of campus life could be through focus group discussions.
 -Not easy to measure benefit. Must try to find such measurements.
 -ICT has not yet been evaluated in any country in Africa. There has been a Master thesis investigating awareness and knowledge of ICT in three African universities and in this study, Makerere was found to be the best of those three.
 -Use of questionnaires for evaluations are sometimes difficult – should be defined what is improvement.
 -Apolo is part of the monitoring and evaluation team at Makerere for the entire university. He has taken a post-graduate diploma of one year given by the Sociology and Anthropology department at Stellenbosch. Carnegie cooperation funded his participation. He learned different methods of evaluation and monitoring, conceptualization of projects and the logic model. More info can be found at the home page; sun.ac.za CREST. The course is irrespective of discipline and is broadening his thinking. This evaluation framework is oriented toward measuring outcomes, rather than inputs or process.

Eva suggestions to unit:

-Eva showed to Apolo a draft of a questionnaire for Ph.D. students to evaluate their supervision—based on what is done in her own department in Sweden. Apolo thought it was very interesting and was eager to further develop a questionnaire for PhD-students evaluating supervisors. He also volunteered to take on distribution and collection of answers, and to analyze the results. He and Eva agree that Makerere University personnel need to develop their own approach to evaluation, designing instruments such as questionnaires as appropriate, using models like the one offered by Eva to the extent they are useful.

Issues for discussion with SGS and Steering Committee:

-Evaluation: goals, approaches, indicators, instruments, timetable, etc.

10. PLANNING DEPARTMENT

Date of Visit: 17 August 2007

People involved in interview:

-John Wabwire

Update on major changes since last visit:

A. Accomplishments

- **Programs coordinated.** The department is coordinating 2 programs.
 1. The Carnegie program is “Institutions development program and how to operationalise strategic plans”.
 2. Norwegian project relates to strategic goals.

B. Persistent Problems

- **Consultant report on harmonization of reporting.** For streamlining the reporting documents for different donors, the consultant is slow and did not develop anything good. His report is anticipated to come in September 2007.

C. New Challenges and Opportunities

- **Monitoring and Evaluation.** There is a gap in Makerere in monitoring and evaluation. Do not have technical capacity to do that. There is a difference in coordination and monitoring and evaluation. One should define skills needed for monitoring and evaluation and skills that relevant persons at Makerere have. Fortunately Carnegie wants to develop the monitoring and evaluation and therefore 5 people have been trained (from DICTS, Planning department and one other place.) The people have undergone training in Stellenbosch about monitoring and evaluation. Now want to start serious monitoring and evaluation so now Planning Department is writing a proposal of monitoring and evaluation for the two programs. Should track outcomes at individual and institutional level through self monitoring and evaluation. Should be able to have evidence of change.

The course content included treatment of data and how different data crosses with each other

Africa has very little capacity in monitoring and evaluation. Monitoring and evaluation can follow different philosophies e.g. Powerment evaluations.

- **Strategic Plan on Monitoring & Evaluation.** The new strategic plan has a strong part including monitoring and evaluation
- **Mainstreaming of M and E.** It is important to mainstream monitoring and evaluation.

F. Next steps to improve

Unit suggestions to Eva

About evaluation:

- Outcomes from objectives should be used as indicators.
- Theory of change.
- Each program should have its own objectives and outcomes.

- Monitoring and evaluation should be a subcommittee of the university council committee of grants
- Various project implementations will be relevant for monitoring and evaluation
- Should evaluate by using stakeholders – public and industry through quantitative indicators

11. SCHOOL OF GRADUATE STUDIES

a. Cross Cutting Courses

Date of Visit: 16 Aug 2007

People involved in interview:

-George Nasinyama

Update on major changes since last visit:

A. Accomplishments

- **Draft of planned cross-cutting PhD courses.** This is ready and contains information about learning objectives, delivery, schedules, etc. They have agreed upon hosting units for each course. Research methods will be hosted at SGS.

C. New Challenges and Opportunities

- **Disagreements. Some disagreements about the cross-cutting courses.** Research methods for example. All units want to host it and teach about their specific methods. Library has developed one course but is not a teaching unit. ICT has a lot of knowledge, also not a teaching unit.

b. Ph.D. theses

Date of Visit: 24 Aug 2007

- **Availability in library.** Recently published PhD-theses found at library without problem. Some theses also sent to other universities throughout Uganda. Quality is good.

c. GIS laboratory

Date of Visit: 17 Aug 2007

People involved in interview:

-M-Augustine Tsongo, Matsongo@tech.mak.ac.ug

-Moses Musinguzi, Musinguzim@tech.mak.ac.ug

Description:

The GIS program is spatially based and can give information about climate, elevation, address etc. The administrative level decided who should host the GIS-lab but it belong to SGS. Thus, the lab has to take care of its duties as cross-cutting courses, general master courses in how to use GIS etc.

Update on major changes since last visit:

A. Accomplishments

- **Courses.** The staff want to offer courses that are cross-cutting (not in the planned cross-cutting courses at the moment –should contact SGS). They will submit a proposal for a cross-cutting course at the end of the month.

- **Start up.** The lab is now operational. Before they had no software. It is 6 months since the software arrived. The software is Arc GIS. They have 25 licenses, 10 of which are in the lab. The lab has been running for 4-5 months. Academics and postgraduates can work here. They are calling and asking to use the space. Last year there was no software nor any staff.
- **Operations.** Now Augustine is in charge of the lab; he opens it, switches on the computers, ensures that the computers are running, and helps the students.
- **Access.** This group wants to connect computers within the building and further on in the campus so that everyone can work from his or her own computers.
- **Lab used by staff.** Staff at Technology who have used the lab include Moses, Robinha, Lydia, Max Chigabe, Frank, Michael.

B. Persistent Problems

- **Expense.** Installing and maintaining the GIS lab is expensive. They now have a lot of the equipment including scanners, and printers for big documents. They also want an GPS but they have not bought this yet because of lack of money. Data is the most expensive part (elevation data, satellite data). Because of the cost, the resources have to be shared. Data should be bought centrally and then all can have free access. Still no data bought which means there is still no access.
- **Problems with bandwidth.** Last year it was big problem, then it became faster, now slower again.

No scheduling book. There is still no way for lab users to sign up for times to go online—to maximize use of the lab and use of individuals' time.

PART B

List of documents obtained during visit:

- 1 Road map for the implementation of the circulation module at Makerere University Library 2007/208: a proposal.
- 2 Information competence and management course evaluation form.
- 3 Library automation in East and Southern African Universities: Proceedings of a sub-regional conference.
- 4 Innovation Systems and Clusters Programme for Eastern Africa (ISCP-EA)
- 5 Faculty of Medicine, Sida/SAREC Research Program, Publications since the beginning of the Program 2001-2007
- 6 Prevalence of latent and reactivated *Toxoplasma gondii* parasites in HIV-patients from Uganda by Lindström et al published in *Acta tropica* 100:218-222.
- 7 Faculty of Agriculture, Influence of market crop waste on olfactory and visual stimuli in host finding by cabbage aphids, their predators and parasitoids, Project report for a Bachelor degree. Namuddu Annet.
- 8 Faculty of Agriculture. Influence of market crop waste on olfactory and visual stimuli in host finding by bean aphids and their natural enemies. Project report for a Bachelor degree. Wasswa Peter.
- 9 Faculty of Agriculture. Proceedings of the symposium on alternative approaches to urban market crop wastes management.
- 10 Carnegie Corporation of New York Support to Makerere University Institutional Development Program. Phase III Proposal. Draft
- 11 A PhD in Clinical Neuropsychology proposal to be submitted to the Makerere University Faculty of Medicine Higher Degrees Committee. August 2007. Paul Bangirana. Dept of Mental Health & Community Psychology.
- 12 Faculty of Agriculture. Proceedings of the Dissemination workshop on utilization of market waste. Draft report.
- 13 Gender mainstreaming. Situation analysis of the gender terrain at Makerere University.
- 14 Gender Mainstreaming. Gender Concepts Handbook (Popular version).
- 15 Gender Mainstreaming. Policy & Regulations on Sexual Harassment Prevention.
- 16 Research Policy. Draft
- 17 IPR Policy. Draft
- 18 Study Plan for PhD-students. Draft.
- 19 Promotion policy.
- 20 MURJ, Makerere University Research Journal
- 21 Information pamphlet about Makerere University Drug Information & Monitoring Center.
- 22 Information brochure about University Central GIS Laboratory, School of Graduate Studies
- 23 Carnegie Corporation of New York, Requirements for Grant Reporting
- 24 Figures of slides presented by School of Public Health.
- 25 Guidelines for division of labour between program coordinators, sub-program coordinator and coordinating office.
- 26 Figures of slides presented by accounting office
- 27 Copies from Sida/SAREC financial management manual.
- 28 Promised by Prof Tusubira: Graduate student paper setting out indicators (pf has from Florence)

PART C

Summary using new Format, Faculty of Technology:

FACULTY OF TECHNOLOGY ANNUAL PROGRESS REPORT FOR JUNE2006-JULY 2007

Title of the Project:

Sustainable Technological Development in the Lake
Victoria Region (Uganda)

Sida/SAREC Ref:

2001 – 4600

Reporting Period:

1st July 2006 - 30th June 2007

Date of Submission :

(each section of the form must be filled in)

June 2007

Sida funding (SEK):13,108,000 (Jun 06- Jul 07)

National funding (USD):

Other contribution (USD): N.A.

Submitted by:

Faculty of Technology,
Makerere University

Name of Principal Investigator:

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Name of collaborating institution(s):

Royal Institute of Technology, Uppsala University, Lund University, Swedish University of
Agricultural Sciences Uppsala, and Blekinge Institute of Technology

Name of Principal Investigator:

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The Royal Institute of Technology (KTH)
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Phone: 46-8-7908522 Fax: 46-8-7908580 Email: dickurba@infra.kth.se

OBJECTIVES : Summarise the specific objectives stated in your original proposal. Indicate and explain any modifications made during the reporting period

Capacity Building of Ph.D. Research Supervision with Ph.D. Students as By-Products

Start Year: Final Year:

PROJECT SUMMARY**Capacity objectives:**

- Develop research collaboration in Faculty of Technology and counterpart departments in Sweden
- Enhance and enrich research capacity
- Enhance capacity for supervision of Ph.D. students
- Develop collaboration between researchers at regional universities

July 2005

Jun. 2009

EXECUTIVE SUMMARY

OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS		BUDGET (1000 SEK)		EXPENDITURE (1000 SEK)		BALANCE (1000 SEK)		OUTPUT (ANNUAL AVERAGE)			IMPACT
		DURING REPORTING PERIOD	FOR ALL PERIOD	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	PRE-SUPPORT	DURING PHASE 1	REPORTING PERIOD	
To Enhance and Enrich Research Capacity	Purchase of research equipment	Some major equipment was purchased for sub-programmes 1,3 4 and 5. Minor equipment, particularly lap-top computers, purchased in all sub-programmes	Major equipment purchased for sub-programmes 1,3,4 and 5. Lap-tops purchased for all PhD students and some supervisors. Network computers purchased. Digital cameras	784,030	2,373,421	286,480	915,344	497,550	1,458,077	No new equipment purchased Most equipment obsolete.	Average 5 pieces purchased	More than 10 state of the art research equipment available for researchers due to improved procedures,	Capacity to carry out research greatly enhanced by availability of research in-puts. Results of research incorporated in teaching, hence ensuring high quality of graduates who will positively impact on the socio-economic fabric of Uganda
	Purchase of consumables as in-puts for research	Consumables included computer accessories, chemicals, stationery. PhD student fees at Mak	Consumables included computer accessories, chemicals, stationery. PhD student fees at Mak	1,340,547	5,503,393	1,338,191	1,338,084	302,356	4686302	Limited access to consumable	Consumable in-puts available but limited due to procurement procedures	Consumable in-puts readily available due to improved procedures	
	Fieldwork activities as required as part of research activity	Fieldwork was conducted in all sub-programmes by all continuing projects/stude	Fieldwork was conducted in all sub-programmes by all continuing projects/stud	769,069	3,012,532	1,890,443	1,857,280	-1,121,374	1155252	Virtually no resources for fieldwork and laboratory activities			

		nts	ents									

EXECUTIVE SUMMARY (CONTD)

OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS		BUDGET (1000 SEK)		EXPENDITURE (1000 SEK)		BALANCE (1000 SEK)		OUTPUT (ANNUAL AVERAGE)			IMPACT
		DURING REPORTING PERIOD	FOR ALL PERIOD	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	PRE-SUPPORT	DURING PHASE 1	REPORTING PERIOD	
Enhance capacity for supervision of Ph.D. students	Supervision of PhD students	A total of 17 senior researchers are actively engaged in supervision of PhD students	A total of 17 senior researchers are actively engaged in supervision of PhD students	N/A	N/A	N/A	N/A	N/A	N/A				Results of research incorporated in teaching, hence ensuring high quality of graduates who will positively impact on the socio-economic fabric of Uganda. Research culture entrenched among senior researchers and PhD students
	Involvement in research and publication	10 of the 17 senior researchers reported active involvement in research and published at least one paper in a peer reviewed journal or conference	15 of the 17 senior researchers reported active involvement in research and published at least one paper in a peer reviewed journal or conference							2-3 senior staff involved in active research. 1-2 publications in peer reviewed journals. Virtually no promotions	6 senior researchers engaged in active research. 4 senior researchers publish in peer-reviewed journals.	15 senior researchers engaged in active research. 12 senior researchers publish in peer reviewed journals.	
	Attendance and presentation of papers at conferences	10 of the 17 senior researchers presented papers at international conferences	16 of the 17 senior researchers presented papers at local and international conferences							On average 2 staff with access to international conferences	6 senior researchers attend international conferences	All 17 senior researchers attend and present papers at local and international conferences	
	Attendance of PhD supervision seminars	6 of the 17 senior researchers attended seminars for supervisors of PhD students	10 of the 17 senior researchers have so far attended seminars for supervisors of PhD students										

EXECUTIVE SUMMARY (CONTD)

OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS		BUDGET (1000 SEK)		EXPENDITURE (1000 SEK)		BALANCE (1000 SEK)		OUTPUT (ANNUAL AVERAGE)			IMPACT
		DURING REPORTING PERIOD	FOR ALL PERIOD	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	PRE-SUPPORT	DURING PHASE 1	REPORTING PERIOD	
Develop research collaboration in Faculty of Technology and counterpart departments in Sweden	Joint supervision of PhD students	A total of 24 PhD students jointly supervised	A total of 28 PhD students jointly supervised	N/A	N/A	N/A	N/A	N/A	N/A	No collaborative research	15 Mak and Swedish senior researchers collaborate	32 Mak and Swedish senior researchers collaborate	Research and supervision skills passed to Mak senior researchers to Swedish senior researchers. Research and supervision capacity of 15 senior researchers greatly enhanced
	Joint research and publication	At least 6 researchers published jointly	At least 10 researchers published jointly	N/A	N/A	N/A	N/A	N/A	N/A				
	Senior researchers, students travel, including conferences	Total of 30 visits made	Many visits made	2279164	8579255	2387549	3088368	-108385	5490887				
	PhD students stay in Sweden (SI)	18 students spent average of 4 months in Sweden	20 students spent average 3 months in Sweden per year	1082895	4302609	1082895	2144545	0	2158064				
	Swedish senior researcher salaries	On-going	On-going	56000	213000	56000	74500	0	138500				
Develop collaboration between researchers at regional universities	Joint research and publication	One joint research project on pozzolans on-going. 3 research project proposals done	One joint research project on pozzolans on-going. 3 research project proposals completed	1000000	4000000	1085312	2585312	-85312	1414688	No regional collaboration	Limited collaboration	CREEC established, 4 joint conferences held, 1 joint research on-going, 3 proposals completed, clusters programme entrenched	Enhanced spread of regional collaboration. Research capacity greatly enhanced.
	Development of centres of excellence	Development of CREEC continued	Development of CREEC commenced										
	Staff and student exchange	2 students and 6 senior researchers visited another	Total of 6 students and 15 senior researchers										

[illegible]

PART D

Draft guidelines for completing reports using new format:

Type of template (table) to be used

There is one table for summarising the whole program at a unit (or at the level of subprogram(s) if suitable) and one table intended to be used for each of the projects.

The definition of a project is that it can either be a PhD-project (with one PhD-student and his/her supervisors) or a research project (including e.g. a senior researcher) or other type of project (e.g. cross-cutting courses, cross-cutting laboratory/ies or things like gender mainstreaming, build-up of infrastructure as for ICT or Library). Be sure to use the appropriate template (table). The table summarising the entire program at a unit level includes information about the situation before a program started, during Phase 1, and during the present year. Below are the guidelines to fill in the table for each project.

Headings

The first line: Should state “**ANNUAL PROGRESS FOR THE PERIOD XX XX – XX XX**” (Font – **bold**; Font size – 12; Style – Times or Times New Roman)

The second line: Should contain the name of the project, in case of Master student project, PhD-project, post-doc project or senior researcher project, include name of involved persons, e.g. Master/PhD-student, supervisors (both Ugandan and Swedish) or senior researcher. Also include start year for the students and expected year of defence of thesis. (All in Font – **bold**, Font size – 10, Style – Times or Times New Roman). Maintain table headings as they are.

Column “Objectives and problems to solve”

Fill in the aim and specific objectives as given in the original proposal (as approved by Sida/SAREC) and as specified in the annual planning report. (Subtitles “Aim” and “Specific objectives” in font – **Bold**, Font size – 10, Style – Times or Times New Roman, the written text of aims and specific objectives in font – Normal, font size – 8, Style – Times or Times New Roman).

Column “Planned activities”

Divide the column into different sections (rows) reflecting the planned activities. Include each of the planned activities within each of the sections. Planned activities might include registration, field work, drafting of papers, travel, procurement etc; also include planned activities related to ICT or library development, etc.. Include both activities that require funds, and those that do not require any funds from the budget. Also include activities for both Ugandan and Swedish collaborators. (Subtitles such as “Field work” or “Registration” should be presented in Font – **bold**, Font size – 10, Style – Times or Times New Roman. The written text of the activities should be written in Font – **bold**, Font size – 8, Style – Times or Times New Roman).

Column “Budget (by activity planned)”

Divide the column into different sections following the sections in previous column. Include in each section the budgeted amount of money for each activity as reflected on the activity plans for the appropriate time period. For those activities not requiring any budget allocation, state “0”. It should be possible to follow easily any amounts budgeted for any activity. State which currency you are using in the report. Funds budgeted for all parts of the project should be included, both for the Swedish and Ugandan sides. (All in Font – normal, Font size – 8, Style – Times or Times New Roman)

Column “Activities undertaken –What, - When, - By whom”

Divide the column into separate sections following the sections in the previous column. Include all activities that have been undertaken that relate to the planned activities. Also include activities that have been carried out that relate to earlier planned activities (from earlier activity plans that have been delayed), and all activities added since the project was presented in the activity plan. It should be easy to follow which of the planned activities has been carried out during the reporting period, and which have not. Do report all work carried out on both the Swedish and Ugandan sides. (All in Font size – Normal, Font size – 8, Style – Times or Times New Roman).

Column “Actual expenditure”

Divide the column into separate sections following the previous columns. Include the costs for all activities that have been carried out. If there is no cost, place a “0” there. It should be easy to follow the cost for any activity in relation to funds budgeted. State which currency has been used for each expenditure. Expenditures for all types of activities should be included, both on the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman)

Column “Funds committed but not spent”

Divide the column into separate sections following the previous columns. Include here the costs of items in each section, and for each activity—a) that you have ordered before the end of the reporting period, **and** b) that have arrived before the close of the reporting period, **but** c) have not been paid for during the reporting period. If the costs for a planned activity have changed (due to a change in the planned activity, delay of a planned activity, or reduced cost of an activity) since the original planning of the activities and budget, the replanned or reduced costs should not be included in this column but in the column called “Changes from plan, activities and budget” When there is no “funds committed but not spent”, please indicate this by entering “none”. It should be easy to follow funds that were committed, but not spent in relation to any budgeted item. State which currency is used for the funds committed but not spent. Funds committed but not spent should be included, both for the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Changes from plan, activities and budget - activity”

Divide this column into separate sections following the previous columns. In this column you include all changes that have taken place in any of the planned activities. Such changes might occur because of delays or actual changes of the planned activities. For all planned activities where not every element has been carried out, or where has been any change of activity, explain the change with a note in this column. If the activities have been carried out fully according to the submitted plans, leave the section blank, without any comment. It should be easy to follow the changes of plans as related to planned activities and budgeted funds. All changes in plans should be included for both the Swedish and Ugandan sides. (All numbers should be given in Font – Normal, Font size – 8, Style – Times or Times New Roman).

Column “Changes from plan, activities and budget – expenditure”

Divide this column into separate sections following the previous columns. In this column include all changes that have taken place as related to expenditure. Such changes might reflect delays or actual changes of the planned activities. For all planned activities in which the budgeted funds have not been spent according to submitted plans, the actual expenditure should be noted in this column. That means that “budgeted money for an activity=actual expenditure for an activity+funds committed but not spent”; if this is not true, the difference should be noted in the column for changes of expenditure. It should be easy to follow the use of the budgeted money. State which currency is being used. Changes of expenditures should be included for both the

Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Output”

Do not divide this column into sections. Write down the output (including achievements) of the project for the year, e.g conference papers, publications, along with outputs such as each student fully registered during the time period, X number of computers procured and installed, etc. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Impact contribution”

Do not divide this column into sections. In this column, write down the impact that the project has had in society, for Makerere, for the faculty, or for the persons involved. Policy briefs or policy documents that the project has created should be in this column. Also development of new equipment, collaborations with industry, government or non governmental groups, or with society at large belong in this column. Dissemination meetings for end-users etc should be stated in this column. Also include mass communications about activities, e.g. stories in newspaper, radio, television or other media outlets—with a note about likely impact of the dissemination of information. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

PART E

Workshop Presentation: Guidelines for New Format

How to fill the new template for reporting

Planning			Status/Progress			Change/Comment		Output	Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - virtual - When By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget, commitments		Conference papers, publications etc. - Achievements	Impact (See narrative for explanation)
						Activity	Expenditure		

Type of template (table) to be used

There is one table for summarising the whole program at a unit (or at the level of subprogram(s) if suitable) and one table intended to be used for each of the projects.

The definition of a project is that it can either be a PhD-project (with one PhD-student and his/her supervisors) or a research project (including e.g. a senior researcher) or other type of project (e.g. cross-cutting courses, cross-cutting laboratory/ies or things like gender mainstreaming, build-up of infrastructure as for ICT or Library). Be sure to use the appropriate template (table). The table summarising the entire program at a unit level includes information about the situation before a program started, during Phase 1, and during the present year. Below are the guidelines to fill in the table for each project.

Headings

The first line: Should state “**ANNUAL PROGRESS FOR THE PERIOD XX XX – XX XX**” (Font – **bold**; Font size - 12; Style – Times or Times New Roman)

The second line: Should contain the name of the project, in case of Master student project, PhD-project, post-doc project or senior researcher project, include name of involved persons, e.g. Master/PhD-student, supervisors (both Ugandan and Swedish) or senior researcher. Also include start year for the students and expected year of defence of thesis. (All in Font – **bold**, Font size – 10, Style – Times or Times New Roman). Maintain table headings as they are.

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name:		Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ivarsson		Start of post-doc period:		End of post-doc period:	
Planning			Status/Progress			Change/Comment		Output	Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)		Conferences papers, publications etc. = Achievements	Impact (See narrative for expansion)
						Activity	Expenditure		
							</		

Column "Objectives and problems to solve"

Fill in the aim and specific objectives as given in the original proposal (as approved by Sida/SAREC) and as specified in the annual planning report. (Subtitles “Aim” and “Specific objectives” in font – Bold, Font size – 10, Style – Times or Times New Roman, the written text of aims and specific objectives in font – Normal, font size – 8, Style – Times or Times New Roman).

[illegible]

Column "Planned activities"

Divide the column into different sections (rows) reflecting the planned activities. Include each of the planned activities within each of the sections. Planned activities might include registration, field work, drafting of papers, travel, procurement etc; also include planned activities related to ICT or library development, etc..

Include both activities that require funds, and those that do not require any funds from the budget. Also include activities for both Ugandan and Swedish collaborators. (Subtitles such as "Field work" or "Registration" should be presented in Font – **bold**, Font size – 10, Style – Times or Times New Roman. The written text of the activities should be written in Font – **bold**, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson			Start of post-doc period:		End of post-doc period:		
Planning		Status/Progress			Change/Comment		Output	Impact contribution	
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)	Conference papers, publications etc. - Achievements	Impact (See narrative for expansion)	
Aim: To assess the performance of hand-powered using the technology developed during the PhD study. Specific objective: (i) Assess the effectiveness of Agropurina solution on a selected period road. (ii) To determine other performance indicators on businesses enterprises.	Fieldwork Identify a road to be used as pilot road in the application of sun drying technology. Prepare the base of the study road using kinetic probe with both time and season. Prepare a submission and by incorporating selected outcropping solution.								
	Paper Publication The last two papers of PhD study were printed including a total of 6 publications out of the work. Present 2 papers to international Conferences.								
	Travel Visit to DTR.								
	Equipment Deliver the Agropurina Testing Machine and its arrangement to Faculty of Technology, Makerere University.								
	Training Training of an MSc student and a job technicians.								

Column "Budget (by activity planned)"

Divide the column into different sections following the sections in previous column. Include in each section the budgeted amount of money for each activity as reflected on the activity plans for the appropriate time period. For those activities not requiring any budget allocation, state "0". It should be possible to follow easily any amounts budgeted for any activity. State which currency you are using in the report. Funds budgeted for all parts of the project should be included, both for the Swedish and Ugandan sides. (All in Font – normal, Font size – 8, Style – Times or Times New Roman)

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Objectives and problems to solve	Planning	Status/Progress			Change/Comment		Output	Impact contribution	
	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)	Conference papers, publications etc - Achievements	Impact (See narrative for expansion)	
						Activity	Expenditure		
Aims: To Assess the performance of Eandi prepared using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Agripreneurs address on a selected period road (ii) To determine other performance indicators on Agripreneurs outcomes	Fieldwork Identify a road to be used as pilot road in the application of anti-rodding technology. Prepare the line of the study road, conduct the road survey with both team and research. Prepare a submission and by incorporating selected anti-rodding technology	256,300							
	Paper Publication The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference	10,000							
	Travel Visit to KITE	10,000							
	Equipment Deliver the Agripreneurs Training Modules and its accessories to Faculty of Technology, Makerere University	10,000							
	Training Training of an AGC student and a lab technician	0							

Column "Activities undertaken –What, - When, - By whom"

Divide the column into separate sections following the sections in the previous column. Include all activities that have been undertaken that relate to the planned activities. Also include activities that have been carried out that relate to earlier planned activities (from earlier activity plans that have been delayed), and all activities added since the project was presented in the activity plan. It should be easy to follow which of the planned activities has been carried out during the reporting period, and which have not. Do report all work carried out on both the Swedish and Ugandan sides. (All in Font size – Normal, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Planning			Status/Progress			Change/Comment		Output	Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)		Conference papers, publications etc - Achievements	Impact (See narrative for expansion)
Aim: To Assess the performance of Road-transport using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Agromotors address on a selected period road (ii) To determine other performance indicators on biomass conversion	Fieldwork Identify a road to be used as pilot road in the application of sun drying technology. Prepare the line of the study road using theoreti prove with both time and cost.	256,300	Fieldwork: supplementary study on the strength of the line, culture and subjects of the road due to group or to be used in the study road.			Activities Expenditure			
	Paper Publication The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conferences.	Travel SEK 18,000	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.						
	Travel Visit to KITE.	Subsistence SEK 2 100							
	Equipment Delivery the Agromotors Testing Machine and its accessories to Faculty of Technology, Makerere University	Computer SEK 100,000 Motor Equipment SEK 4,000	Procurement of pilot road study materials (human, aggregate, motor, device, power equipment. Payment of energy costs and delivery of Equipment plus its accessories).						
	Training Training of an MSc student and a lab technician.	0							

Column "Actual expenditure"

Divide the column into separate sections following the previous columns. Include the costs for all activities that have been carried out. If there is no cost, place a "0" there. It should be easy to follow the cost for any activity in relation to funds budgeted. State which currency has been used for each expenditure. Expenditures for all types of activities should be included, both on the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman)

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007										
Project name: Post-doc Researcher: Umare BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:				
Planning			Status/Progress		Change/Comment		Output	Impact contribution		
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)	Activity	Expenditure	Conference papers, publications etc - Achievements	Impact (See narrative for expansion)
Aims: To Assess the performance of Road-transport using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Aggravation address on a selected period road (ii) To determine other performance indicators on Nonmotorized transport	Fieldwork Identify a road to be used as pilot road in the application of anti-ragging technology. Prepare the line of the study road using theorems given with both time and cost.	265,300	Fieldwork involving supplementary study on the strength of the line, surface and subjects of the road due to group or to be used in the study road.	760						
	Paper Publication The last two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference.	TOTAL SEK 19,800	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.	TOTAL 12,016						
	Travel Visit to KITE.	Subsistence SEK 2,100								
	Equipment Delivery the Aggravation Machine and its accessories to Faculty of Technology, Makerere University	Computer SEK 100,000 Motor Equipment SEK 4,200	Procurement of pilot road study materials (human, aggregate, motor, equipment, present equipment, Payment of energy costs and delivery of Aggravation Equipment plus its accessories).	COSTS 111,200 Equipm 4,715						
	Training Training of an MSc student and a job technician.	0		0						

Column "Funds committed but not spent"

Divide the column into separate sections following the previous columns. Include here the costs of items in each section, and for each activity—a) that you have ordered before the end of the reporting period, **and** b) that have arrived before the close of the reporting period, **but** c) have not been paid for during the reporting period. If the costs for a planned activity have changed (due to a change in the planned activity, delay of a planned activity, or reduced cost of an activity) since the original planning of the activities and budget, the replanned or reduced costs should not be included in this column but in the column called "Changes from plan, activities and budget" When there is no "funds committed but not spent", please indicate this by entering "none". It should be easy to follow funds that were committed, but not spent in relation to any budgeted item. State which currency is used for the funds committed but not spent. Funds committed but not spent should be included, both for the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8. Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Planning			Status/Progress			Change/Comment		Output	Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)		Conference papers, publications etc - Achievements	Impact (See narrative for expansion)
Aim: To Assess the performance of Road-primers using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Agromineral additives on a selected period road (ii) To demonstrate the performance indicators on low-volume roads.	Fieldwork: Identify a road to be used as pilot road in the application of anti-sealing technology. Prepare the base of the study road using the anti-sealing process with both lime and cement. Prepare a submission and by incorporating selected sub-sampling additives.	265,300	Fieldwork involving preliminary study on the strength of the base, sub-base and subgrade of the road due to gravel or to be used in the study road.	760	None				
	Paper Publication: The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference.	100,000	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.	12,016	None				
	Travel: Visit to KITE.	100,000		0	None				
	Equipment: Delivery the Asphalt Testing Machine and its accessories to Equator Technology: Ndawana University	100,000	Procurement of pilot road study materials (lime, aggregate, cement, gravel, stone, equipment. Payment of storage fees and delivery of Asphalt Testing Equipment plus its accessories.	11,225	None				
	Training: Training of an MSc student and a lab technician.	0		0	None				

Column "Changes from plan, activities and budget - activity"

Divide this column into separate sections following the previous columns. In this column you include all changes that have taken place in any of the planned activities. Such changes might occur because of delays or actual changes of the planned activities. For all planned activities where not every element has been carried out, or where has been any change of activity, explain the change with a note in this column. If the activities have been carried out fully according to the submitted plans, leave the section blank, without any comment. It should be easy to follow the changes of plans as related to planned activities and budgeted funds. All changes in plans should be included for both the Swedish and Ugandan sides. (All numbers should be given in Font – Normal, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umuru BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Planning			Status/Progress		Change/Comment		Output	Impact contribution	
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)		Conference papers, publications etc - Achievements	Impact (See narrative for expansion)
						Activity	Expenditure		
Aims: To Assess the performance of Road-improvement using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Aggravation solution on a selected period road (ii) To determine the performance indicators on Non-aggravation road	Fieldwork: Identify a road to be used as pilot road in the application of anti-rutting technology. Prepare the base of the study road using the anti-rutting process with both time and cost. Prepare a submission and by incorporating selected anti-rutting technology	206,300	Fieldwork: supplementary study on the strength of the base, surface and subgrade of the road due to gravel or to be used in the study road.	760	None	X			
	Paper Publication: The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference	100,000	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.	12,016	None				
	Travel: Visit to KITE	100,000		0	None				
	Equipment: Delivery the Asphalt Testing Machine and its accessories to Equator Technology: Ndawana University	100,000	Procurement of pilot road study materials (Instruments, aggregates, sources, derived, process equipment, Payment of energy costs and delivery of Asphalt Testing Equipment plus its accessories)	111,225	None				
	Training: Training of an MSc student and a lab technician	0		0	None				

Column “Changes from plan, activities and budget – expenditure”

Divide this column into separate sections following the previous columns. In this column include all changes that have taken place as related to expenditure. Such changes might reflect delays or actual changes of the planned activities. For all planned activities in which the budgeted funds have not been spent according to submitted plans, the actual expenditure should be noted in this column. That means that “budgeted money for an activity=actual expenditure for an activity+funds committed but not spent”; if this is not true, the difference should be noted in the column for changes of expenditure. It should be easy to follow the use of the budgeted money. State which currency is being used. Changes of expenditures should be included for both the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umare BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Objectives and problems to solve	Planning	Status/Progress	Change/Comment	Output	Impact contribution				
	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)	Conference papers, publications etc - Achievements	Impact (See narrative for expansion)	
	Activity					Activity	Expenditure		
Aim: To Assess the performance of Ready prepared using the technology developed during the PhD study Specific objective: (i) Assess the effectiveness of Agripreneurs address on a selected period road (ii) To determine other performance indicators on business entrepreneurs.	Fieldwork Identify a road to be used as pilot road in the application of anti-ropping technology. Prepare the line of the study road using the line given with time and road. Prepare a submission and by incorporating selected anti-ropping technology.	206,300	Fieldwork on the strength of the line, vehicles and subjects of the road due to group or to be used in the study road.	7 660	None	None	None	None	None
	Paper Publication The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international conference.	100,000	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.	12 016	None	None	None	None	None
	Travel Visit to KTZE	100,000		0	None	None	2 100 SEK not spent	None	None
	Equipment Delivery the Agripreneurs Training Modules and its accessories to Faculty of Technology, Makerere University	100,000	Procurement of pilot road study materials (human, aggregate, concrete, gravel, stone, equipment, Payment of storage fees and delivery of Agripreneurs Training Equipment plus its accessories).	211 227 4 715	None	209 000 SEK not spent	None	None	None
	Training Training of an MSc student and a lab technician.	0		0	None	None	None	None	None

Column "Output"

Do not divide this column into sections. Write down the output (including achievements) of the project for the year, e.g conference papers, publications, along with outputs such as each student fully registered during the time period, X number of computers procured and installed, etc. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007						
Project name: Post-doc Researcher: Umare BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period: End of post-doc period:		
Planning		Status/Progress		Change/Comment		Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)
				Activity	Expenditure	Conference papers, publications etc. - Achievements
Aims: To Assess the performance of Eandi prepared using the technology developed during the PhD study Specific objectives: (i) Assess the effectiveness of Agriprocessors addition on a selected period road (ii) To determine other performance indicators on biomass conversion	Task/Work: Identify a road to be used as pilot road in the application of anti-roasting technology. Prepare the base of the study road using the anti-roasting process with both time and cost. Prepare a submission and by incorporating selected anti-roasting addition Paper Publication: The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference Travel: Visit to KTH Equipment: Deliver the Agriprocessors Machine and its accessories to Faculty of Technology, KTH Training: Training of an MSc student and a lab technician	SEK 300,000 SEK 18,000 SEK 2,100 SEK 100,000 SEK 4,200 0	SEK 7,660 SEK 12,016 0 SEK 111,225 SEK 4,771 0	None None None None None None	SEK 12,416 SEK SEK 2,100 SEK not spent SEK 209,000 SEK not spent	Bagampadde U. & Kallio R. Laboratory studies on prepared biomass volume reduction using FTS-ATR. Journal of Sustainable Science, Vol. 42, Issue 2, pp. 137-150, (2007). Bagampadde U. & Kallio R. M. Influence of fresh leaf biomass on prepared biomass. Current and Building Materials, Vol. 21, Issue 2, pp. 105-110, (2007). Bagampadde U. & Ericsson U. Studying Biomass of Lignin Acid stripping Addition using Titanium and FTS. Research Conference, NY, USA, July, 2007.

Column "Impact contribution"

Do not divide this column into sections. In this column, write down the impact that the project has had in society, for Makerere, for the faculty, or for the persons involved. Policy briefs or policy documents that the project has created should be in this column. Also development of new equipment, collaborations with industry, government or non governmental groups, or with society at large belong in this column. Dissemination meetings for end-users etc should be stated in this column. Also include mass communications about activities, e.g. stories in newspaper, radio, television or other media outlets—with a note about likely impact of the dissemination of information. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

ANNUAL PROGRESS FOR THE PERIOD JULY 2006-JUNE 2007									
Project name: Post-doc Researcher: Umare BAGAMPADDE		Supervisors: Dr. B. M. Kiggundu, Prof. Ulf Ericsson		Start of post-doc period:		End of post-doc period:			
Planning			Status/Progress		Change/Comment		Output		Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned) (SEK)	Activities undertaken - What - When - By whom	Actual Expenditure (SEK)	Funds committed but not spent (SEK)	CHANGES from plan, activities and budget (comments)	Activity	Expenditure	Impact (See narrative for expansion)
Aims: To Assess the performance of hand-powered using the technology developed during the PhD study	Fieldwork Identify a road to be used as pilot road in the application of anti-rubbing technology. Prepare the base of the study road, using the same process with both time and cost.	365,300	Fieldwork involving supplementary study on the strength of the base, surface and subgrade of the road due to ground to be used in the study road.	660	None			170,000 SEK not spent	Conference papers, publications etc - Achievements
	Paper Publication The first two papers of PhD work were printed making a total of 6 publications out of the work. Present a paper to international Conference.	100,000	Attendance of a conference by the Post doc student in July 2007 where a paper was presented.	12,016	None		12,016 SEK		Conference papers, publications etc - Achievements
	Travel Visit to KTZE	100,000		0	None			1,100 SEK not spent	Conference papers, publications etc - Achievements
	Equipment Delivery the Asphalt Testing Machine and its accessories to Faculty of Technology, Makerere University	100,000	Procurement of pilot road study materials (human, aggregate, coarse, cement, stone, equipment. Payment of energy costs and delivery of Asphalt Testing Equipment plus its accessories.	111,225	None			209,000 SEK not spent	Conference papers, publications etc - Achievements
	Training Training of an MSc student and a lab technician.	0		0	None				Conference papers, publications etc - Achievements

SUMMARY

FACULTY OF TECHNOLOGY ANNUAL PROGRESS REPORT FOR JUNE 2006-JULY 2007

Title of the Project: Sustainable Technological Development in the Lake Victoria Region (Uganda) Sida/SAREC Ref: 2001 - 4600 Submitted by: Faculty of Technology, Makerere University Name of Principal Investigator: Dr. Barnabas Nawangwe Faculty of Technology: Makerere University Box 7062, Kampala, Uganda Phone: +256-41-345036 Fax: +256-41-397780 Email: facultystaff@mti.ac.ug	Reporting Period: 1st July 2006 - 30th June 2007 Date of Submission: (each section of the form must be filled in) June 2007 Sida funding (SEK): 13,108,000 (Jun 06-Jul 07) National funding (USD): Other contribution (USD): N.A. Name of collaborating institution(s): Royal Institute of Technology, Uppsala University, Lund University, Swedish University of Agricultural Sciences Uppsala, and Blekinge Institute of Technology Name of Principal Investigator: Prof. Dick Urban Vestbro School of Architecture and Built Environment The Royal Institute of Technology (KTH) SE-100 44 Stockholm, Sweden Phone: +46-8-79081777 Fax: +46-8-7908180 Email: dickurban@kth.se

OBJECTIVES: Summarise the specific objectives stated in your original proposal. Indicate and explain any modifications made during the reporting period

Capacity Building of Ph.D. Research Supervision with Ph.D. Students as By-Products

PROJECT SUMMARY

- Capacity objectives:**
- Develop research collaboration in Faculty of Technology and counterpart departments in Sweden
 - Enhance and enrich research capacity
 - Enhance capacity for supervision of Ph.D. students
 - Develop collaboration between researchers at regional universities

Start Year: Final Year:

July 2005 Jun. 2009

EXECUTIVE SUMMARY (CONT'D)												
OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS		BUDGET (1000 SEK)		EXPENDITURE (1000 SEK)		BALANCE (1000 SEK)		OUTPUT (ANNUAL AVERAGE)	IMPACT	
		PERFORMING PERIOD	FOR ALL PERIOD	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	REPORTING PERIOD	PHASE 2	PRE-SUPPORT PERIOD		PHASE 1
Evaluate capacity for supervision of PhD students	Supervision of PhD students	A total of 17 senior researchers are actively engaged in supervision of PhD students	A total of 17 senior researchers are actively engaged in supervision of PhD students									Results of research incorporated in teaching, hence ensuring high quality of education who will positively impact on the socio-economic development of the country. Research culture enhanced among senior and PhD students
	Involved in research and publication	15 of the 17 senior researchers reported active involvement in research and published at least two papers in a peer reviewed journal or conference	15 of the 17 senior researchers reported active involvement in research and published at least two papers in a peer reviewed journal or conference	NA	NA	NA	NA	NA	NA	3-5 senior staff involved in active research 12 publications in peer reviewed journals 4 senior researchers publish in peer-reviewed journals Virtually no promotions	6 senior researchers engaged in active research 4 senior researchers publish in peer-reviewed journals	
	Attendance and presentation of papers at conferences	10 of the 17 senior researchers presented papers at international conferences	10 of the 17 senior researchers presented papers at local and international conferences							On average 2 staff took courses in international conferences	6 senior researchers attend international conferences	
	Attendance of PhD supervision seminars	6 of the 17 senior researchers reported seminars for supervision of PhD students	10 of the 17 senior researchers have attended seminars for supervision of PhD students								6 senior researchers attend local and international conferences	

OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS	BUDGET (1000 SEK)	EXPENDITURE (1000 SEK)	BALANCE (1000 SEK)	OUTPUT (ANNUAL AVERAGE)	IMPACT
		REPORTING PERIOD FISCAL YEAR FISCAL PERIOD	REPORTING PERIOD FISCAL YEAR FISCAL PERIOD	REPORTING PERIOD FISCAL YEAR FISCAL PERIOD	REPORTING PERIOD FISCAL YEAR FISCAL PERIOD	REPORTING PERIOD FISCAL YEAR FISCAL PERIOD	
Enhance capacity of PhD students	Supervision of PhD students	A total of 27 researchers are currently engaged in supervision of PhD students	A total of 27 researchers are currently engaged in supervision of PhD students			PEER SUPPORT	Ratio of researches incorporated in teaching, based on teaching hours awarded high quality of graduates who will positively impact on the future economic status of the country
Involve research in research and publication	Involve research in research and publication	Of the 27 researches supervised, 10 researches have published one paper in a peer reviewed journal or conference	Of the 27 researches supervised, 10 researches have published one paper in a peer reviewed journal or conference			23 researches still involved in new research, 1- publications 4 researches published in peer-reviewed journals 1 researches are promotions	15 researches engaged in new research, 1- publications 4 researches published in peer-reviewed journals 1 researches are promotions
Attitude and presentation of paper in conferences	Attitude and presentation of paper in conferences	10 of the 27 researches presented papers in international conferences	10 of the 27 researches presented papers in international conferences			On average 3 researches return to international conferences	6 researches presented papers in international conferences
Attitude of PhD supervisor seminars	Attitude of PhD supervisor seminars	6 of the 17 researches attended seminars for supervisors of PhD students	10 of the 17 researches have attended seminars for supervisors of PhD students			On average 3 researches return to international conferences	All 17 researches attended annual and present papers in local and international conferences

EXECUTIVE SUMMARY (CONTD)													
OBJECTIVES	PLANNED ACTIVITIES	STATUS/PROGRESS		BUDGET (1000 SEK)		EXPENDITURE (1000 SEK)		BALANCE (1000 SEK)		OUTPUT (ANNUAL AVERAGE)			IMPACT
		DURING REPORTING PERIOD	PERIOD 1 PERIOD	REPORTING PERIOD	PERIOD 2	REPORTING PERIOD	PERIOD 2	REPORTING PERIOD	PERIOD 2	PRE-SUPPORT	DURING PERIOD 1	REPORTING PERIOD	
Develop research opportunities in Faculty of Technology and Computer Sciences in Sweden	Joint operations of PhD students	A total of 24 PhD students jointly supervised	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No co-financing research	15 PhD and senior researchers co-funders	15 PhD and senior researchers co-funders	Research and operations already passed on to this senior researchers by Swedish senior researchers. Research and operations capacity of 3000 senior researchers greatly enhanced
	Joint research and publications	A total of 4 researchers published jointly	N/A	N/A	N/A	N/A	N/A	N/A	N/A		15 PhD and senior researchers co-funders	15 PhD and senior researchers co-funders	
	Senior researchers, students travel, including conferences	Total of 10 visits made	1579164	1579255	1579549	1083586	-108355	740587					
	PhD students stay in Sweden (12)	18 students spent average of 6 months in Sweden	1082895	4335899	1082895	2145545	0	2175594					
Develop research opportunities between researchers at regional universities	Swedish senior researcher salaries	Co-going	56000	213000	56000	74100	0	136700		No regional co-financing	Limited co-financing	CRREC co-financing	Enhanced opportunities for regional co-financing. Research capacity greatly enhanced
	Development of centers of excellence	Co-going	1000000	4000000	1083512	2763512	-83512	1414688					
Develop research opportunities between researchers at regional universities	Development of centers of excellence	Co-going	1000000	4000000	1083512	2763512	-83512	1414688		No regional co-financing	Limited co-financing	CRREC co-financing	Enhanced opportunities for regional co-financing. Research capacity greatly enhanced
	Development of centers of excellence	Co-going	1000000	4000000	1083512	2763512	-83512	1414688					

PART F

Pilot monitor's report 2004 – sections relevant to evaluation:

Section 3.3 A gap in methodology: How to take a developmental approach to monitoring and evaluation

A major difficulty that will be encountered, even if Sida/SAREC engages an experienced methodologist to assist in determining criteria for assessing the progress of the program at Makerere University. There is no consensus, even among methodologists, about how to evaluate “research capacity strengthening” in developing countries. Often, methodologies in use in fully industrialized nations have been brought to bear, but the results are not satisfactory. There are several international groups working on this gap in methodologies (e.g. UNESCO, various statistical organizations in Europe and, perhaps most importantly, in other regions where developing countries play a more prominent role) along with the many national groups in Europe, North America, Japan and elsewhere, and the World Health Organization with regard to national systems of health research).

The crux of the problem is that well established measures only show most low income countries to trail far behind affluent ones in terms of internationally indexed publications in peer reviewed journals and patents. Similarly, low-income country university research groups can be shown to receive low levels research funding, largely because their national governments support little in advanced studies and research. The customary outcome measures provide little insight into developmental steps from the point when new research programs are formed until they become productive and competitive as judged by criteria appropriate to mature programs: publication indices, patents and funding levels. These popular outcome measures may be particularly unhelpful where the purpose of the evaluation is to determine the strengthening of research to contribute to national development—rather than to scientific knowledge without reference to its value for development. Patents are often used as an indicator relevant to economic competitiveness among affluent countries, but these do not measure the utility of technology for development of lower income countries.

Understanding the stages of development in “research capacity strengthening” has been a woefully neglected area of research worldwide and poses considerable challenges for Makerere and Sida/SAREC as it does for others. It may be particularly useful for Sida/SAREC to contact UNESCO for information about this dilemma and ongoing efforts to address it.

Section 4.4 Formal Evaluation: Options and Choices for Sida/SAREC

Our first recommendation about more formal evaluation of the program is that Sida/SAREC determine, as soon as possible, the primary purpose of evaluation. Is it to judge the program by some set of criteria that will determine whether future investment will be made? Or is the purpose to gather information to improve the program and facilitate the transition from one developmental stage to the next? Or is there a reason to do both? Clearly all judgments about methods to use and evaluators to engage depend on that fundamental decision. We can see impetus for each approach:

- 1 Presumably there are moments when Sida and SAREC must make major decisions about how to allocate assistance among countries and projects, and some way of comparing the productivity of the investments seems natural. We have not inquired about of what sorts of comparative methodologies Sida/SAREC may currently employ, although this may be a useful basis for further consideration of the question posed to us.
- 2 Surely Sida/SAREC is also interested in using evaluations to enhance the productivity of research programs apart from judgments it will make on resource allocation, and encouraging critical self-reflection with participatory evaluation methods could be one important contribution to this.

Our sense of urgency of this determination is based in part on experiences other research capacity strengthening programs have had when trying to evaluate the programs retrospectively. For example, the Tropical Diseases Research Programme at the World Health Organization invested in a ten year evaluation of their investments, only to find that because planning for evaluation had not been anticipated in the design of the program, documentation available for a retrospective analysis were inadequate to derive useful guidance for shaping future phases of that program. Thus, this group decided to plan their research capacity strengthening activities differently in the future, and to build data for evaluation into the routinely collected information. Sida/SAREC may want to consider this in the design of future reporting from program units.

Whether Sida/SAREC intends to perform one or both of these sorts of evaluations, we suggest that someone experienced in program evaluation methodologies play at least an advisory role in the process from the start. Neither of us can offer that expertise. From prior experience with evaluations of academic institutions and of research programs sponsored by others (e.g. science, health, agricultural and development organizations), and from the perspective of having been evaluated and having participated on evaluation teams, we do know that the process can contribute to strengthening of programs, or inhibit candour and reward showmanship over substance—thus the urgency about prospective determination of data on which to base the evaluation—if this is possible.

Also, given the lack of consensus worldwide on evaluation methodologies appropriate in developing countries (See Section 3.3) it may be even more important here to involve units or people to be evaluated, and those to conduct the evaluation, in discussions of appropriate methods—than it is in circumstances where well-tested methods, and a consensus about their utility, do exist. The Sida/SAREC program officer's list of characteristics of an "enabling environment" for research (a slide first shown on 19 April 2004 during the opening session of the Annual Review) offers a useful starting place for establishing developmental criteria. So too, methods adopted by universities, especially those in middle and low income countries, to evaluate academic programs, particularly doctoral and research programs, governmental institutes and international research collaborations, may be useful. (See Appendix G for suggestions.)

Once having resolved the philosophical level of considerations about what it is that evaluators are to assess, there will be more discreet decisions, such as whether one evaluation instrument will be suitable for all units or program components, or if it will be preferable to tailor these to the different disciplines, units or program components.

Evaluators:

Given the complexity of this program, it may be important to arrange for any evaluation team to be comprised of members without prior contact with the Makerere programs along with Sida/SAREC staff, monitors or Makerere faculty or staff or students with more sense of context and history of programs. Among those whom we met, there is one member of the Makerere faculty who can probably play a very constructive role in suggesting how different approaches and mixes of evaluators may fare: Edward Kirumira, the Dean of Social Sciences. It appears he has experience in evaluating education programs and outcomes and he seems particularly thoughtful in this regard. [See Appendix D for the reference to a study of Ugandan education he contributed to a series sponsored by DFID and University of Sussex.]

In short, we suggest starting soon by assembling a team to discuss methodology, including purposes for which it will be used, selection of criteria, and development of instrument(s) as Sida/SAREC considers whom to invite to participate and on what schedule. If program components are to be measured on some quantitative basis, or rated (comparing one to another), it will be especially important to develop criteria with all those involved early and to review and pilot test them before imposing them as the basis for making judgments.

It seems likely that evaluation of either sort could usefully combine some mix of reading reports (especially if the next generation of reporting requirements will capture data specifically judged pertinent to evaluation), observing presentations structured to inform evaluators based on selected criteria), individual

interviews and "focus group" discussions on selected topics (e.g. clarifying problems interfering with progress towards a well-defined, strategic research and Ph.D. training program; ways in which such problems could be most effectively addressed).

It also seems likely that the evaluation team will require a greater level of expertise in each sort of research program to be reviewed than might be present either at Sida/SAREC itself or among 'process monitors' (see Section 4.3 above), as well as expertise in teaching and supervision and managing of Ph.D. programs. Another very able member of the Makerere University faculty, as well as several Swedish counterparts, suggested that it might be useful to involve Ugandan stakeholders from outside the university in evaluation of programs as well as in selection of proposals to be sent forward to Sida/SAREC for the next phase.

UNESCO's Statistical Office is now developing new analytic tools based on working with developing countries. These methods are intended to capture some of the developmental insights that have not found their way into the Frascati Manual and the other methodologies favoured by OECD. It might be very useful to involve someone from UNESCO, or from universities or research programs that have contributed to the evolving UNESCO approach for compiling data to use in various sorts of evaluation.

4.5 A possibility for the future: Base monitoring and evaluation on a Self-Study by Makerere University of its programs of research and PhD studies.

In the United States, graduate programs (as well as undergraduate university programs), are often evaluated by visiting committees after site visits, based on a device called a "Self Study". For these, it is common that either the accrediting body (or review committee established by the university itself for internal, university program assessments) establish a list of criteria and questions for the evaluation. Each unit to be evaluated then conducts a "self-study" addressing the criteria and questions provided. (For internal reviews, it varies from university to university, the extent to which those to be evaluated contribute to developing the criteria. For accreditation reviews, it is the accrediting body that sets the criteria, although these also reflect the views of faculty across universities who are called upon as reviewers of programs other than their own.)

It is this self-study that becomes the basis of the visiting committee's attention. Members read the report (and data provided along with it in appendices) before the site visit, and ask questions about it during their on-site program review. The committee report is based on the self-study. There does not appear to be a similar tradition in Sweden. Medical schools in East Africa have undertaken processes of this sort within the last few years, with notably positive reports from deans of those institutions that participated. The self-study approach has also been used in other developing countries with good result. One successful example, in which the self-study approach is well described, is when the self-study approach was used in universities in Colombia.¹³

The reason a "self-study" approach may be appropriate for evaluating this collaborative program is at least twofold: First, it provides a respectable way of dealing with the problem of having no widely accepted, developmental criteria for evaluating research capacity strengthening in developing countries. Second, it contributes to the capacity development process directly by placing the institution (or unit) to be evaluated in a position of responsibility for presenting the strengths and weaknesses of its own programs to the evaluators—rather than being the more passive subject of the process driven by outsiders. In these proceedings, units can, implicitly at least, ask for input from the evaluators to help them strengthen aspects of their programs that pose special challenges. Over time, the self-studies and reports of the evaluation committees create a developmental record that can be referred to at each subsequent stage.

We are unaware of any formal accrediting body in Uganda or in East Africa that may have its own, pre-determined driven criteria for review. Thus, this collaboration with Sida/SAREC offers an opportunity for Makerere University researchers to contribute to the criteria by which they will ultimately be evaluated within the Makerere-Sida/SAREC program.

The experience could provide a foundation also for the university to build up a tradition of internal program evaluation, for national and/or regional collaboration in program evaluation.

In Appendix G we list several resources for gathering further information on self-study methodologies and on the range of institutions and geographic distribution of their use to date. Our impression is that this approach is well-known in the Latin America region, and that UNESCO is one focal point for gathering further information.

Also in 2004 Report:

Appendices:

G. Suggestions on how the pool of potential monitors and evaluators might be expanded

H. Short bibliography of sources relevant to methodological debates about evaluating research and programs of research.

Appendix G (of 2004 Pilot Monitors' Report)

Suggestions on how the pool of potential monitors and evaluators might be expanded

A very short list of people well versed in these matters whom Sida/SAREC might wish to consult about methods and many other possible evaluators. Those named are likely to be particularly generous and helpful in suggesting methods and additional people who might serve as evaluators or monitors.

Those involved in evaluation of:

1. International programs of research, for example:
 - a. CGIAR (may have the most extensive history of research program evaluation and attention to methods for this purpose)
 - b. TDR (relevant experience mentioned in text, Section 4.1.2?)
2. Academic programs, for example:
 - c. the Autonomous National University of Mexico (UNAM), a public university of 250,000 students and many graduate programs has a special unit responsible for evaluation of all academic programs
 - i. this unit is headed by an experienced methodologist who is likely to know many others in this field: She is Rosamaria Valle Martinez, Ph.D.
rosam@servidor.unam.mx and +525-622-1509, 1510 or 0407; or +525-622-1509 (home)
 - d. Ismael Ramirez-Soto, JD, Ed.D. formerly headed the Puerto Rico Board of Higher Education (I think that is its formal name, but it may not be quite right). He also is former Dean of several faculties (graduate and undergraduate on the US mainland). He is widely read on how universities develop research capacity in developing as well as in industrialized countries. He has been responsible for evaluation of doctoral programs and for strategies for their development from early stages to maturity: ismael.Ramirez-soto@umb.edu and +617-287-7100 or +781-545-8990 (home)
3. National research institutes or programs
 - e. UNESCO and OECD are likely to be able to point to many national institutes that have evaluated their research programs and research capacity development. These may be informative for selecting evaluation methods and evaluators.
 - f. Denise Lievesley, Director, UNESCO Institute of Statistics, and her staff are likely to be particularly helpful. Among the international organization staff, she has been the most thoughtful and outspoken about the differences between methods appropriate to industrial countries versus those at the "trailing edge" of research development.
D.lievesley@unesco.org and +514-343-6869

4. Foundation or other donor programs, for example, Wellcome Foundation's evaluation of malaria research

Appendix H (of 2004 Pilot Monitors' Report)

A few references relevant to evaluation methodologies for research capacity strengthening

The dearth of literature on methods appropriate to evaluating "research capacity strengthening" in developing countries is a problem in all fields. The organization that seems to be most active in trying to fill this gap is UNESCO's Statistical office with headquarters in Montreal, Canada. Its director is Denise, Livesley [See Appendix G] These efforts at UNESCO are particularly interesting as they are attempting to address the evaluation problem across all fields of science and technology. And they are involving participants from all over the world in an effort to come up with practical, as well as methodologically sound, approaches to evaluation. The self-study material developed by UNESCO probably comes from the higher education division that is housed at the Paris headquarters; it is not the focus of the statistical office work.

To understand the UNESCO process, see

- 1 UNESCO Institute of Statistics. Strategy Paper: Immediate, Medium and Longer Term Strategy in Science and Technology Statistics. International Review of Science and Technology Statistics and Indicators. June 2003. [There may be some updated material on the web by now.]

The historical background for this gap in knowledge can only be understood by studying literature in a variety of fields, among them, the history of science and the history of higher education.

For a review of the historic problem, see:

- 2 Annerstedt, J. Measuring Science, Technology and Innovation. In: Salomon et al (eds.). *The Uncertain Quest: Science, Technology, and Development*. (Tokyo): United Nations University Press (1994).
- 3 Vessuri, H. The institutionalization process. In: Salomon et al (eds.). *The Uncertain Quest: Science, Technology, and Development*. (Tokyo): United Nations University Press (1994). International Conference on Science Indicators for Developing Countries, 15-19 October 1990. (Paris): ORSTOM, Colloques et Seminaires; 1992.

Classics to supplement this summary include:

- 4 Basalla G. The spread of western science. *Science*, 1967, 156.
- 5 Garfield, E. Mapping Science in the third World. *Science and Public Policy*; (1983).

For one of the few studies by a historian of science seeking to understand an example where research capacity did grow and was sustained in a developing country, see

- 1 Stepan N. Beginnings of Brazilian Science. Oswaldo Cruz Institute at Manguinhos. Science History Publications, 1976.

For an example in higher education, see

- 2 Clark BR 1998. Creating Entrepreneurial Universities. Pergamon Press, Oxford.

For indicators and methods of evaluation used by industrial countries (and believed to be inadequate by UNESCO's statistical office for nurturing science and development in lower income countries), see:

- 3 OECD: Frascati Manual, Proposed Standard Practice for Surveys on Research and Experimental Development, OECD, PARIS; 2002.
- 4 Young A. An Assessment of national and International practices for compiling data on health-related research and development. In OECD: Measuring expenditure on health related R&D,

- 2001.
- 5 OECD: Oslo Manual, Proposed Guidelines for Collecting and Interpreting Technologic al Innovation Data, OECD and Eurostat, Paris; 1997.
- 6 OECD: Manual on the Measurement of Resources Devoted to S &T “Canberra Manual” OECD/GD(95)77, OECD, Paris; 1995.
- 7 OECD and Eurostat. Oslo Manual, Proposed Guidelines for Collecting and Interpreting Technologic al Innovation Data, OECD and Eurostat, Paris, 1997.
- 8 NSF. Science and Engineering Indicators, 2000. <http://www.nsf.gov/sbe/srs/seind00/start.htm>

For description of a successful use of self-study approach in a developing country, see:

- 9 <http://unesdoc.unesco.org/images/0013/001310/131066e.pdf>

For field specific approaches to evaluation of building research capacity, see the CGIAR work in agriculture.

- 10 CGIAR. http://www.cgiar.org/research/res_evaluation.html

There are also several reports about research capacity strengthening, such as

- 1 http://www.unesco.org/education/studyingabroad/what_is/quality_assurance_wche.shtml.
- 2 Evaluating capacity development: experiences from research and development organizations around the world, Horton et al, 2003, International Service for National Agricultural Research, PO Box 93375, 2509 AJ The Hague, Netherlands.

For a recent review of this history by an economist for its impact, see

- 3 Evenson R, Gollin D. Assessing the Impact of the Green Revolution 1960-2000. Science, 2003: 300.

In health, there have been a variety of recent evaluations, none sharing a particular method. WHO is attempting to develop common methods, but without a great deal of sophistication about what is going on in fields other than health.

Other examples in (or by health scientists), see

- 1 Grant J, Allen, L. Evaluating high risk research: an assessment of the Wellcome Trust's Sir Henry Wellcome Commemorative Awards for Innovative Research Research Evaluation 8(3): 201-204. Wellcome on Malaria-- URL <http://www.wellcome.ac.uk>
- 2 Beattie P, Renshaw M, Davies CS: Strengthening health research in the developing world: Malaria research capacity in Africa. Edited by The Wellcome Trust. London: The Trustee of the Wellcome Trust; 1999.
- 3 Martinez Palomo A Science for the Third World: An inside view. Perspect. Biol. Med 1986, 30:546-560.
- 4 Simon J. Indicators for the measurement of research capacity strengthening investments. Harvard Institute for International Development, 2002.

White F. (2002) Capacity building for health research in developing countries: a managers approach. Rev Pnam Salud Publica. 12: 165-172.

PART G

Draft evaluation instrument: Questionnaire to be completed by Ph.D. students about supervision:

FIRST DRAFT-- FOR DISCUSSION ONLY

[This form is adapted from one currently in use at the LTJ-faculty at SLU. We use it to learn from graduate students in order to identify and solve problems to improve the graduate program.]

DRAFT Questionnaire to be completed by PhD students (or all graduate students?) about supervision (only for the Sida/SAREC programme?) at Makerere University

A first step in designing self-evaluation tools and collecting data to enhance research capacity

Information here about when student enrolled? Even those who “started at the beginning” achieved registration and started research at very different points in time

1. Are you, in general, satisfied with your time as a graduate student?
☐ Yes, completely ☐ Quite satisfied ☐ To some extent ☐ Not at all

2. Have you ever thought about quitting or interrupting your graduate studies because you are unsatisfied with your situation?
☐ Never ☐ Occasionally ☐ A few times ☐ Many times

3. Are you, in general, satisfied with your supervision during your time as a graduate student?
☐ Yes, completely ☐ Quite satisfied ☐ To some extent ☐ Not at all

4. Do you feel that the Ugandan supervisors have improved their skills as supervisors during the time the program has been ongoing?
☐ Yes, completely ☐ Quite a lot ☐ To some extent ☐ Not at all

5. What is your opinion about your graduate education, please, fill in your opinion in the table below:

Reason	Very much	Much	Little	Not at all
<u>Ugandan supervisor(s):</u>				
Do Supervisor(s) show commitment				
Do Supervisor(s) have sufficient knowledge of the field				
Do Supervisor(s) have sufficient social skills				
Is Supervisor(s) available for you when you need help				
Do Supervisor(s) spend sufficient time with you				
<u>Swedish supervisor(s):</u>				
Do Supervisor(s) show commitment				
Do Supervisor(s) have sufficient knowledge of the field				
Do Supervisor(s) have sufficient social skills				
Is Supervisor(s) available for you when you need help				
Do Supervisor(s) spend sufficient time with you				
Is the distribution of responsibilities among supervisors certain				
Is distribution of responsibilities between you and the supervisors certain				
Is the supervisor group broad enough, (or do you need more supervisors or different?)				
Are you and your supervisor(s) the same gender				
Do gender related aspects of the supervision hinder you				
Do the gender of your supervisor affect your progress				
Is your project is well planned from the beginning				
Is your project realistic to carry out				
Do you have enough support from the leadership at the Faculty/Department				
Do you have enough support from the SGS				
Do you have enough infrastructure (ICT)				
Do you have enough infrastructure (Library)				
Do you have enough infrastructure (DSS)				
Is the salary enough				
Is the physical work environment good				
Is the social work environment good				
Do you feel alone in your work				
Do you have enough influence on your situation				

Are you certain about your future, can you get a relevant job after your thesis defence?				
Do you have a chance to continue with university research after your thesis defence				
Are the financial resources for your research enough				
Do you work under too much pressure (time is too limited)				
Are you certain about your own capacity				
Do you feel that you have chosen the wrong education				
Is it easy to combine education with family/children or other private				
Is it easy to combine education with other commitments at Makerere				

6. If you think that the Ugandan supervisor(s) has increased their supervising skills since the start of the programme, in what ways have their supervising skills been improved:

Reason	Not true at all	True to some extent	True to a great extent	Totally true
Supervisor(s) commitment has increased				
Supervisor(s) knowledge about the research in the field has increased				
Supervisor(s) knowledge about how research is carried out has increased				
Supervisor(s) knowledge about writing papers and publish them has increased				
Supervisor(s) time and resources for carrying out research have increased				
Supervisor(s) social skills have increased				
Supervisor(s) international contact network has increased				
Supervisor(s) knowledge about the administrative issues and systems at Makerere has increased				

7. Do you feel that the research that you and your supervisors are carrying out has an impact on the Ugandan society?

☐ Yes, very much ☐ Quite a lot ☐ To some extent ☐ Not at all

8. Do you feel that the research that you and your supervisor are carrying out has an impact on policies in Uganda?

☐ Yes, very much ☐ Quite a lot ☐ To some extent ☐ Not at all

9. Do you feel that the research that you and your supervisor are carrying out has an impact on poverty eradication in Uganda?

☐ Yes, very much ☐ Quite a lot ☐ To some extent ☐ Not at all

10. Do you and your supervisor have any collaboration with end-users/industry in Uganda?

☐ Yes, a lot ☐ Quite a lot ☐ To some extent ☐ Not at all

11. Have your and your supervisors participation in the programme led to additional funding from other sources of your research?

☐ Yes, a lot ☐ Quite a lot ☐ To some extent ☐ Not at all

12. How are you spreading the results of your research

Reason	Not true at all	True to some extent	True to a great extent	Totally true
Through international publications				
Through conferences				
Through information brochures/pamflets				
Through media (radio, news papers)				
Through public meetings				
Through meetings with end-users				
Through policy briefs				
Through personal contacts				

13. How do you think the results of your research can be better available for your country, Uganda, especially for the poor

Reason	Not true at all	True to some extent	True to a great extent	Totally true
Through international publications				
Through conferences				
Through information brochures/pamflets				
Through media (radio, news papers)				
Through public meetings				
Through meetings with end-users				
Through policy briefs				
Through personal contacts				
Through changing the subject of my research				
Through doing something else, more valuable for the society and the poor then carry out research				

PART H

supervision evaluation instrument, Nature 2007:

Mentors of tomorrow

Everyone knows bad peer review when they come across it — but too few are nurturing good referees.

There is nothing more infuriating: you are an experienced scientist who has sent one of your best ever papers to a journal, and what do you get back? A set of referees' comments that appals you. One reviewer asserts that the work is simply uninteresting and insufficiently original. Another displays wilful bias in relating their criticisms to results by a competitor whose outlook differs radically from yours. And a third has unreasonable expectations of what should be achieved. Not only are you upset, but your student co-author is devastated.

Such a trio of inadequate referees' reports would rightly make an author doubt the credibility of the editor, who has a duty to ensure fair play. But they might also give the offended author reason to reflect a little. What right has he or she to expect a high quality of peer review? What training is being given in his or her own lab to ensure that the next generation understands how to do a good job of critically appraising others' work? And as the pressures on researchers grow— bureaucracy from institutions and funding agencies, incentives to apply the outcomes of research — the very motivation to do a conscientious job of peer review is itself under pressure. The fact is that the skills required to be a conscientious peer reviewer cannot and should not be taken for granted in young scientists. The culture of peer review is hugely variable — some heads of research groups take such training seriously, others do nothing. A more robust culture of good refereeing needs to be sustained — and that needs strong mentors.

Nature has for some years campaigned for good mentoring in the laboratory, particularly through a set of awards introduced in 2005 (see www.nature.com/npg_community/nature_awards.html; the entry period for this year's awards, which are for researchers in South Africa, closes this week). On page 791, we publish a guide to all aspects of mentoring, derived from the diverse and very specific endorsements of good practice received through the nominations process. Many of the goals of mentoring are self-evident. But the explicit fostering of ethics in the lab is rare. And ethical practice includes doing justice to other researchers in critically assessing their work. So what are the elements of good peer review? The most important aspect is attitude, which should be one of constructive objectivity. This includes not only avoiding scientific bias, but also leaving behind any preconceptions about the labs in which the work was done. The content should be constructive, too. To summarize the paper and highlight its strengths and essential significance not only shows a proper sense of engagement, but also helps both author and editor to benefit from a fresh perspective. But it is in making critical comment that a referee genuinely adds value, provided that such comments are constructively and collegially expressed. If there are experimental weaknesses or alternative interpretations, it helps to suggest experiments to strengthen the case or resolve ambiguities. If inadequate credit is given to previous work or if the paper fundamentally lacks originality, it is a good idea to provide appropriate references. This may all seem obvious to the experienced reviewer. (Readers can find more on good peer review, and can comment on it and on this Editorial, at <http://blogs.nature.com/peer-to-peer>.) But it is only by careful oversight of a young scientist's attempts at reviewing real papers that the benefits of this experience can be passed on. Nature and Nature journals encourage the involvement of younger scientists by a referee, provided the authors' need for confidentiality is respected and the additional reviewer identified. Such mentoring should be routine in research team leadership, if standards are to be kept high.

Nature's guide for mentors

Having a good mentor early in your career can mean the difference between success and failure in any field. **Adrian Lee, Carina Dennis and Philip Campbell** look at what makes a good mentor.

Vol 447|14 June 2007

The *Nature* awards for creative mentoring in science were created on the premise that the mentorship of young researchers — although fully deserving of recognition — is perhaps the least remarked on of all the activities that take place in the lab. Indeed, there is no established definition of what constitutes good scientific mentoring. This article attempts to remedy that situation, drawing on the evidence from competitions for *Nature*'s awards. These are held on a national or regional basis, with the most recent taking place last year, when the focus was on Australasia. Previous competitions have been held in the United Kingdom, and the next competition will be in South Africa (see www.nature.com/nature/mentoringawards/southafrica/index.html). The response to the competition in Australasia was remarkable, with more than 70 groups of 'mentees' submitting their achievements and the reasons why they believed their mentor excelled, with each of the nominated mentors giving a personal view of how they approach mentoring. The quality of applications was outstanding and the panel, all experienced in refereeing papers and grant applications, commented that this was one of the hardest evaluative tasks they had ever undertaken. However, there could be only two winners and they have been lauded elsewhere (see *Nature* **444**, 966–968; 2006).

Having been involved in judging the awards — whether in Australia or in the United Kingdom — we realized that within the pages of the applications was an immense resource that could provide a basis for reflection on what comprises good mentoring. These reflections are presented here, with examples of just a few of the hundreds of quotable quotes included in the nominations supporting the mentors. The attributes that we highlight represent a distillation of the opinion of more than 350 scientists writing as nominated mentor or their nominating mentees (and it was the latter whose comments were all-important for the judges).

We hope that this material will be especially useful to younger scientists as they start out on their careers as mentors — be it PhD supervisor or scientific team leader. But others stand to benefit from it too. Indeed, we challenge readers who are established leaders of groups and supervisors of young scientists to look at the evidence of what comprises good mentoring, reflect on your practices and determine whether there are lessons here that could see you alter your approach. Such changes could be to the ultimate benefit of those under your charge and, given the lasting and broad influence of good mentors highlighted by the competition, to science as a whole.

All the quotes included here were taken word-for-word from the applications, either from proposing mentees or the mentors themselves. For obvious reasons they have been depersonalized and are unattributed.

A mentor for life

"M, without any doubt, sees all his interactions with people as lifelong. He always keeps in touch with ex-students, postdocs and so on after they have moved on. Even if he is not directly helping them, he keeps himself aware of their activities and at times informs them of things he believes would be of interest or useful, to them. He genuinely treats his ex-students and postdocs as part of an extended family."

Many of the proposing mentees started out as students of the mentors but later became well-supported colleagues. But a distinctive feature of a great mentor as opposed to a great supervisor seemed to be a special focus on helping to build the mentee's career. A natural consequence of the care and effort the mentors put into supporting the careers of their students/staff was that the majority of them became mentors for life: their advice continued to be valued, friendships grew and the links were maintained.

"For me there is a difference between a supervisor and a mentor. With the latter you find that you are not simply a student with a research project, but a student with a career in front that the mentor helps you start."

Personal characteristics

Enthusiasm

"First and foremost, M is incredibly passionate about science. She eats, sleeps and breathes science. Her enthusiasm is absolutely infectious, and it creates a wonderful atmosphere in her laboratory."

"It is the nature of supervision that you have to explain/teach some key concept time after time as each new student arrives. Each time I had to make it feel to the student postdoc that it was the first time I had ever explained the concept; each time I had to tell it with sparkle to help inspire them to seek to know more. At times it was hard to stay 'inspirational'; but to fail would have meant to me that I should quit as a supervisor. You need to understand, as an old and wise friend once said to me, 'Remember, they stay the same age, you get older!'"

Passion, enthusiasm and positivity were words dominating the majority of the mentee reports. Whether these are traits we can cultivate or create is debatable. The lesson seems to be that it is very important to be as enthusiastic about your students' research as you are about your own. If you are not, then the question becomes: is the student working on the correct project? If you are not passionate about their project, how can you properly support them? This should also be a lesson to administrators, who may sometimes allocate students to projects and supervisors for expediency rather than a genuine concern for the student or indeed the staff member.

Sensitivity

"When things go wrong, it is important to find out why things happened the way they did. There could be personal factors (sickness, relationship break-ups) that contribute to unhappy decisions or results. Although I may not be able to provide the solution to personal problems, I can provide a sympathetic ear as well as advice or direction to support services."

This quote speaks for itself but there were a number of examples in which mentors were very sensitive to their charge's circumstances and showed compassion and understanding.

When a student or colleague exhibits unusual behaviour or lack of progress there will be a reason. Mentors need to listen, hear and support. Also, many mentors were sensitive to mentees' needs that were not strictly professional, such as finding the right balance between work and family responsibilities; coping with cultural transitions after a move from a different part of the world; developing confidence in a culture that may not be welcoming; or opposing ethnic or gender bias if it arises.

"M also knows that it is important to have a work-life balance. He's made it easy for a postdoc with young children to return to the lab part time. It's encouraging as a young scientist to see that there are lab heads who are supportive of people being able to spend time with their family but still have a chance to develop their careers."

Appreciating individual differences

"Again it is important to cater for personal traits. Some of my student colleagues need to dot every i and cross every t as they design a set of critical experiments that we have all agreed are important. Others, with, I suspect, an equal success rate, need to jump in, risk making a mess of a few highly critical experiments but gain an instant understanding of either what not or what to try. Allowing both approaches is sometimes difficult, but necessary."

We are all different in how we work and in what motivates us. The mentees were clearly very appreciative of an ability to carefully craft development activities to enhance and extend personal strengths. Special effort is needed to try to understand all those in a team and deal with them differently. And however much you want that student/colleague to work on that project, sometimes you have to help them make decisions about their career directions.

"Not everybody wants to be a leading researcher and some have skills that make them better suited to other occupations. There is little point in encouraging young people to take on a career to which they

may be unsuited or that they will find stressful or uninteresting. So I believe it is necessary sometimes to encourage them into other directions."

Respect

"She treats her colleagues, regardless of whether they are doing a PhD or if they are a fellow professor, with the same high regard. In doing so, M inspires confidence in her collaborators."

It is sadly true that laboratories exist where the PhD students are seen as extra pairs of hands rather than genuine collaborators. Although the supervisors may well be successful and grants be funded courtesy of those extra hands, they will never have the satisfaction of working in the stimulating environments described in all of the applications for the mentor awards and will never truly be respected themselves.

Unselfishness

"His magnanimity in sharing his own ideas and delight in seeing others succeed has also been an inspiration, not just for myself but for a whole generation of younger scientists."

"Most importantly, M has no intellectual jealousy. She was always happy to see others succeed, pushing them forward into the limelight while standing back in the shadows herself."

There are leaders of some big and important groups who are more concerned with using group members to promote their own scientific standing. Letting your students/colleagues take your ideas and run with them, and being free and willing for them to take credit is not always easy but is always appreciated. What do you lose by allowing them to be lead authors even if the idea was yours?

"His lack of defensiveness was very important to me. On several occasions I've published papers that were critical of some aspect of his work — and he helped me to articulate the issues and supported me in getting them published."

"I believe that it is too easy for mentors to create grand (manipulative) plans for their younger colleagues. I believe it is important for mentors to suppress the desire to paint the grand picture, instead it is imperative that they learn to understand their colleagues and how to assist them to fulfil their dreams."

"It was not uncommon to hear that she had lobbied for an opportunity for a postdoc to speak at a conference rather than doing so herself because she recognized the value of becoming known, especially given our distance from North America and Europe."

Support for other than one's own

"M is just as diligent in fostering careers of people who he thinks can advance science as he is at fostering his own students. This action is consistent with a motive that goes beyond mere ego and represents service to the advancement of science."

The impact of a good mentor goes far beyond his or her own boundaries. Within the applications were many examples of support outside the mentor's group. Indeed a number of the mentee support documents were from those who had never actually been in the mentor's laboratory but whose lives had nevertheless been touched.

Teaching and communication

"M's enthusiasm was infectious for many undergraduate students, and I have no doubt in saying that her delivery of the subject matter was instrumental in fuelling my interest in X as a subject."

The tension between research and teaching remains at all universities. Success in both is not mutually exclusive and it was striking, but not surprising, that many of the exemplary mentors were exemplary teachers. Many of the mentees who themselves have gone on to very successful careers and have international reputations in science would not have gone down that pathway if they had not been exposed to their future mentor as a teacher.

Those who work in university administration need to remember the benefit of exposing undergraduate students to top scientists to increase the number of graduate students.

Up-and-coming young scientists should put effort into their teaching in order to inspire and interest their future mentees. Good mentors encourage their students to teach as soon as they start their PhD, not only to supplement their income but, more importantly, to develop skills that will benefit them in the long term.

Also, many of the great mentors were great communicators, not only of science itself but also of enthusiasm for it to diverse audiences such as schools or local societies. This is not a universal talent and can even be damaging to all concerned if done badly. The good mentors appreciated that such activities can be very valuable training for the communicator and encouraged their students and younger colleagues to develop these skills.

"I first encountered M as a year-11 highschool student in a small country town. The Royal Australian Chemical Institute had commissioned M to travel to regional Victoria and put on a 'chemistry show'. I remember the explosions, the foam tower spilling its contents over the stage, and M pretending that he hadn't noticed the chemical mayhem around him. And I remember that it was about this time that I became interested in chemistry."

"Students need experience talking about their research in many different forums. Conference attendance is crucial so that they have the opportunity to discuss with other researchers and to develop new ideas. But it is equally important that students have the opportunity to discuss their work in lay terms, whether it is being presented to parents, teachers, or to doctors and nurses as S has done."

Tips for mentors

Throughout the mentees' reports and the mentors' reflections on their mentoring styles were descriptions of activities used by the mentors that contributed to their success. A number of these tips are reproduced here for those readers embarking on a scientific career — or those in full flight — in order to stimulate thinking about mentoring. There is no magic formula; these are simply examples of what the mentees thought worked for them.

Availability: the open door

"First, her door is always open, even now in her retirement she can never say 'come back later'. I now greatly admire this skill for I find myself struggling with administration and feeling guilty in making appointments to see students. M always put scientific discussion first."

"I cannot remember him ever cancelling an appointment with me despite the tremendous demands on his time (he was head of department for some of the time that I was his student)."

"M was always accessible, and she always made it abundantly clear to her students that she would rather talk about science with them than do just about anything else."

If there was one theme that came through all the reports it was this one. Availability is the standout quality appreciated by the mentees. Despite enormous workloads and responsibilities, the mentor was always there and the door was always open. They never failed to respond to an urgent request immediately. Mentees marvelled at e-mails answered in 20 minutes, responses made to drafts in two days and the willingness to listen to their problems. The regular meeting is clearly an important strategy that some mentors use as well as having an open door. The most impressive was the mentor who set aside a whole day to meet each group member individually for half an hour. The day included a journal-club meeting for all, followed by a research discussion over drinks at the end of the day. An advantage of having a routine that all knew was that it made it easier for students to plan their work and for the mentor to avoid committee meetings on that day. Morning or afternoon coffee breaks are

also great daily opportunities for discussion. In these meetings, good mentors encouraged troubleshooting unsuccessful experiments rather than discarding them as a result of incompetence. Indeed there was a common theme that analysis of failure was as important as success.

Inspiration, optimism

"Going to M's office with your head down, armed with a plot or calculation showing that the project seemed to be going nowhere, you will leave believing that you've solved the mysteries of the Universe."

"On many occasions I remember walking into her office convinced that I had been wasting my time, and then ten minutes later walking out with a smile and the sure knowledge that what was a bad result was indeed just what I needed!"

The 'walk into the office dispirited/a failure/ miserable and yet walk out inspired and optimistic' phenomenon is a special feature of interaction with the great mentors. There were many comments similar to those above. Attributes that allowed the mentor to cause these almost spiritual experiences included: a broad vision of how science works, a bigpicture view and a conviction that unexpected results are often the most interesting and point towards novel insight.

Balancing direction and self-direction

"M displays the right balance of direction in a project and letting someone discover and develop insights for themselves. Supervisors who micromanage their students or have very specific ideas of how the science in a lab should be done can stifle the student."

"The scientific acumen to, on the one hand, encourage promising ideas and, on the other, recognize a 'dead end' is one of M's great mentoring skills."

Given the large number of comments on getting the balance right, this is a major component of good mentoring. Just how much guidance to give can be a challenge. There were many negative comments about those who have been seen to micromanage. Yet there was also criticism of those who let students run free and learn by their mistakes. The skill lies in giving young researchers the freedom to expand on their ideas but gently reining them in when they are off track. There were no clear clues as to how to develop this skill. Possibly awareness of how you do it could encourage you to change. Where do you place yourself on the direction–self-direction scale?

"His advice was almost always given in the form of suggestions, so that we were able to digest them and form our own judgment about their worth. With hindsight I recognize this as a deliberate strategy designed to encourage independence of thought and critical thinking. As a PhD student, M made me feel like his collaborator. This is probably the greatest single lesson I have tried to take from M and apply to my own research group, to encourage and prompt students to follow their own ideas and judgement, and to provide an environment where this is possible."

A special challenge is, even if you are prepared to encourage independence, what can you do that nurtures research creativity?

"When I conducted an experiment using two different sources of the one tissue that was never in the research programme, M, instead of saying 'No, stick to the programme', asked me why I thought that was a good experiment to do and then complimented me for thinking laterally about the programme."

"If and when your ideas did not come to fruition there was no criticism, only encouragement to learn from the mistakes made, if any, and encouragement to develop other avenues of scientific attack. This 'judgement'-free environ allowed one to attempt to implement challenging techniques, knowing that there was no 'skin off one's nose' for trying."

The art of questioning and listening

There is always another question to ask. The questions seem innocuous but nothing is as it seems to be; there are more insights to be gained by probing away. M also never imposes her will, but she persistently keeps the questions flowing to help the answer come along."

One of the strategies used in developmental workshops to help young academics become better small-group teachers is to practise answering students' questions with a question, in order to lead them towards both an answer and a better understanding of what they are learning. It is always easier to give the answer. The same is true when you start to mentor your PhD students and younger colleagues.

"Rather than directly providing me with interesting ideas, he is able to ask the right questions to allow me to come up with my own theories and ideas."

This is a skill and it can be practised even though it is time-consuming. It is a skill highly valued by the mentees, as was the equally important skill of active listening.

"The major aspects of practice and personality are her ability to listen patiently, even when she knows better, and to point the mentored person to a more complete understanding of the issues implicit in a particular problem. This she does with deceptively simple questions that frequently do not elicit an immediate response, but ultimately allow a more rational interpretation of all the facts."

Being widely read and widely receptive

"As a new assistant professor with my own young graduate students, I can appreciate the subtle ways in which M fostered good habits of constantly surveying the literature and exploring research outside the immediate bounds of my own interests. I hope that I can guide my students in a similar, low-key way that M encouraged in me."

"Often, M would leave the latest, hottest paper on my desk, with an enthusiastic note attached that not only conveyed his own excitement about the field, but also piqued my interest."

An enabler of good science is keeping abreast of the literature. A defining characteristic of many of the great mentors was wide reading outside their field. Mentees appreciated sharing in this reading, and also the deliberate strategy of using key papers as a base for discussion either at group or individual meetings or by the casual dropping of reprints as described above. Again, time-consuming but valued.

"For a rigorous scientist of international acclaim, I found her to be very open-minded, and she encouraged my exploration of different avenues of research, even when these fell outside her direct expertise (if need be, M was very willing to study new areas of enquiry in order to provide appropriate intellectual support)."

Most researchers have a pet hypothesis and an individual approach to their particular area of science. Sometimes that dogma and limitations in breadth may be exposed and challenged by students or colleagues. As a result, you need to be open to ideas and solutions from all other disciplines. You need to be ready to accept that you might be wrong, to acknowledge and study new directions you have never considered, and to congratulate your mentees for taking you down that pathway.

The initial project

"Ensure that all students have projects with at least some guaranteed biologically relevant results. Risky work (such as making a knockout mouse) should be balanced with other work that will ensure some results."

This is related to getting the balance right, but a number of comments highlighted the fact that, in the beginning, students do not have the experience to make a decision on the first project. One mentee drew attention to the fact that, at the start of a PhD, it is the supervisor who has the knowledge, but as the PhD draws to a close, it is the student who has the knowledge and who becomes the teacher. Those readers who are on graduate-student committees will probably have seen instances in which the initial project was a key question to be asked in the supervisor's research programme, but was simply too hard to be the basis of a starting-out project. Many mentees identified being given the right kind of project as a key factor in their ultimate success.

Life after science

"M has always encouraged me not to forget to smell the roses. I will always remember him telling me as a first-year PhD student that I needed to take up other activities besides science. My life has been a lot more fun because of his advice."

This was not a widespread observation but was clearly a positive feature to those who received this advice.

Celebration

"The first time a person comes up with a novel idea or experiment of their own. This should be an occasion for public recognition within the lab as it is a milestone of great significance for most young scientists."

The importance of celebration and rewarding successes, large and small, is often neglected. Yet it can be highly encouraging to individuals and can contribute to the building of communities. It is a strategy that all mentors can introduce, although the extent of the celebration will vary depending on personalities and level of extroversion. The guiding principle is that celebration, however large or small, is a powerful motivator. The range of celebrations mentioned in the awards nominations is worth listing here as a challenge to your imagination: off-campus lunches, the weighing of the PhD thesis on submission, cakes at morning or afternoon tea, barbecues at the mentor's home or cocktail parties on graduation.

Building communities

A constant theme from the groups supporting their mentor was the sense of community. The successful mentors realized the need to build communities to create an environment where all under their care could flourish. They all had deliberate and varied strategies to build these communities. How often have you experienced the negative impact of silobuilding within departments? Positive and sustaining communities do not just happen, they have to be nurtured.

Of scientists

"M takes an inordinate amount of trouble to involve all the people around her in all aspects of the life of the lab, such as seminars, research-planning meetings and informal meetings with outside visitors. All these make you feel a valued member of the research team from the outset."

Regular meetings have been commented on before. They include: whole-group planning meetings; meetings with external visitors; subgroup meetings with a specific task to report to the whole group; group-writing tasks; assigning a new junior staff member or student to a senior staff member or student mentor. Especially important meetings were 'journal clubs', which many team leaders set up but often do not sustain.

"The journal club helps to make sure all of us read something other than immediately relevant research, at least once a week. The menu wanders around, sometimes classic papers, sometimes high-impact pieces in Nature or Science, sometimes chapters from a popular-science book, sometimes philosophy or psychology of science. Over time we have evolved the practice of going round the table first with each participant speaking for 3 minutes. There are always some people who have intelligent comments, but would never put them forward if it were left to them to find the right time to speak. The 3 minutes also restrains the talkative."

Of people

"The most useful single thing I've learned is that chocolate biscuits do more for everyone's good humour and enthusiasm than any amount of feel-good talk. The role of blood sugar should probably have been obvious to a biologist from the outset, but I only learned this by experience. Mind you, cheerful and encouraging conversations are good too, as are gin and tonic."

Again some mentors' disposition might not always lead to easy support and nurturing of a social group. But there is no doubt about how much such social activities were valued. Activities can be as simple as the chocolate biscuit or more adventurous, for example 'Shakespeare under the stars', wine tastings,

ethnic dinners, dinner parties with visiting scientists, bird-watching days, video nights or celebration of every birthday at morning or afternoon tea. One group formed a jazz band, but commented that their gigs were not as favourably reviewed as their articles. One successful mentor noted that, having initially created the social events, he/she now left it to the group, with a resulting range of events that reflected their interests from canoeing to cake-baking to karaoke.

Skill development

"M has focused on equipping people with the skills to be fully functioning members of the scientific community, able to prepare grant applications, review manuscripts, speak at conferences and engage with scientific administrators in a constructive manner. Such a holistic approach to running a scientific group will ultimately bring enormous benefit to the group's alumni, giving them all the skills necessary to carve out their own niches in the academic world."

It is clear that successful mentors work hard at developing the scientific skills of their charges. Again this depends on deliberate strategies and activities rather than leaving the outcome to chance. Not surprisingly, the following three skills were the ones that were most often commented on.

Criticism

"Our regular meetings would often entail the discussion and evaluation of recent published works. This process provided a great insight into the method of critiquing and assisted in driving our work into new methodological areas to answer questions in a greater depth."

"The critical analysis of scientific publications is encouraged. No conclusions are taken at face value and fearless discussion of the analysis and interpretation of results takes place during our weekly laboratory meetings and, of course, in the preparation of papers."

Again this is where a journal club has been used to good effect — students regularly take turns dissecting one or two relevant current papers and their background, with input from other students and faculty members. The successful strategies highlighted involve requiring students or young colleagues to write reviews of journal articles, referees' reports and grant applications and then critiquing their efforts. Instinctively you probably know the value of such activities, but do you always ask for individuals or groups of staff/students to have a go first? Or do you simply involve them in critiquing your writing or your grant application? The last approach is not the way that works.

"M does not only guide his students in their research, but ensures that they learn how to critically review the literature. He often challenges his students with an exercise of reviewing a paper. He then patiently remarks on their review."

As this quote illustrates, another way these activities benefit science is by preparing the mentees for their role as peer reviewers in the future. This is an activity often taken for granted. We believe that it shouldn't be. Peer review is all too easily done badly, and is also all too easily put aside under the pressure of other commitments. It is essential that the motivation to review papers and grant applications is instilled in young scientists. It is equally essential that they be required to practise such activities, under the scrutiny of their mentor. Only then are they likely to learn how to provide a combination of specific and constructive advice about significance, technical strengths and weaknesses, and (for papers) presentation (see Editorial, page 754.)

Writing

"Writing my first paper was a true experience. M asked me to write it, but the paper that was submitted had no resemblance to my initial written draft. Nevertheless, M went through my mistakes patiently and thoroughly, a writing experience from which I learned a great deal. This paper was accepted by Cell without any corrections, which is a very rare event."

Writing is such a critical part of being a scientist that its development must not be taken for granted. Among outstanding mentors, rapid turnaround over one to two days with clear feedback seemed the norm, as did resisting the temptation to do the rewrite for the student but, rather, assisting the mentees to rewrite several times. Also, it seems essential that this attention is paid to writing from the very beginning of a studentship. This requires deliberate action and tasksetting by the mentor.

Oral presentation

"Although few students have a natural gift for giving a scientific talk, all can learn if given sufficient practice and advice. I always suggest that the student provides me with a run-through a week or two a presentation, to allow sufficient time for revisions."

"I recall that one day M suggested that she and I should have a wager on who could ask the best question of the speakers at the chemistry seminars held weekly in the department. This meant you had to listen closely to the work being presented and to think about it, in order to come up with an insightful question. I recognized that what she really wanted to do was show the students how to get involved in a seminar and she used us as examples of how to engage with the topic presented. Her questions were always informal but probing. The audience, largely made up of postgraduate students in chemistry, of course loved this and soon got into the act."

The quotes speak for themselves, but all mentors saw it as their role to ensure that their charges had ample opportunity to speak at international forums, and all highlighted the need for practice and critique beforehand. An often-neglected skill is the art of questioning as described in the second quote about the practice of an experienced mentor.

Networking

All successful scientists have extensive networks spread across the globe. But do they all link their students into those networks as actively as they could? This was another of the standout attributes of the *Nature* finalists and, as commented on above, is one of the distinguishing features of a mentor over someone who is simply a good supervisor. Good mentors saw it as their responsibility to share their network. Use their contacts and promote their students/young staff

"M always made a large effort to develop the scientific careers of his students. He would actively encourage his students to attend national and international conferences and at these conferences would make a significant effort to introduce his students to other researchers in their field. He would also make a great effort to make sure others were aware of his students' achievements and work. When it came time to leave his laboratory and develop links with others, M was a great source of contacts and ideas."

All the mentors made special efforts to ensure that their charges were exposed and introduced to visitors who came into a laboratory. And they encouraged collaboration by introducing their mentees to potential collaborators. This was never left to chance but was planned.

"Similarly another practice was to try to secure a few hours of time from visiting international scientists during which students would present their work. This practice has a number of benefits. First it provided good-quality feedback and a range of helpful suggestions on the direction of particular pieces of research. Second, and perhaps of particular importance to Australian trainees, this practice gave an insight into the way some of the world's outstanding researchers think and helped demystify the work of such researchers."

Departmental tradition often expects the visiting scientist to present his or her findings to the department. Good mentors ensure that the visitor also gets to hear of the work of their students and staff. As support for those who have left the laboratory continues, the advice of one mentor rings very true:

"Write only honest references. One slanted recommendation will damage the prospects of all that follow, because the writer's credibility goes out of the window."

Send overseas

"With the wisdom of hindsight, I think the single most important thing I did as supervisor of PhD students was to send each one of them overseas at least once in their candidature."

Another recurring theme was gratitude from the mentees at the special efforts their mentors made to allow them to travel overseas to conferences and/or visit the laboratories of colleagues in their networks. Some unselfishly suggested that their protégés should go instead of themselves. Others, when overseas, ensured that they arranged exposure of the work of their charges to world experts. Hence:

"She would attend conferences with her students and at such events would always make a point both of introducing her students to the leaders in the field, and of actively encouraging anyone to whom she was talking to go and see the students' work. She was renowned for arriving at her students' or postdocs' posters with a bemused world-expert in tow and then encouraging the student to explain the poster, letting the student do the talking but with M adding encouraging and supportive comments from the sideline. This is another practice I have adopted from M."

Once aspiring young mentors appreciate just how important it is for all their students/staff to have opportunity to travel, it is important to negotiate financial support from the department or professional society or elsewhere. There are sources of funding available, and good mentors seek these out, just as they actively look around to find the best match of conference and/or laboratories for their mentees.

Advice on career decisions

"But perhaps the most important thing is his tireless attention to the needs and in particular the career development of the younger people around him. M always finds top placements for his students and postdocs."

Perhaps a defining feature of the *Nature* nominees was that the goal of networking was not simply linked to their own research progress, or to ensure that the PhD was successful, or that the work of the postdoc or research assistant moved their projects forward. Rather, there was evidence of extensive communication, discussion and negotiation behind the scenes to ensure that when the student or colleague left the group they could travel along a pathway that was most likely to set them on a successful career. All the supporting mentees had successful careers and in all cases their mentor had helped them with their career.

Conclusion

"Having a good mentor early in one's career can mean the difference between success and failure in any career."

"Those who are good mentors get incalculably more out of it than they put into it."

Self-assessment: how good a mentor are you?

Activity/Strategy Question/Task Example What could be done better?

Appreciating individual differences

Give an example of an incident that illustrates your acknowledgement of individual difference

Availability Give an example of the strategy you use to be available to your students/staff

Self-direction What was your rating on the scale on page 793?

Questioning Describe how you last used active questioning to lead a mentee towards a solution

Celebration When did you last celebrate a student/staff member's achievement? How did you celebrate?

Building a scientific community Describe a deliberate strategy you use to build a scientific community in your group

Building a social community Describe a deliberate strategy you use to build your group as a social community

Skill development Describe steps you take to develop the critical, writing and presentation skills of your students/staff

Networking Describe one example of how you have introduced each of your students/staff into the scientific network of your research area

Mentor for life How many of your past students/staff are you in contact with?

What one thing will you do differently after reading the description of the mentoring behaviour of the *Nature* mentors?

This article concludes as it starts, with reference to just how important mentoring is to those under your care. The second quote highlights the positive satisfaction of being a good mentor. From the entries we have read, it is clear that there are second generations of mentors now out there who learnt from their own mentors how to provide superb support for the scientists under their charge. Many reading these pages will themselves have been privileged to have been mentored by those applying many of the strategies described. Indeed, in the pages of nominations that was the inspiration for this article, it was also clear that the proposing mentees had taken on board the behaviours of their mentor and were themselves well on the way to being the next generation of successful mentors.

Our purpose, based on the rich resource provided by both mentees and mentors, is to challenge you to reflect on how you are currently mentoring those under your charge. Is there anything you can learn? More importantly, can you improve what you do? What examples of exemplary mentoring activities do you use?

Equally important, for those young scientists newly embarked on a career in science or about to start building a research team: can you plan your approach to mentoring that team by including strategies, processes and behaviours described here that clearly work? If so, you will not only influence the next generation of scientists but also increase your own satisfaction by being in charge of a productive, enthusiastic, challenging and fun team.

As a stimulus to these reflections, we have drawn up a simple table (above) designed to aid your reflections. Whether you are setting out on a mentoring pathway or simply want to see how your mentoring strategies stand up, we encourage you to fill out the table. It asks for the provision of specific examples: we consider this to be the best way to stimulate reflection on your approach to scientific mentoring. Just as the values and strategies of the great mentors, nominated for the *Nature* awards, have benefited the careers of hundreds of now successful scientists, we hope that this distillation of approaches will have a beneficial effect on your mentoring of our future successful scientists.

Adrian Lee was pro-vice-chancellor (education and quality improvement) at the University of New South Wales, Australia, from 2000 to 2006.

Carina Dennis is Australasian correspondent of *Nature*.

Philip Campbell is editor-in-chief of *Nature*, and founded the *Nature* mentoring awards.

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PART I

Email exchange with President, International Association of Universities/UNESCO, about evaluation:

From: g_t_mobhai@yahoo.co.uk
Subject: Re: Eva Egron Polak suggested I contact you
Date: 5 September 2007 1:45:53 AM EDT
To: phyllis.freeman@umb.edu

Dear Phyllis

Ü

I am sorry I could not reply earlier as I was away and came back last weekend.

Ü

I very much doubt whether there is any systematic evaluation process of research in African universities. As far as I know, and I am speaking mainly from my experience at the University of Mauritius and also from my knowledge of a few African universities, research gets assessed at three levels: 1. for promotion of academic staff; 2. for compliance with quality assurance requirements; and 3. in connection with externally funded research.

Ü

It is, I believe, for promotion of academic staff that a thorough evaluation of research of academic staff takes place. In almost all cases research is an important criterion for promotion - very often the most important criterion, especially for promotion to higher grades. Each institution has its own system of assessment but usually one takes into account the work published, the quality of the publications as evidenced by the journal where it is published, research supervision of postgraduate students, etc. At the University of Mauritius we established a quantitative method whereby candidates would be assigned marks for their different contributions. In the case of candidates for appointment to full Professorship, they are assessed by two independent external senior academics having expertise in the field, and research is the most important factor.

Ü

Regarding quality assurance, this is not yet well established in most African countries but research is usually an important criterion. The external assessors always look at the research output before making their recommendations. But the assessment is usually very general in nature and is more qualitative than quantitative. While the assessment of the institution does give an overall indication of its research strength, it usually lacks in depth.

Ü

Assessment of externally funded research is well established and the output is usually assessed by the external funding agencies according to their own procedures. Because of lack of local funding for research, a significant amount of research in African universities is externally funded. So such assessment plays an important role.

Ü

I hope the above is of some help to you.

Ü

Kind regards

Ü

Goolam Mohamedbhai

Ü

Ü***

Phyllis Freeman <phyllis.freeman@umb.edu> wrote:

Dear Goolam Mohamedbhai:Ü Eva Egron Polak suggested I contact you in your role as IAU president and chair of Africa Scientific Committee for the UNESCO forum on HR, Research and Knowledge.ÜÜ

I write because I am involved as a monitor of research capacity development in a collaboration between Makerere University and the Swedish International Development Agency/SAREC.Ü We are discussing methods of evaluation, particularly self-evaluation of research, research capacity and research universities.Ü As i am drafting this year's research monitoring report, I am eager to learn all I can about evaluation of higher education/research in Africa, by African universities and related entities (approaches to evaluation in use, any collaborations among universities on evaluations, information about indicators selected and how these may differ from those used in Europe, North America, etc.Ü I would be most happy to call you to learn anything you might suggest I pursue.Ü Also, of course, if there is something on the web or available electronically, that would be immensely helpful.Ü

If you have any suggestions--about whom else to contact, anything to look at, or when it might be convenient for me to call you (for the coming weeks, from the United States--though I am often in Paris as well).

Many thanks in advance for any guidance.Ü pf

Phyllis Freeman, JD
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Prof Goolam Mohamedbhai
President, International Association of Universities
Former Vice-Chancellor, University of Mauritius

Tel: (230) 4547351 (home); (230) 7782351 (mobile)
Fax: (230) 4673606
Email: g_t_mobhai@yahoo.co.uk
Website: www.unesco.org/iau

From: g_t_mobhai@yahoo.co.uk
Subject: Re: Eva Egron Polak suggested I contact you
Date: 7 September 2007 10:00:43 AM EDT
To: phyllis.freeman@umb.edu

Dear Phyllis
Ü

I think most African universities do give credit to developmental research. The main problem is that there are rather limited journals where such research can be published.

What we did at the University of Mauritius was to create our own research journal. This does not mean that we publish anything and everything - in fact every article submitted for publication is reviewed by two external assessors, in most cases from outside Mauritius. The approach of a university having its own research journal is quite common in Africa. Apart from that I am not aware of any specific indicators having been developed to assess developmental research in Africa.

Ü

Kind regards

Ü

Goolam

Phyllis Freeman <phyllis.freeman@umb.edu> wrote:

Dear Ü Prof Goolam Mohamedbhai: Ü You are very kind to send this answer--and it is very clear and helpful. Ü One more question: Ü Do you happen to know if there is even a nascent effort at any of the universities you know, to determine indicators for evaluating research that may be different from those commonly used in highly industrialized countries. Ü I am so conscious at Makerere University, for example, how much of the research is aimed at development and quality of living--not so directly at "innovation" with overtones of economic competitiveness--that drives so many indicators in Europe/N. America, Japan (e.g. patents, original research that may have no obvious application for many years and requires state of the art equipment (likely to require import and purchases in Euros or dollars) versus research with clear application to reduce poverty, improve health, nutrition, etc.). Ü I would never want to discourage ANYone from the latter, but it seems to me the former might deserve more value in a system of assessment where discoveries can make a difference in local conditions.

If you have any thoughts about the distinction in primary objectives for research

It seems to me that Ü

Dear Phyllis

Ü

I am sorry I could not reply earlier as I was away and came back last weekend.

Ü

I very much doubt whether there is any systematic evaluation process of research Ü in African universities. As far as I know, and I am speaking mainly from my experience at the University of Mauritius and also from my knowledge of a few African universities, research gets assessed at three levels: 1. for promotion of academic staff; 2. Ü for compliance with quality assurance requirements; and 3. in connection with externally funded research.

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Regarding quality assurance, this is not yet well established in most African countries but research is usually an important criterion. The external assessors always look at the research output before making their recommendations. But the assessment is usually very general in nature and is more qualitative than quantitative. While the assessment of the institution does give an overall indication of its research strength, it usually lacks in depth.

Assessment of externally funded research is well established and the output is usually assessed by the external funding agencies according to their own procedures. Because of lack of local funding for research, a significant amount of research in African universities is externally funded. So such assessment plays an important role.

I hope the above is of some help to you.

Kind regards

Goolam Mohamedbhai

Phyllis Freeman <phyllis.freeman@umb.edu> wrote:

Dear Goolam Mohamedbhai: Eva Egron Polak suggested I contact you in your role as IAU president and chair of Africa Scientific Committee for the UNESCO forum on HR, Research and Knowledge.

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If you have any suggestions--about whom else to contact, anything to look at, or when it might be convenient for me to call you (for the coming weeks, from the United States--though I am often in Paris as well).

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**Report of the Research Monitors
Collaboration between Sida/Sarec and Makerere University**

24 November 2008

Phyllis Freeman & Eva Johansson

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REPORT OF THE RESEARCH MONITORS

1.0 INTRODUCTION

1.1 Site visit dates and participants. After the monitoring visit in August 2007 by Prof. Eva Johansson, both research monitors intended to make two visits to Makerere University in 2008; one in February in order to align Activity Reports with Annual Progress Reports and prepare for the reporting on the new format, and one in September to follow up on the reporting on the new format. The visit in February was, however, called off by Sida/SAREC and the necessity of all three monitors going together in September emphasized. Therefore, research monitors, Profs Eva Johansson and Phyllis Freeman, visited Makerere University together with the auditing monitor, Jerker Thorvaldsson, during the first two weeks in October (1-15/16 Sept for research monitors).

1.2 Research Monitors Meetings. The research monitors met with each participating unit (Faculties or Schools of Agriculture, Graduate Studies, Mass Communication, Medicine, Public Health, Social Sciences, and Technology), each participating university service unit (Directorate of ICT, Gender Mainstreaming, and Library), Makerere University central administration and supporting offices (DVC AA, Department of Planning, Directorate for Quality Assurance), and near the end, two at national bodies, the National Council for Higher Education (NCHE) and the Uganda National Council for Science and Technology (UNCST). A list of everyone we met is attached as Appendix E.

1.3 Main topics. Research monitors concentrated on four topics during the meetings (see Appendix F for review format used):

1.3.1 Reports and Reporting Process

As 2008 marks the first year in which all units participating in the Mak U-Sida research collaboration are to utilize the new reporting format, we (the research monitors) concentrate first on the status of reports, of the transition to the new format (see Appendix G), and of learning and recommendations from the transition. We provide considerably more detail on reporting here than previously, as this is a moment of opportunity to improve the process and outcomes of planning and reporting—by learning from the experience in every unit.

1.3.2 Update since last monitoring visit divided into three components:

- Achievements
- Persistent problems
- New Challenges and Opportunities

In the body of the report we concentrate on the priority topics for this visit, reporting and self-assessment. In each research monitoring report since 2004, we have provided updates progress and problems in each unit, and program-wide. In this report we provide the update in the unit reports, and as a summary, in Appendices A and C.

1.3.3 Self-assessment

In our pilot monitoring report in 2004, a system of self-assessment for Makerere University was a principal recommendation for the future. Since then, we have followed this issue in every visit, and covered it in every report. In 2004 we noted the likelihood that Uganda would embark on some system of self-evaluation for accreditation, and we found on this trip that Makerere University is now involved in such a process. Because there have been multiple developments on this crucial topic, we discuss these and emphasize it within this report.

1.3.4 Ideas from the units for a possible phase III

We found it interesting and useful to inquire briefly about plans for the future, in the unit meetings and other interviews. This informs our thinking about the final evaluation of the Sida program at Makerere University, phase II, which we present in Appendix K.

2.0 METHODS.

2.1 Documents received. In advance of arriving in Uganda, we read the full set of Activity Plans from spring 2008 (sent to us by Mary Nakweya of SGS), and documents sent by CC of Sida (Agreed Minutes from Spring meeting, communications in relation to self-assessment, and stakeholders workshops, and report of consultant from KMPG on financial management etc.). We received some Annual Progress Reports once we arrived on campus, some in advance of our meetings with the units responsible for the reports, some at the time of our meetings, some after our meetings, but while we were still on campus, and some we have not seen at the time of drafting this report. (See unit summaries in Appendix A for detail on which Annual Progress Reports became available to us when.) Once on campus, we also reviewed new documents available since last visit (see list in Appendix D) and enquired about data/databases collections available or in preparation (see Appendix J).

2.2 Interviews at campus. In contrast to last year (2007) when we organized interviews at the units with coordinators and supervisors together, and then with PhD students, this year (2008) we asked to meet with research groups, coordinators, supervising senior researchers on the academic staff, and PhD students based on shared research themes and activities. In many cases we saw coordinators and academic staff/senior researchers who supervise students, but fewer students. We concentrated on coordinators and subprogram supervisors in order to discuss issues arising out of the new format for reporting—which had been used by only two pilot units in 2007 (FSS and FT). Because communication or uptake of guidance about reporting for 2008 was incomplete by the time of our site visit, we made it a priority to review reporting expectations and experience to date in detail, even at the expense of learning more about ongoing PhD education and research in some of the units.

Where the priority of transition in reporting did not take up too much of the time we had with unit coordinators, supervisors and students, we also discussed issues relevant to research capacity strengthening as we have each year during Phase 2, as well as self-assessment and future plans (see section 1.3).

2.3 Laboratories and data systems. We also visited the laboratories and observed their status, and visited staff in the School of Graduate Studies responsible for collection of data relevant to graduate students and research, and viewed the systems that exist, or are under development, online.

2.4. Main emphasis of monitors. In all of these activities, our primary concern was with improvement in reporting of progress in research education and research, and with the relationship between reporting and building capacity for ongoing self-evaluation of these activities at and by Makerere University—in a consistent and sustainable manner.

3.0 REPORTS AND REPORTING

3.1 Background of new format for reports - 2006. Sida engaged research monitors in large measure to assist in improving the clarity, comprehensiveness, and usefulness of documentation about results as well as the process of research and research education in this collaboration, especially in the Annual Activity Plans and Annual Progress Reports. By 2006 we had learned that the standard Sida format was not well suited to planning, tracking, or communicating developments in *research*. The format appeared to have been generated for programs not featuring research, but management of other sorts of programs, or development of infrastructure.

We also learned that virtually all researchers were unclear about what financial information they were expected to report in their Annual Progress Reports, from what sources they were to draw the information, and to what purpose their financial reporting would be dedicated, given that the accountants and auditors were more knowledgeable than they about disbursements from Sida and financial management on campus. Few units had entered financial information of any sort on Annual Progress Reports as of 2006, and there was no consistency in approach among those who did. Further, the Activity Plan form seems ambiguous on budget information. Written on the form is “Estimated costs within Sida budget framework”.

In 2006 many units were falling behind the schedules for research anticipated in their initial Activity plans for Phase 2. (Indeed many of those who began in Phase 1 were much further behind original schedules, and more confused about matching activities and funds to specific planning and reporting periods). As by 2006 delayed research (from Phase 2 and accumulated from Phase 1) resulted in delayed expenditures, delay in new disbursements, and risk of losing unutilized funds, the slowed rate of progress became a major concern for everyone. Many units attributed delays to the unavailability of funds. This perception of delay and unavailability of funds did not match either the status of accounts managed by the School of Graduate Studies (the coordinating unit), nor the understanding of the financial auditor on our monitoring team. Thus, in 2006 we

investigated the relationship between the flow of funds from Sweden to Makerere University, and from the School of Graduate Studies to units, and to researchers in units – and the consequences within units of the flows.

As detailed in the 2006 research monitors report (4 November 2006) these discussions in the Faculty of Social Sciences and in the Faculty of Technology led to design of a new instrument for yearly reporting of research activities for each research project (led by Dean Kirumira).

3.2 Expected advantages of the new format - 2006. With the new format, one can see at a glance the progression of activities, and funds remaining or overdrawn, at the end of the reporting period. The designers intended the new tools would ease the process of reallocation of funds within research groups (often subprograms), within units, and among units as a result of deliberations by the Steering Committee. The ultimate purposes of improving clarity are twofold:

- to allow more rapid uptake and more efficient use of funds already disbursed by Sida, and to overcome delays in future disbursement; and,
- to improve communication about ongoing research among colleagues at Makerere University and at Sida, among the full range of stakeholders in Uganda and internationally— and the potential of the research for impact of every sort.

The expectation that the new format would aid researchers, and encourage more timely planning and accounting, comes from its logical and compact layout (see Appendix G for blank format). The intention is for researchers to use the form as a research tool during the reporting period, not just at the end, by logging in actual activities as carried out, along with funds as spent. When the actual research process varies from the initial plan (as it often does, as this is the nature of research), researchers have space to note changes and reasons for them.

The original design in 2006 included the expectation that researchers would attach a short narrative to their reports in which they could provide more detail on their research findings or results, (or about any elements of the process that did not fit easily into the chart). Attention to mastering the process of completing the table element of the report has been the focus at the start of the transition in format, but it seems important to emphasize that the narrative is likely be the best way to communicate key findings. Summaries of research results will be especially important in researchers' final reports for Phase 2. (See Research Monitors Report 2006, A2: Table and narrative elements of initial draft for new instrument.)

3.3 Testing of new format, development of summary and guidelines - 2007. The two units having led design of the new reporting tools (FSS and FT) also volunteered to act as pilot units, using the format in 2007. They anticipated that the new format would assist researchers in planning and reporting, be easier to complete, and improve clarity within their units, and across units for SGS, the Steering Committee, and for Sida.

When piloting the new format a need was expressed to design a companion instrument summarizing unit-wide progress and expenditures (led by Dean Nwangwe, Faculty of Technology and called Executive Summary), to be compiled annually by unit coordinators. This summary table tracks not only funds designated for disbursement in a particular year, but also the accumulated carry-over of unspent funds from one year to the next in Phase 2. Thus, the unit summary encourages coordinators to follow disbursement and expenditures of funds within Phase 2 as a whole.

Further, a need for guidelines was expressed by FSS. Therefore, at a workshop in August 2007, Eva Johansson and the Faculty of Social Sciences developed guidelines for completing the new format (see Appendix H). The research monitoring report in that year contained as appendices these guidelines, along with the new reporting template, and an example of completed forms from the Faculty of Technology.

3.4 No reports in advance of monitors' arrival in 2008. Unlike 2007 when we monitors were able to read most of the reports in advance of the site visit, for the 2008 research monitoring visit we received no draft Annual Progress Reports from any unit prior to arriving on campus. SGS colleagues, and those at many other units, noted (unprompted by us) that they had been inundated with meetings and reporting requirements in the Makerere University-Sida collaboration in the previous months, which burdened their timeliness with Annual Progress Reports. Specifically they cited the accumulation of Activity Plan preparation and meetings in the spring (Activity Planning meeting and Dissemination Workshop), followed by participation in Self-Assessment workshops and preparation of self assessment reports in summer, participating in the stake-holders conference in early autumn, followed by meetings with a consultant from KMPG on financial management, followed by the visits of the research monitors and the auditor/monitor in October 2008.

3.5 Status of reports – 2008. Status of reporting over the whole period of monitoring is given for each unit in Appendix A. A general conclusion is that none of the units had produced an acceptable Annual Progress Report at the time of arrival of the research monitors, nor by the time the monitors left campus on 15/16 October. Some of the units delivered revised Annual Progress Reports to SGS and the research monitors during the time of report writing of the monitors (information included in Appendix A).

Reasons given for the lack of production of acceptable Annual Progress Reports were;

- units have been overloaded with reporting work (see list in 3.4)
- new reporting format difficult and not well understood
- guidelines of how to complete the new format missing

When we met with units in October 2008, it was apparent that neither the SGS nor any of the units had held workshops to help participants complete forms (other than the 2007 Workshop in FSS), nor had most units circulated the guidance for completing the template along with the form. SGS (Mary Nakweya) confirmed having distributed in an email to all units the template and guidance for completing it at the time of the Activity Planning meeting with Sida in March or April of 2008. No one in any of the units

mentioned this email, perhaps because in the spring, no one was yet thinking about Annual Progress Reports for the period ending 30 June 2008. (This is unfortunate, as the hope was that researchers would use the new report templates throughout the period to log in progress and changes.) Many thought they had never seen the guidance. If the email went to coordinators only, it may be that most researchers did not see the guidance, if coordinators did not distribute it within their units.

3.6 Issues raised and discussed among monitors and coordinators in meetings

October 2008. Because there appeared to be uncertainty about how to use the new form, we made a priority of discussing the format in meeting with each unit. The essence of what we discussed was the following:

3.6.1 General and summary information

- Cover sheet - Not all entered full information on a cover sheet. We discussed together what would be highly useful.
- Executive Summary – Most units (with exception to FSS) had either not used/filled the form or not filled information about the full phase II. We discussed reasons and benefits of doing this.
- For all researchers/PhD students completing forms (whether student or senior researcher – depends on who is responsible for carrying out the research project), the following information should be filled in; unit name, reporting period dates, sub-program name, research project name, researcher's name, research collaborators (in Uganda, Sweden, elsewhere).
- For Ph.D students, additionally: date student started, date of student's anticipated defense, supervisors (Ugandan and Swedish), note any change of supervisor, with reasons, somewhere on form, University at which student is registered, or two, Makerere and Swedish university, if joint registration).
- Alignments - Please use horizontal lines to assure that activities line up visually alongside budget allocated for those activities. Some activities will have no budget allocation (e.g. drafting a research instrument, writing a paper).

3.6.2 Planning

- Are the objectives listed on the Annual Progress Reports those in the Activity Plan for the same period?
- Are the activities aligned with the objective to which they pertain? (In many cases it seemed difficult to align the two, thus this part of layout deserves review.)
- Do activities indicate anticipated dates, actors and location of activity (for example, at Makerere University, in field, in Sweden, elsewhere).
- Are the funds listed as budgeted those anticipated when in the approved Activity Plan for the same period. (Problem: as the Activity Plan form is not yet aligned with the new reporting format, there is no amount of funds showing on the form as the approved allotment for each research project. This deserves immediate attention.)

3.6.3 Status/Progress (meaning actual activities and expenditures)

- Are *activities* listed in chronological order as actually carried out? Does the activity list indicate dates of action, who acted, and location of the activity?
- Do *funds* actually spent line up horizontally alongside the activity for which they were used? Do they correspond by date, person, and location?
- Are funds “committed” (legally obligated, but not yet taken from bank account) listed in “funds committed” column? (This is a relatively rare situation—take care not to use this column for any but legally obligated funds.)

3.6.4 Changes

- Are changes (from planned activities, dates, persons or locations) to those carried out noted and explained?
- Are differences between funds planned for the period (positive or negative) and those actually expended, itemized in the column for change in expenditure? (Note that this calculation is made difficult for most researchers if they have not had budget information available for Activity Planning for the period now in Annual Progress Reports)

3.6.5 Output/Impact

- Does the researcher list all outputs, regardless of whether funds were in the budget for the activity (e.g. writing a chapter of a thesis, or preparing a conference presentation)?
- Has the researcher identified any impact of research already apparent (and, more likely) identified potential impact and strategy to achieve it? [For example, impact of dissemination of learning to pertinent stakeholders in forms different from papers appropriate for other researchers (policy briefs, radio spots or TV coverage for local communities), policy changes pointed to by research, partnerships to do work with industry, communities, government, and steps to be taken until what potential benefits could be achieved.]

3.7 Specific issues arose in each unit. Aside from the more general issues that arose in most units, issues specific to a particular unit appear in Appendices A and B.

3.8 Hybrid units. During meetings with the units over the two weeks we spent at the Makerere University campus (1-15/16 October 2008), it became clear that the new reporting format was developed for reporting of research projects did not serve equally well the needs of units providing research support activities, such as DICTS and the Library. For supporting units, it might be better to use a hybrid approach – the old format for infrastructure activities, and the new format for research activities. A similar approach to reporting may also be most useful for the Demographic Surveillance Site and School of Graduate Studies.

3.9 Gender Mainstreaming Division The new director and her colleagues had completed a form for each of the 5 PhD students and 19 MA students. In reviewing these in detail, we realized that this unit has a unique challenge and three distinct student/researcher populations—for whom it may be most useful to report using slightly different formats:

- **The unique challenge.** This is the only unit where those hosting and coordinating the funds for student researchers do none of the academic supervision—but must contact supervisors all over campus for assistance in reporting. This adds a very considerable administrative burden to Gender Mainstreaming staff.
- **The populations and reporting format.** The new format seems as well suited to PhD students hosted by this unit as by any other. However, for MA students, a simpler form could be used, as the research is less complex. There are two cohorts of MA students, and the crucial elements of information for reporting were different for each group. For those further along, research activities are pertinent. But those in the first year of MA studies engage in coursework, not yet research. Thus, Gender Mainstreaming colleagues planned to consider what simplifications for the two cohorts of MA students would make reporting less cumbersome and increase clarity of communication beyond this unit.

3.10 Harmonization of reporting formats. Among the topics for our 3 October meeting with the director and staff of the Planning and Development Department, we reviewed the status of efforts toward harmonization across agencies sponsoring research on the Makerere University campus. We discussed the 2006 harmonization report commissioned by this department, and formed the impression that this effort has not moved forward perceptibly since 2006. We again reviewed the template in the 2006 report for harmonized reporting, and find it to be sufficiently similar to the new Annual Progress Report format for the Sida-Makerere University collaboration, that it would not be a major problem were harmonization to proceed. There may, in fact, be an advantage to the harmonization template, as it reinforces the importance of quantitative data, and verification of sources of data in reporting.

4.0 TOWARDS A MAKERERE UNIVERSITY SYSTEM OF EVALUATION FOR GRADUATE STUDIES AND RESEARCH

4.1 Self Assessment. Academic institutions in many parts of the world now utilize the evaluation process we discussed as “self assessment” in the pilot monitors report, July 2004. In North America, and increasingly elsewhere, self assessments form basis for accreditation of academic programs. In these processes, data are collected and analyzed by the programs being evaluated. Universities often maintain units dedicated to collection and analysis of data (variously called “institutional research” or “evaluation” units). Using quantitative data from such university-wide systems, and data generated by the unit under study (both quantitative and qualitative), the program produces a “self study” report over a period of months. The accrediting body establishes the process and determines criteria for evaluation. Then external assessors, usually drawn from peer institutions in the same country or region, and selected by the accrediting body, examine the self-study and visit campus. They write a report of their findings for the accrediting agency and the university, in which they rate the strength and weaknesses of the program under study. Then the accrediting agency makes a decision. Self studies are repeated at 5-7 year intervals as the basis for program improvement and continuing accreditation.

An important part of that process is systematic accumulation of data as the foundation for these evaluations. Programs in many parts of the world rely university-wide systems to regularly capture quantitative data, and develop supplementary data bases, quantitative and qualitative, that allow them to monitor progress (or problems) over time, and to compare their situation to similar programs in peer institutions. We have never seen an evaluation that relied entirely on qualitative data. As we discuss below, the lack of institutional data on graduate programs and research at Makerere University has constituted an important challenge for the School of Graduate Studies and the university.

Having inquired each year about any plans for university program accreditation in Uganda, we learned this year that a process is indeed underway, coordinated by the Ugandan National Council for Higher Education (NCHE), and on campus, by the new Directorate for Quality Assurance, under the office of the Deputy Vice Chancellor for Academic Affairs. The NCHE works closely with the Inter University Council East Africa based in Nairobi, and working across the region. These organizations are supported by several international bodies that offer experience (one in Germany, DAAD, the German Academic Exchange Service), may recommend external assessors, and provide some funding to support national agencies, such as Uganda's NCHE.

4.2 History of self assessment in the Makerere University-Sida research collaboration.

- **2004.** We submitted the Pilot Research Monitors Report, including a fairly extensive discussion and recommendation that partners in this collaboration move toward self-evaluation by Makerere University as a means of improving graduate education and research over time.
- **2005.** In April 2005, at the meeting of Makerere University personnel with Sida in Stockholm, Sida organized a workshop as part of the meeting where the Sida evaluation unit presented "outcome mapping" to encourage further development of self-evaluation among the assembled colleagues.
In Stockholm, we inquired of the Acting Director of the Makerere University Planning and Development Department, whether there were any accrediting bodies in East Africa, or in Uganda, that might also be working on evaluation methods. At that time, he was not aware of any accrediting organizations, or efforts to organize indicators of success for academic programs in Africa.
- **2006.** As we started monitoring activities in 2006 for Phase 2 (we made two campus site visits that year), we began to ask colleagues in the participating units if they had ideas about how to pursue self evaluation on campus. Dean Kirumira, by virtue of his international experience as a researcher and academic administrator in the social sciences, was familiar with a variety of methods and well aware of experience elsewhere. It was clear he could contribute significantly to any system that might be developed for the university. The Director of DICTS, Dr. Tusubira, had already been thinking about evaluation, and provided us a hard copy of a list of suggestions for baseline data he had just sent to the Director of the School of Graduate Studies (entitled Makerere University Research Committee—baseline data). His hope was that the SGS would take the lead in

developing systematic data that would allow all units to monitor progress in graduate education and research.

- **2007.** Although we had discussed indicators of progress with colleagues informally from 2004, it was during the research monitoring site visit in August 2007 that Eva Johansson asked every unit to suggest indicators of success. These are listed, unit by unit, in our monitoring report last year. By making this an element of our unit visits in 2007, we had hoped to encourage more discussion about indicators of success for research and research training, about data needed for evaluating success, and about how to institutionalize a process centered at Makerere University.

Johansson also discussed with many colleagues at Makerere University the potential utility of developing a questionnaire to collect data (mostly qualitative) from PhD candidates about their experiences in supervision, as supervision is a central pillar of the collaboration between graduate faculty at Makerere University and their counterparts in Swedish universities. Johansson shared an instrument used for evaluation of PhD education in her department at SLU university with Makerere University colleagues, and many discussions ensued about adapting it for use at Makerere. A member of the DICTS staff, Apolo Kyeyune, was particularly interested in pursuing evaluation of supervision in this way. He had, along with members of the staff of the Planning and Development Department, been to a year-long training in monitoring and development methods at Stellenbosch University in South Africa. (See 2007 monitoring report and Appendix A5 for more detail.) During the 2007 site visit, a number of supervisors also expressed the desire to evaluate the supervision process, from their perspectives.

4.3 Ongoing activities relevant to self assessment of graduate education and research: 2008.

4.3.1 Accreditation in Uganda, a Directorate for Quality Assurance at Makerere University, and the university's first accreditation self study.

Uganda has embarked on a comprehensive plan to accredit university programs nationwide, using as the foundation, self studies of the sort which formed the basis of our 2004 recommendation.

In response to government regulations [The Universities and other Tertiary Institutions (establishment and operation of private universities and private tertiary institutions) 2005 Regulations No 80.], Uganda established an active accreditation process to be administered by its National Council of Higher Education, (NCHE) (see Appendix B).

Under the DVC for Academic Affairs, Makerere set up a new unit in 2007 to manage accreditation and self evaluations (both programmatic and institutional). This Directorate for Quality Assurance, with Ddembe Williams as its head (formerly a deputy dean in the Faculty of Computing and Information Sciences), has moved forward quite rapidly. In 2008 this unit prepared a campus-wide plan, to begin with

evaluations of undergraduate programs, to be followed by those of graduate education, and, eventually, research.

The Director provided us with the first completed self-assessment study — of the undergraduate programs in the Faculty of Agriculture. We found this study to be comprehensive, very well written, enormously informative—including significant quantitative data to support its conclusions. (Other pilot self-evaluation studies are underway, both program evaluations and elements of an institutional evaluation.

4.3.2 Other university-wide developments relevant to evaluation of graduate education and research.

The year 2008 has brought other campus-wide efforts to strengthen research and graduate education to fruition, including several crucial elements of university policy: a strategic plan, and final policies on research and intellectual property.

4.3.2.1 Makerere University Strategic Plan (2008/09 – 2018/19): Most notably, a new strategic plan is about to be finalized. For the first time, the Plan is for ten years rather than five; it is based on an extensive participatory process of all units on campus, and each unit will prepare an implementation plan for execution after final approval of the strategic plan (which is expected to be soon). This Plan is organized around core functions, goals, measurable objectives, strategies, and key performance indicators. It also proposes a multi-dimensional monitoring and evaluation scheme:

- Identification of a set of *measures of strategic performance* by the Planning and Development Department in conjunction with the planning units (including extraction of some indicators from the strategic operational plan, or Makerere Institutional Development Programme II.)
- Collection of *baseline data* on each measure of strategic performance by the Planning and Development Department (for measuring change resulting from implementation of the strategic plan) followed by *data collection on an annual basis on each measure of strategic performance*—to feed into the University’s annual report.

The Planning and Development Department is to initiate data collection, and Deans, Directors and Heads of Departments will serve as key agents in the process.

4.3.2.2 University Research Policies 2008: After several years of effort, this is the year that the university has completed both research policies: Research and Innovation Policy and Intellectual Property Management Policy.

The Research and Innovation Policy contains five strategic objectives:

- To create an enabling, harmonious, transparent and efficient environment for research and innovations
- To strengthen research management and coordination
- To improve research and publications culture
- To improve funding for research and innovations
- To improve gender responsiveness of the University through research and innovations. Although these objectives may need refinement before they are easily

susceptible to measurement, later sections of the policy provide greater detail that can facilitate shaping of indicators and point to data that will be needed to monitor implementation of the policy—and its effects.

4.4 Self Assessment workshops, SGS & Sida. Either late in 2007 or early in 2008, Sida began a process to encourage the School of Graduate Studies and units participating in Phase 2 to engage more deeply in self-evaluation. This resulted in a multiple activities. A consultant hired by Sida visited campus to facilitate a workshop, bringing with him a set of materials and approach based on the “logical matrix”. He ran a training using the approach, without any apparent awareness of the earlier developments on campus—either campus-wide, or specific to the Sida collaboration. Although the method did not seem to build upon either the accreditation process, nor on earlier suggestions about baseline data (Tusubira) or selection of indicators by participants in the Sida collaboration (2007 monitoring report), nor on the ongoing transition by which reporting could contribute more substantively to self-evaluation on campus (See Section 3 of this report), this process did make use of staff from the Planning and Development Department – the unit that had enabled its staff, then staff in other units on campus, (including Apolo Kyeyune at DICTS) to participate in the Stellenbosch University monitoring and evaluation training in South Africa.

Each unit held its own self-assessment workshop, with facilitators drawn from this new pool of staff familiar with evaluation methods taught at Stellenbosch University. Representatives of each unit then summarized their own units’ sessions and presented these at a workshop involving one or several members of each unit. Each unit also prepared a Self-Assessment report, and the School of Graduate Studies (George Nasinyama) has compiled a summary report, a draft of which was ready at the time of our visit.

From discussions at units we learned that participants commonly found:

- The consultant’s approach was logical and clear, but the focus was better suited to starting a new project than to evaluation of Phase 2, or to developing a longer term approach to self-evaluation for Makerere University. Reasons given included the insistence of the facilitator that participants rewrite objectives into a new format (“smart”), which seemed confusing at the late stage of Phase 2; that there seemed no connection to earlier discussions of baseline data or indicators among veterans of Phases 1 and 2; and, the process began with participants as passive students being lectured to about a particular method, rather than having roles as leaders for developing or adapting the process to make it their own.
- Sessions at the unit level were viewed more positively than the cross-unit work, as participants were pleased to learn about research of unit colleagues in some depth.
- Several units particularly praised the skillful facilitation by John Wabwire. This points to an important element of institutional growth, as John Wabwire is currently the Director of the Planning and Development Department, and in a position to make use of this experience for the university. He was one of those who went to Stellenbosch University, and has enabled a total of 11 staff to complete the training program to date. Together they become an important resource for the university.

From reading the unit self assessment reports, the draft summary report from the School of Graduate Studies, and from our meetings at each unit, we learned:

- Members of several units did not distinguish between preparation of Annual Progress Reports and unit self-evaluation reports from preparation of the summer self-evaluation workshop reports. They saw them all as exercises related to self-evaluation and as somewhat confusingly repetitive.
- In none of the unit reports did we find any baseline data, or quantitative data of any sort to support conclusions drawn. Toward the end of our site visit, when visiting the Library, we asked specifically whether there had been any quantitative element of the exercise. We learned from the library's representative to the cross-unit workshop that he had presented quantitative data in slides--which he then provided to us. We encountered no other quantitative data.
- Unit reports did not present indicators of success.
- The reports consist mainly of generalizations about progress. Even having some knowledge of each of the units from yearly monitoring, we did not find we were able to learn from reading the unit reports or the summary.

Had the exercise focused more on what indicators and data would be needed to assess progress over time, it would have formed a more promising foundation for the future—and ongoing processes of evaluation. The contrast is easily demonstrated by placing the Quality Assurance Directorate led self study by the Faculty of Agriculture next to the self assessment workshop reports. Clearly time and resources devoted to the latter far exceeded those invested in the SGS/Sida supported workshop process. The opportunity that appears to have been missed here, was for making use of the workshops as a first step towards more comprehensive self-evaluation. If structured in concert with the QA/accreditation oriented self-study process on campus, the workshops might have alerted—or even convinced—participants of the utility of selecting indicators of success, and of building databases to update over time to enable systematic monitoring of progress, and for planning strategies to achieve improvement.

4.5 Data collection and data systems development at the School of Graduate Studies.

In follow up discussions with the School of Graduate Studies at the end of our visit, we focused specifically on the status of data collection about graduate education and research. Freeman sat with the SGS staff who are currently setting up systems and entering data, and then discussed all of the elements with Dr. George Nasiyama, Deputy Director of SGS. The School has two sets of data on faculty qualifications and positions/rank from 2006 that it is updating now. The 2006 data were available only on paper, and the 2008 data are being collected manually and entered into an xls spread sheet.

The SGS ICT specialist (Daniel Kiganda) has been working simultaneously on automating the graduate admissions process (available on internet) and several data bases (available to academic staff on the intranet). There was a technical problem at DICTS (the host) that meant we could not access all of these, in particular the “rmac” database containing academic staff publications. We were eager to see rmac as the library

maintains a similar data base (Uganda Scholarly Data Library/USDL), raising questions about how best to make use of the work done to date by each group (SGS and library). As DICTS may be involved in the technical aspects of both systems, staff there may have suggestions.

We discussed the ways in which data were being collected (intended for faculty to enter data about themselves, but many forward Curriculum Vitae to SGS instead), the extent that the system is populated with data (far from complete, but in process), and ways that changes in some of the screens, and addition of links, could enable SGS to assemble a core data set on graduate faculty that would be susceptible to verification. That is, rather than just collecting data on how many grants have been awarded, or how many students have been supervised by a Makerere academic staff member, the system could be modified to accommodate the information about each grant and student supervised.

Clearly the SGS intends to use these databases for finding research proposal vetters, and for facilitating connections among researchers on campus who share interests. Our question is how they can also support evaluation, and with consistency in datasets over time.

5.0 SUMMARY OF RESEARCH MONITORS RECOMMENDATIONS TO SIDA

5.1 Recommendations about reporting

5.1.1 Activity Planning and format. To avoid further confusion about what is a “planned budget” at the start of any reporting period (for Phase 2, this has meant planning for the start of a cycle running from 1 July to the following 30 June), it is crucial to update the format for the Activity Plans. That is, to take this opportunity to align the format for Activity Planning with that for Annual Progress Reports. It would have been useful to do this prior to the spring planning cycle in 2008, and it is imperative now as the end of Phase 2 approaches.

5.1.2 Distinguishing between research planning and accountability and accounting/auditing functions. It is important for SGS, Sida, and the Steering Committee to consider, and if in agreement, to emphasize the difference in purposes and tasks for researchers in contrast to the accounting staff. Researchers complete budget information in order to manage their research, use resources efficiently, and to prepare themselves for ‘accountability’. For the Annual Progress Report, this does not require exact figures (complete with currency exchange rate calculations for the day transactions actually took place). Instead the researcher needs to keep a tally and present it in such a way that any research group, unit, the Steering Committee or others can track the flow of funds. Reconciling accounts is for those trained to do so. Managing research is for the researchers, research supervisors and coordinators—including up to date budget information ready to cross check with accountants. The exercise of managing one’s own research project is a practical skill that can serve Sida-funded researchers well beyond the life of Phase 2, and many colleagues expressed awareness of this.

5.1.3 Responsibility to submit an individual Annual Progress Report. Each researcher using Sida funds should submit an Annual Progress Report, whether a graduate student, supervisor, or a senior researcher using Sida funds, but not supervising—unless a unit decides otherwise. Alternatively, where a supervisor may have only one funded activity (a trip to Sweden for co-supervision), this may appear on a form jointly completed with the PhD student—so long as it is clear that the single form represents expenditures by more than one person. Similarly, for those units where senior researchers carry out their own studies, separately from the PhD students they supervise, they too should complete Annual Progress Reports (as in the case of FSS). Using either individual forms, or jointly prepared ones (e.g. shared between co-supervisors, or between a PhD student and a supervisor), expenditures benefiting any researcher or research supervisors should be tracked on an Annual Progress Report.

5.1.4 Coordinators' roles in coordinating Annual Progress Report. For the reporting to serve its purposes, each unit coordinator will need to take the time to read Annual Progress Reports submitted by individual researcher, to note what s/he cannot follow easily, to discuss this with the researcher, and to compile the summary only once fully able to understand each individual report. Only in this way will the summaries be meaningful. Similarly, the School of Graduate Studies will need to review all of the submissions, and to finish its report based on understanding the material provided by the units.

5.1.5 Annual Progress Report workshops as an alternative. The experience of FSS, which has organized workshops in which colleagues work together to share research experience and to improve clarity of its communication to others, seems a useful model for other units to consider. This approach may also reduce the burden on coordinators, who may otherwise find the responsibility to understand and summarize all the material from their researchers to be a daunting task. Alternatively, in larger units with multiple subprograms, each subprogram could work together, then subprogram heads could sit together with the unit coordinator to review the research progress and report clarity together. The same approaches could be used for the planning parts of the cycle as well as for Annual Progress Reports.

5.1.6 SGS: Leading by example. Although SGS cannot complete its Annual Progress Report until it has submissions from all participating units, it might help to prepare as much of the report as possible as early as possible—to lead by example. (Empty areas of the draft report could also underscore the need for timely reporting to SGS by other units.)

Obviously the greatest challenge to success is finding the time to manage research – the planning, execution, and reporting in an orderly way—rather than first acting—then writing plans after the fact simply to meet reporting requirements.

5.2 Recommendations about the reporting format.

5.2.1 Cover sheet. Standardize the cover sheet for each Annual Progress Report so that all of the items enumerated above appear at the top of each report (see section 3.5.1).

5.2.2 Clarify start/completion dates for PhD students. Now that the process for ‘full registration’ and ‘completion dates’ is becoming clearer than in Phase 1, it may be useful to determine “start” and ‘completion’ dates in a standard way.

5.2.3 Layout of objectives-activities. Consider reworking the relationship between the objectives and planned activities on the far left hand side of the reporting form (see also section 3.6.2 and Appendix I). For some projects, it seemed possible to align the two; for others it did not, and seemed to confuse those trying to do so.

5.2.4 Use research activities as headings in activity column, not budget line names. For reasons discussed above (section 3.6.2, and Appendices H and I), clarify that the budget categories (equipment, consumables, fieldwork, travel) are useful as subheadings in the budget columns—once aligned by the activity the funds supported—not as headings under which to list activities (as this obscures the chronology of research activities).

5.2.5 Horizontal lines to delineate rows by activity. Add as many horizontal lines as needed—to assure there is one after each activity. That way any reader may look across any row from left to right and follow the logic and progression, from activities planned, to funds associated with each activity, to any changes in activities, the timing of these, or changes in use of funds—until reaching the figure of what remains (or amount spent exceeding the amount planned).

5.2.6 Funds remaining (or overspent)—visual emphasis. This very useful figure could be highlighted for use of readers, perhaps by being in bold type, underlined, or both.

5.2.7 Update the “guidance” for completing reports—and create it for Activity Plans. Based on experience in all units in 2007 (pilot units) and 2008 (all units), it will be useful to update the guidance document that will be distributed for the next use of Annual Progress Reports. In accordance with our first and foremost recommendation about redesigning the Activity Plan format in alignment with that for the Annual Progress Reports, it will also be important to prepare guidance for filling in Activity Plans as redesigned. How to proceed could be decided at the November Annual Meeting between Makerere University and Sida colleagues.

5.2.8 Improve utility of the “output” and “impact” columns on Annual Progress Report. In keeping with the discussion of output and impact above (section 3.6.5 and Appendix I), update guidance for completing these columns on reports. Further, encourage research groups, or supervisors and PhD candidates, to discuss strategies to gain maximum impact from their research, and to distinguish between

academic/scholarly outputs, and means to optimizing impact of research for all potential stakeholders.

5.2.9 Attach narrative to Annual Progress Report emphasizing key research results. As it has always been the intention to emphasize research results in Annual Progress Reports, and to highlight key findings succinctly and clearly, it will be important to urge all researchers to add these, especially in final reports for Phase 2. As first suggested by Dean Kirumira in designing the new format in 2006, the narrative will be required to supplement the information displayed on the Table, (See and summarized in 2006 Monitors report, Appendix A2).

5.2.10 Specific to ‘hybrid’ units: Customizing reporting format to match functions. For DICTS, the Library, DSS and the SGS, we recommend further customization of forms to clarify communication about the full range of responsibilities and functions. DICTS has led this effort, and we encourage other hybrid units to follow-suit. As the coordinating unit is also a ‘hybrid’, it should be in a good position to evaluate the customization process and to give feed back to other units about the clarity of the emerging adaptations in format. Of course, this same process needs to be applied to the Activity Planning forms. Apolo Kyeyune in DICTS is already working on a new Activity Plan format, and customization of it for DICTS.

5.3 Recommendations about evaluations

5.3.1 Missed Opportunity —and Potential for Synergy in 2008. Many participants in Phase 2 whom we met in October described themselves as unclear about the purpose of the summer 2008 round of self assessment workshops and reports. No one articulated how the work they did on those self-assessment reports was to contribute to developing a sustainable system for evaluating of graduate education or research – either within collaboration with Sida, or possibly more importantly, in concert the other, campus-wide developments discussed in Section 4 above. That is, we found little evidence that this set of self-assessment workshops and reports has contributed to establishing in SGS or more broadly at Makerere, an evaluation framework (measurable objectives, indicators of success), or a foundation for accumulating data to follow progress in graduate education and research over time (baseline data or identification of data for annual collection and analysis). Thus, the considerable time and effort in organizing and attending workshops, and in writing this set of self-assessment reports may have amounted to something of a missed opportunity. Yet there are many opportunities for synergy ahead.

5.3.2 Recommendations: possible ways forward—for the long term. If the leaders of the various faculties within the Sida program — all of whom meet regularly as members of the Steering Committee — can, for the benefit of their colleagues, draw more explicit connections among the evaluation related activities in which they have contributed already, the synergy could enliven and inform multiple efforts. We see

implications for development of data systems relevant for graduate education and research across all of the components we mention above.

Members of the School of Graduate Studies and of the Steering Committee are better informed, and likely better able than we to chart a course for taking advantage of the potential synergy. Thus we urge colleagues to purposefully review the coincidence and implications of:

- The new Strategic Plan — with its measurable objectives, indicators and calls for baseline data, and systems for annual updates;
- The new Directorate of Quality Assurance — that has already organized one excellent self-study, based on sound methods and data. This appears to be an important model (and a dramatic contrast to the reports that emerged from the self-study workshops), especially as this directorate has a mandate for university-wide implementation of self-studies as part of compliance with the national regulations.
- Finalization of the two research policies after several years of work.

And, specific to the collaboration with Sida:

- Upcoming task of completing a final report for Phase 2 (by each unit and by SGS as coordinating unit)
- Upcoming discussions about and proposal development in pursuit of a Phase 3.

5.3.3 Urgent Decisions: Data for final evaluation of Phase 2 and baseline data for proposals for Phase 3.

In order for participants in Phase 2 to be able to report adequately on their progress from 2005/6 forward, and to assemble baseline data for proposals for a Phase 3, it is an urgent task to determine if a minimum data set can be gathered. In the final meeting of the research monitors site visit (Freeman with Nasinyama, 16 October 2008) we discussed the possibility of collaboration on a core, or, for this year, at least a minimum data set—to serve multiple purposes. Some elements already exist, some seem possible to assemble — and to integrate into planning for databases to institutionalize for future use as well. Examples of data that are more or less at hand at the moment, and that can be used as starting baseline data include:

- **Academic/research staff.**
- **Research output: Scholarly publications**
- **Research grants**
- **Graduate students supervised**

For each member of the academic staff that participated in a PhD program as a student researcher, and/or supervision of graduate students in Phase 2, a minimum data set for use in the coming months needs to be assembled. By collecting the data in a way that helps to build a system for future evaluation and planning seems a priority and an opportunity. To take advantage of this opportunity will require some intensive thought in the next month, to be followed by quick action. For these data to serve the purposes discussed, they would need to become available by the end of January 2009, then reviewed for accuracy and consistency, before being incorporated into the evaluations and proposal preparations that must take place in February-March 2009.

APPENDICES: PART A

Summaries of site visit meetings and interviews (including schedule and participant lists):

1. FACULTY OF TECHNOLOGY (pilot unit for reporting)

Date of Visit: 3, 4 and 8 October 2008

People involved in interview:

- Barnabas Nawangwe, Dean, dean@tech.mak.ac.ug
- Tugume Alexis, helps to coordinate external funded programs
- Mackay Okure, mokure@tech.mak.ac.ug
- Umaru Bagampadde, post-doc, bumaru@tech.mak.ac.ug
- Anthony G Kerali, agkerali@tech.mak.ac.ug
- Robinha Kulabako, PhD-student
- G. Ngirane-Katashaya, gngirane@tech.mak.ac.ug
- Izael Pereira Da Silva, idasilva@tech.mak.ac.ug
- Joseph K Byamhanga, Gatsby@tech.mak.ac.ug
- Peter Lating, PhD-student

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 2

Missing summary. Report is not consistent across researchers. Some of the student reports are good, others not so good, and three were missing. Mainly the budgets were not useful: planned funds were not related to money spent; many listed incorrectly listed funds they would still like to use as “committed but not spent”; several currencies were used, without noting exchange values so as to allow for totals spent, unspent. The “changes” columns were often empty although changes probably did occur. The “impact” column was used more often to describe impact on the student than on society and university, with few entries about potential impact the research findings can have on society in the future.

B. Issues raised about reports

1. By unit to monitors

-Dean, coordinator, senior staff and graduate students say template seems useful, they like it.

2. By monitor to unit

- Summary is missing.

- Guidelines were not followed when preparing the reports.
- Have the units seen the guidelines? Unit answered that guidelines had been sent out but long time ago, thus they forgot to make use of this tool.

C. Next steps to improve (including timeliness, increasing clarity and usefulness to researchers and Sida, how to make less duplicative/burdensome)

Unit will complement the report with a summary and use the discussions about the format and the guidelines to revise with PhD/students and submit a new version for this Faculty to the school of Graduate studies before 20 October. A copy will also be sent by email to one of the monitors. A new version was submitted 27 October by email. The status of the updated version of the report is much improved, although some few additional further changes, especially in the columns, “committed but not spent, changes and impact” of each students report could have improved the report even more.

II. Update on major changes since last visit:

A. Accomplishments

- **Student progress.** Students generally progressing well. Of the first 5 enrolled students, 4 have defended theses and most are continuing on post-docs. Of the intermediate and phase 2 students, most will defend before June 2008.
- **Supervisor improvements.** Supervision has improved on both sides.
- **Promotions.** In Uganda more than 6 people have been promoted to the ranks of associate professor and senior lecturers. Two of the students finalizing PhD within the program have been selected to be Heads of their departments. One has been involved as main supervisor for one of the PhD-students within phase 2.
- **Equipment.** Almost no equipment was present in the beginning of the program. Now, some labs serving subprograms are well equipped labs, e.g. sub-program 4, while other sub-programs still need of much more equipment. Until equipment is there have to trust on Swedish collaborators, to be able to do research in Sweden, e.g. sub-program 1. Generally the status is steadily improving.
- **Improving Culture of Research.** The Sida/SAREC program has helped to improve the culture of research. This is especially true in some sub-programs, that have developed research groups and structures for promotion, e.g. sub-program 1 and 4. In other sub-programs the research culture seems less developed. Drop-out level of PhD-students has decreased during phase 2 as compared to phase 1, also indicating improved research culture.
- **Spin-offs.** Italian research program has started with more than 20 people involved. The Technology Faculty won six of the Millennium Science Initiative grants.

Within the NUFU program also PhDs are trained. ICT center has been created in the rural area of Arua.

- **Cluster programs.** These programs have grown tremendously, especially in Uganda and Tanzania. Twenty-two cluster initiatives are present in Uganda. Four of the first 7 were given special funding from Sida. Rockefeller foundation is financing an ICT and education cluster. There has been an encouragement to make an application to Sida/SAREC in order to scale-up the cluster programs. One idea is to use the Pan African Forum in order to try to spread the ideology to the rest of Africa. Would like to “light 1000 cluster fires” by 2010. To succeed, a program must be launched along with major fund raising; and academia, government, and private industry will need to work together. Presently clusters driven principally by the private sector. The faculty participates as facilitators.
- **Centers of excellence.** This Faculty is trying to develop an energy resource center. They would like it to serve as a resource for capacity building for the Ministry of Energy. So far, results are being disseminated and pilot programs developed. Norad funds training of professionals. The program has Ethiopian, Ugandan and Malawian students who get scholarships through Creek. The center has prototype testing facilities and monitor gasification equipment. The center is at present linking up with an Asian energy section in Bangkok. Nelson Mandela Metropolitan University is interested in writing a memorandum of understanding for cooperation. A memorandum of understanding has also been signed with a university in Nigeria about cooperation in the area of energy and biofuels.
- **Procurements.** The procurement process is improving. The procurement office has improved its working methods.
- **Accessing funds.** Has become much easier. Now the checks are issued directly from SGS. Students have to fill out a form, not write a letter, to request payment.

B. Persistent Problems

- **Band width.** For heavy users, band-width is a problem. Question is, do we get what we pay for – no-one knows.
- **Procurements.** Still has to buy equipment through Sweden in order to be able to get the equipment in reasonable time.
- **Livelihood.** Still difficult to get time to work on PhD in Uganda. Need of money requires consultancy work. Sick children need their mothers etc. A stipend for carrying out PhD would help.
- **Defence in Sweden.** Some Swedish supervisors refuse to follow the agreements made of Lic defence in Sweden and PhD defence in Uganda. Collaborations by Mak U with Swedish professors not following agreements will be ended. The value of students

defending in Uganda is that stakeholders, private and ministries can come and listen.

C. New Challenges and Opportunities

- **Cut off of internet.** Due to the fact that the university did not pay, the internet was cut-off. Many staff sees this as a crisis.
- **Research vehicle.** The vehicle is over used.
- **Reallocation of funds.** Funds for field work were not still sufficiently budgeted for. Reallocations have to be done.
- **Accountability.** Workshop was carried out. Was good, and made clearance -- completed their accountability obligations]
- **Thesis defence at Makerere.** First PhD-students from the program have graduated at Makerere. The defences have generally been of high quality and participants from the society and the ministry have been present.
- **Planning of post doc.** The planning for a post-doc period for each of the PhD-students after defence of their thesis has become a natural part of the planning for the research career at the university.
- **Research environment and supervision.** Differs among subprograms within the faculty—better established in some groups, e.g. subprogram 1, while less present in other sub-programs e.g. 3.
- **Visa.** To get a visa when going to Sweden is now more problematic since it is now administered by the Norwegian embassy.
- **Drop-outs.** Three drop/outs during the first phase. Also some persons offered the opportunity (at least three) never started.

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

In the stake-holders conference, reports were given about what has been done during the program and intentions for work of interest in the future. Participants in the multi-unit self-assessment sessions learned a lot about what different research activities take place within the program. It also clarified the importance of overcoming the problem of research results and their implications not reaching groups in the society. They learned that some results had not been mentioned or shown to anyone. Participants appreciated gaining a better knowledge and understanding of what others in the program are doing.

Another topic discussed during the self/assessment workshop was overstaying in the programs. Some students using own sources, having no outside collaboration and

spending all time at Makerere, do finish in time. Others overstay despite the fact that they are in the program and have a lot of resources. From this discussion, that started at the self/assessment workshop, Senate has decided to limit the number of years for PhD/education for students on donor money. If longer time is needed, students have to explain why.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

During phase 3, more major work on urbanisation should be carried out in collaboration with other regional universities. More emphasis has to be put on equipping the labs during phase 3.

During last few years, capacity has been created. Now there is a critical mass that should be engaged in research, training of new PhDs, and in innovation.

Training should be a continuation for staff members (60% will have PhD when Sida/Sarec program phase 2 is over), but also new universities and colleges should be assisted in upgrading the research capacity of their academic staff.

With the build-up of capacity, it is time to produce greater innovation. Currently it is students at the undergraduate level who are the most innovative ones. It will be productive to take their ideas into account—to promote innovation, patents and commercialisation of the results.

Staff is already engaged in contract research, and should even more – seeking contracts for innovations and applied research. There is a need to create the necessary infrastructure to promote this. This program has allowed for some new equipment, and more is needed—for PhD students, but also for the undergraduates. The aim has also been to create a centre of excellence in energy, but for such a centre, there is not enough capacity in terms of infrastructure. There is also a need to strengthen the areas of water resources and engineering – and to develop a centre of excellence.

Urbanisation is an increasingly important topic. One idea is to create a regional collaboration around problems of urbanisation. In 10-15 years, 50% of the population in the region is anticipated to live in urban centres –given a shortage of and problems with land.

For the next phase, it would be of interest to create multidisciplinary, thematic areas in which research can be conducted. There is a need of a Makerere research council to determine which projects should be accepted and included for the different thematic areas. (This idea was also put forward in the university strategic plan that is just ending now.)

2. FACULTY OF SOCIAL SCIENCES (pilot unit for reporting)

Date of Visit: 6, 10 October 2008

People involved in interviews 6 and 10 October:

- Edward Kirumira, Dean/Coordinator
- Charles Bwana
- Consolata Kabonesa, Head of Gender Studies, Senior Researcher
- Grace Bantebya Kyomuhendo Full Professor
- Charles Rwabukwali, Senior Researcher
- Fred Bateganya PhD student

At 10 October workshop (in addition to those above):

- Alfred Tingo, Faculty Registrar
- Rosalind Lubanga, PhD student, Group 3
- Dr. Peter Atekyereza, Chairman of Sociology Department
- Enid Sajjabi, Accountant (and MA student in Financial something)
- Aramanzan Madanda, PhD student in Group 2
- Swizen Kyomuhendo, PhD, Social Work dept,
- Dr. Augustus Nuwagtaba (recently promoted to Associate Professor)—poverty eradication model for evaluating national policies
- Robina, FSS secretary
- 2 others arrived late in session: Anena Catherine and ? (male)

We had two meetings with FSS. During the first (6 October) we met with Dean Kirumira as coordinator, then with each of the subprogram coordinators, sometimes more in the group. Then we attended a special retreat on the evening of 10 October for the group to discuss reporting and revise their Annual Progress Reports.

I. Reports and reporting process

This faculty (Dean Kirumira) originally designed the new reporting format, and has been a pilot unit since the start of these discussions in 2006. Dean Kirumira pointed out that units still need to be encouraged to add the originally anticipated narrative to supplement the table.

A. Status of written report (views of monitors)

Date received draft: Oct 2

Upon our arrival on campus we received the summary table at SGS, but not those for individual researchers. By the time of the 10 October retreat, each researcher present had a draft Annual Progress Report in the new format (without any narrative).

B. Issues raised about reports

1. By unit to monitors

At initial meeting:

-Dean reports that faculty is both confused by and overwhelmed by reporting and meeting duties for Sida collaboration recently:

- Self Assessment activity at each unit (plus reports)
 - Self Assessment centrally at Entebbe meeting (for some, not all)
 - Dissemination conference-including preparation of Abstract book
 - Meetings with KMPG consultant sent by Sida on financial reporting
- SO, they are late on these APRs, and having trouble differentiating which reporting is for what.

At FSS retreat, 10 October:

Missing Narrative in template. Dean Kirumira pointed out that it will be important to add the narrative portion to the template that was distributed by SGS, to allow researchers to report research results and other material that does not fit easily into the table.

Funding categories are not useful headings. Noted that budget lines are useful for reporting expenditures, but not for organizing reports on research process.

Impact. Lively discussion of potential impact of each researcher/groups activities, and of the distinction between research outputs and impact.

2. Monitors to Unit

Monitors asked to comment on what we could, could not understand for each report presented.

C. Next steps to improve (including timeliness, increasing clarity and usefulness to researchers and Sida, how to make less duplicative/burdensome)

After discussions at the retreat 10 October, unit will complement the report with the forms filled by each project (PhD-student/supervisor) and submit it by email to SGS and one of the monitors. The final version of the Annual Progress Report will be delivered at latest one week after the meeting at the retreat.

II. Update on major changes since last visit:**A. Accomplishment**

- **Overview from 7 October:** As Dean Kirumira chaired the University's Strategic Planning committee, he described the process by which the report came to feature *research-driven university as one of 4 priorities*; that report is for 10 years (earlier ones for 5). Plan links all research policies: research Policy, IPR together. Plan awaits university approval (anticipated soon), then all units are to write implementation plans—(will be a way to gauge changes in research culture).

- **Overall sense of change in research culture as observed by monitors.** The difference from the first time we observed this faculty in 2003 versus on 10 October 2008 was astounding. At start up (when Dr. Kirumira had just assumed role as Coordinator and all was new for him at the same time we first observed), there was no cohesion across the Faculty, little collaboration or sense of research groups. Now the groups seem to function well. Senior researchers participate in research together and with PhD students. The expectation that conducting research, seeking external funding, publishing are all well embedded in the daily lives of these academic staff/researchers.
- **Promotions:** Grace Bantebya Kyomuhendo to full professor: she becomes the second full professor in FSS (also Kirumira) and the 3rd woman to be appointed to this rank (one of the previous 2 has already retired); and Augustus Nuwagtaba to Associate Professor. The faculty now has 2 full professors and 5 Associate Professors, and many more at rank of Lecturer.
- **Capacity by 2010.** FSS expects to have about ten Full and Associate (combined) professors by 2010.
- **Student progress and faculty research in subprograms.**
- **Phase 1.** Asingwire [Subprog #4] defended, has letter award, degree January. Working on 2 more publications
- **Phase II:**
 1. Conflict Resolution (both students in Sweden at time of monitoring visit).
 - a. Igeme Katagwa. 2005-2010 Fully registered. Sampling only in field so far. Literature review in Sweden
 - b. Sarah Kamya. 2005-2010; now in Sweden doing literature review.

-Co-supervision with Swedish counterpart—who engaged in field supervision and was able to spend more time with students in the field than Ugandan supervisor with heavy teaching responsibilities.

-Ongoing research by Bwana will appear in revised Annual Progress Report

 2. Public Policy, Changing Gender Relations in Uganda
 - a. Anena Catherine. Had baby, sent letter to SGS to extend. Has submitted her methods chapter, has data, needs to analyze
 - b. Madanda Aramazan. Written full dissertation draft; will defend December 2009.
 3. Social Economic Implications of Emergent Diseases and Epidemics for Sustainable Development in Lake Victoria Region
 - a. Jagwe Wada. Died—still very much on minds of colleagues (from Sociology)

- b. Fred Bateganya. Had to change the hospital where he gathers data—now in Iganga hospital, not DSS, but overlapping area—collecting data now: 45 of 60 subjects. Starting first chapter this month.
- 4. Strategies for Poverty Eradication: Local Responses to Transformation for Sustainable Development in lake Victoria Region
 - a. Swizen Kyomuhendo. Slow on conceptualization—Swedish supervisor changed jobs, now replaced. Also found he knew too many who were to be subjects in study population—now moved research to a different district. Sw supervisor to come 20 Oct 08. To finish fieldwork in June 2009 so if funds disappear, expensive parts will be complete.
 - b. Rosaline Lubanga. Draft in, Kirumira written half of comments back; will submit to examiners by end of 2009.
- **Swedish counterpart contributions.** Conflict Resolution group supervisor brings many new publications when visits, very interested in students.
- **Supervisor expansion.** New PhDs can begin to co-supervise as soon as they finish degrees; (need 2 years to be principal or solo supervisor).
- **New funds.** Charles Rwabukwali won a \$2million USD award from US-National Institutes of Health with Janet McGrath, Case Western Reserve. He opened Center for Social Research on AIDS; has 10 MA students in research methods training collaboration with Case Western (unpaid, good research training)
- **Improving Culture of Research.** Senior researchers eagerly discuss their research, relationship of students' research to theirs.
- **Spin-offs. From Sub prog #4:** Long term collaboration/MOU with Gothenburg growing out of collaboration among faculty and as supervisors—becoming an institutional collaboration.
- **Accessing Funds.** Flow is much improved (and clearly better understood) since last year.

B. Persistent Problems

- **Teaching v. Research and supervision:** Full time teaching loads mean supervisors cannot spend as much time as they think would be better in field with students. Sometimes Swedish supervisor can go for longer (Conflict Resolution)

C. New Challenges and Opportunities

- **Anticipated formation of Humanities/Social Sciences College.** Merger has been approved, likely to begin in coming academic year. [Agreement reached in part as it will merge programs where there are too many, unaffordable in Arts especially.]

- **Faculty Research Fund.** Had fewer applicants (1 for 4 slots for senior faculty; 2 for 6 slots junior researchers) as faculty seem to misunderstand that this pool is for seed money (\$6000-\$10,000USD), for pilot studies to help researchers write bigger proposals for external funds. Instead researchers see small amounts and don't bother to apply—except those who have already had funds and hope to accumulate the funds across several years (rule is can apply only every other year). Instead do consultancies or try for bigger grants. Deputy Dean Charles Bwana will re-advertise.
- **Lunch seminars for PhD students.** Fewer than hoped-2 taken place so far.
- **Dissertation issues.** New Problem to sort out over dissertation comments from examiners for Fred Bateganya. Examiner from Statistical Institute wants student to do more work before permitting defence, although external examiner and FSS one concur he is ready to defend. and Dean to discuss this out with examiner shortly. [Supervisor is Charles Bwana, subprog #1].
- **Students not finishing in 2009.** Most of the phase 2 PhD students cannot finish in 2009—so they will have difficulties if Sida funds from Phase II are no longer available for them to complete in 2010.

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

Faculty is both confused by and overwhelmed by reporting and meeting duties for Sida collaboration recently; Self Assessment activity at each unit (plus reports), Self Assessment centrally at Entebbe meeting (for some, not all), Dissemination conference—including preparation of Abstract book, Meetings with KMPG consultant sent by Sida on financial reporting

Facilitator John Wabwire did good job, but approach of consultant more appropriate to start up of a new project, and missed opportunity to build toward Makerere University ownership of system for evaluation. Self Assessment reports did not include indicators, quantitative data.

The self-assessment workshop was disappointing as facilitator seemed uninformed about program and lectured at the group about filling in log-frames, rather than building on basis from earlier work in Mak U/Sida collaboration with focus on a systematic approach to carry on in the future—with baseline data and indicators. Confusing what kind of report they wanted. Should have decided which the objectives to approach were, outcomes and impacts should have been measured. There should have been a separate question of how to move forward. Guidelines should have been given across units that were similar.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

Dean has been talking with colleagues at Addis Ababa University. Thought it would be useful to bring in Dr. Abye Tasse to hear his vision for Addis Ababa University and discuss from this vision, ideas for Makerere University.

3. FACULTY OF MEDICINE and CROSS-CUTTING LABORATORY

a. Faculty of Medicine

Date of Visit: 10 October 2008

People involved in interview:

- Charles Ibingira, Deputy Dean of Research and Coordinator
- Aida Nakawunde, Administrative Assistant to the Dean for Research Coordination
- Ronald Kiguba, Faculty Research Coordination Office and academic staff, Dept of Pharmacology
- Dr. Orem, Degenerative Diseases PhD student (no Ugandan coordinator – E Wiederpass coordinates for interim)
- Segane Musisi, Coordinator for MH
- Elialilia S. Okello, completed PhD, now Associate Coordinator for MH
- Fred Kironde, Coordinator Biochemistry/Malaria program
- Moses Jaloba, Microbiology Coordinator
- Paul Waako, Pharmacology Coordinator
- Florence Mirembe, Human Reproduction Coordinator
(also saw Janet _____, PhD candidate, at Health Sciences College meeting)

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: No draft from all subprograms received during visit

We first met Charles Ibingira, the new Coordinator, at the in town meeting of the College of Health Sciences, and received draft of two subprogram reports on 7 October: Human Reproduction and Pharmacology. Both were in the new format. On 10 October, we received draft from Degenerative Diseases Subprogram, prepared by Elizabeth Wiederpass as there is currently no Ugandan coordinator for this group. Draft Mental Health subgroup report sent by email, version prepared in Sweden, arrived after Freeman's 10 October visit to Mulago.

B. Issues raised about reports

1. By unit to monitors

Coordinator Transition. [Background relevant to status of reporting.] Former Coordinator, Eli Katabira, retired in the fall of 2007 from his post as Deputy Dean for Research, and Coordinator for Sida/Sarec. He used to complete reports largely himself. Thus, when Charles Ibingira (formerly Chair of Dept of Anatomy) assumed the post (both as deputy dean and as Coordinator for Sida/sarec), everything was new to him. As the reporting format had changed since 2007 (Medicine was not a pilot group, so this was their first time completing such reports), he distributed the template, and 2 subgroups had attempted to use the format (Pharmacology & Human Reproduction) by the time of monitor visit. They, like the other units, reported never having seen the guidance in the

Monitors' 2007 report about how to use the forms.

Thus, most of the time of a full day on 10 October at Mulago campus had to been devoted to helping the Coordinator and assistants (Ronald Kiguba, Faculty Research Coordination Office and Aida Nakawunde, Administrative Assistant) and each of the subprogram coordinators, learn about how the new reporting format as a tool for each student to plan and account; for coordinators to keep up to date with sufficient detail on budget so as to be able to utilize funds more efficiently and quickly, and for the coordination group to have sufficient information to prepare the summary that accumulates budget flow information for the reporting year and from earlier years in Phase 2. Thus, most of the information below relates to preparing useful reports for the Annual Review Meeting.

New Coordinator. Dr. Charles Ibingira was eager to cooperate and gather information to provide useful APRs in time for the Annual Review Meeting. As the SGS choice of time for Monitors' visit to Medical School and School of Public Health conflicted with a large meeting of the College of Health Sciences on 7 October 2008, we rescheduled for Freeman to visit Mulago on 10 October, while Johansson would visit Iganga (the scheduled event for the day).

Dr. Ibingira oversees all research collaborations, now numbering eleven (includes Sida, Case Western Reserve, Johns Hopkins University, Muju/Japan, NUFU/Bergen, University of California/San Francisco). His responsibilities are many beyond coordinating these collaborations:

- Stimulating research proposal applications to external funders by searching for and distributing 'calls for proposals' to appropriate departments (August Wellcome Trust, now KI partnership for EDCTP grant-European and Developing Countries Clinical Trial Program/EU Framework/FP6)
- Coordinating review of research proposals as drafted
- Chairing the IRB
- Advising faculty on IRB matters—to assist with proposals and monitoring
- Monitoring follow-up of all IRB approved research
- Chairing the Higher Degrees committee
- Organizing thesis defence, external examiners
- Preparation and implementation of Faculty's research strategic plan (new version being drafted now)
- Constant updating of Med Faculty research and relationship to research agenda
- Assure dissemination of research at conferences, workshops
- Accountability (with little information of use from Med Fac accountant—but has a list of those not having fully accounted on his wall—with no information about what is missing from when, etc.)
- Coordinating networks with other medical schools—particularly in the region—a new Memorandum of Understanding has been signed with Uganda, Rwanda, Tanzania, Ethiopia, Mozambique. This network is new (since Dr. Katabira's retirement) and involves student and Lecturer exchanges, and more.

-Coordinates examinations for MA and PhD students and finds examiners
 -Dr. Ibingira is also involved in the accreditation process. He traveled 13-16 October to Nairobi to work out accreditation agreements across East Africa so that degrees from one of these countries can be accepted in the others. [He traveled with a representative National Council on Higher Education: Deputy Director, Dr. Lejune or Lejue?, 0772 563 519, who is a particularly well respected member of the NCHE. We made contact with NCHE after hearing the discussion of accreditation at the meeting of the College of Health Sciences.]

Budget. As Dr. Ibingira had little familiarity with the Sida-Makerere budget or flows of research funds, suggested he take the opportunity to meet Jerker Thorvaldsson—which he did after returning from Nairobi.

BY SUBPROGRAM:

Biochemistry: Dr. Fred Kironde

Visited the biochemistry laboratory with Charles Ibingira, and transferred new reporting format, guidance for completion, and example 2007 from Technology (from 2007 Monitoring report) onto his computer and briefly discussed. He will begin the process, and at time of upcoming visit his laboratory can discuss further once he is familiar with the new expectations. He seemed to like the new format.

Degenerative Diseases:

As there is no Ugandan coordinator, we requested to see the one member of the group who was on campus, Dr. Orem. He noted that Dr. Wiederpass is the interim coordinator and that this group of PhD candidates feel like “orphans”. Thus monitors reviewed carefully progress reported by Weiderpass (see below). 5 Ph.D students.

Mental Health: Dr. Segame Musisi & Dr. Elialilia S. Okello. Coordinator says information is accumulated, will work with Deputy Coordinator to assemble all in new format. The two liked the the new format. Transferred electronic copies of new reporting format, guidance for completion, and example 2007 from Technology. Spent entire allotted time reviewing the reporting format together, and coordinator team seems optimistic about utility of the new tool. After this visit we received by email a report --- but prepared by Peter Allebeck, MD, PhD, Dept of Social Medicine, Karolinska Institute. Wrote to Dr. Musisi a follow-up; unclear if new format version anticipated.

Pharmacology: Paul Waako. Filled out new format (summary and for individual students), using the budget lines as headings (as format probably sent by SGS to units). Thus, the financial information is emphasized over the research process. And, as narrative not included in template sent around, it is harder to determine flow of activities in group. Reviewed all together, revised report anticipated.

Microbiology: Dr. Moses Jaloba. Delivered the new reporting format, guidance for completion, and example 2007 from Technology and reviewed all. Four days later he sent a draft APR, which is clearly set out, starting with a subprogram summary (using Executive Summary template) and followed by reports on each of 2 PhD student

researchers. Report will benefit from a narrative attachment with key research results. Freeman sent follow-up note 31 October 2008, if not now, by the end of 2008 on all research findings during Phase 2 (in anticipation of Final Evaluation).

Human Reproduction: Dr. Florence Mirembe. Her group did new format quite well. What they did not have was the budget information to match to their use of funds—but they would like to learn and manage the budget also so as to be more efficient in use of funds, and use of all remaining funds.

2. By monitor to unit

All Subprograms. Freeman reviewed the origin, purpose, and process for completing the new format with coordinator, then with each subgroup. Approach detailed in text of Monitoring Report.

Degenerative Diseases. Given the lack of a Ugandan coordinator, we passed on the new reporting format, guidance for completion, and example 2007 from Technology (from 2007 Monitoring report) to him, but did not suggest that Dr. Wiederpass redo the report at this time (Sida can, of course, decide otherwise).

C. Next steps to improve (including timeliness, increasing clarity and usefulness to researchers and Sida, how to make less duplicative/burdensome)

Every subgroup is capable of good reporting, except that they lack good assistance within the Faculty for understanding status of budgeted and available funds. Encouraging them to use the new format (but not organizing activities under budget lines) and to add a narrative should result in good reporting—IF the budget assistance inside this faculty can improve.

II. Update on major changes since last visit:

A. Accomplishments

Biochemistry: Dr. Fred Kironde

- **Additional funding.** Biochemistry group has attracted several sources of extra funding, e.g. AMNaid – funding new internet dish and trials at Iganga, African Malaria Network – to promote capacity in malaria vaccine, EDCTP – most likely new, large grant will come, but not signed yet. This will be used for sensitization and determination of malaria background, the European Union grant has just ended for BMP (Biology of Malaria Parasites), new application will be submitted.
- **Interesting results.** Differences among villages in infection of children with malaria parasites. In one village 60% of the children were positive for malaria parasites, in other villages almost no-one was positive.

- **Publications.** From this sub-program there have been 15 publications. Many of them are highly cited.

Degenerative Diseases: As this group has no one in Uganda specifically overseeing, we list what we know about status of students, and anticipated completion. All are cross-registered Makerere/KI.

Dr. Orem noted that as this group's projects are largely lab-based and involve shipping of samples to Stockholm and Netherlands, etc. their progress has been burdened by the time involved. Nonetheless, he believes all candidates plan to defend in 2009. He will send the new format to his colleagues, and he seemed to like it when together we reviewed its purposes, how to complete.

Student progress from Dr. Weiderpass' report. Affirms that all 5 students have taken courses and fulfilled either all or most of the obligatory course curriculum for their joint degrees, Makerere/KI, have at least started, some finished final phase of field work, including sample collection, lab analyses, and are engaged in data analysis and manuscript writing.

-Cecily Banura. Started 2003 Genital Human Papillomavirus Infection and Development of Squamous Intraepithelial Lesions in Ugandan Femal Adolescent and Young Women Population. She is cleaning data for final article completed, analysis in progress. First three articles submitted and accepted or already published.

-Charles Ateenyi-Agaba, started 2003: Human papiloma viruses and at their association with squamous cell carcinoma of the conjunctiva: Anticipate defence in Feb or March 2009.

-Michael Odida: Analysis of specimens by Delft Diagnostic Lab in Netherlands to complete HPV analysis in October 2009. Expected date of defense/completion?

-Michael Odida, started 2004: Cervical carcinoma in Kampala, and relationships with HIV and HPV. Specimens at Delft, for Oct 2008 analysis completion.

-Jackson Orem, started 2005: Etiology, Risk Factors, Clinical Features and prognosis of Childhood Non-Hodgkin's Lymphomas in Uganda. Seems confident he will finish in 2009.

-Twaha Mutyaba started 2004: Data collection to be done by end of July. Status now?

Publications. Seems extensive. List of publications with full references, conference abstracts, and manuscripts in process is in APR.

Microbiology, Dr. Moses Jaloba, Molecular Biology of *mycobacterium tuberculosis* in Uganda.

- **Research group working well.** Members have been planning and working as group—(one impediment to coherence of group—see new problem below).

- **Student progress.** Both Phase 2 students on time. **Benon Asiimwe** (2005 start) has defence on 18 Dec 2008 and **Freddie Bwanga** who started 2006 will finish on time. He is doing papers now.

Mental Health. (from Dr. Allebeck's report, plus discussion 10 October 2008 at Mulago with Drs. Musisi and Okello)

Student progress

- **Dr. Muhwezi. Started 2001, completed 2007.** The Interface between Family Structure, Life Events and Major Depression in Uganda.
- **Dr. Nakasujja. Started 2007, Anticipated completion 2010.** Cognitive Deficits in HIV-Associated psychotic disorders in Uganda.
- **Dr. Abbo. Started 2007, Anticipated completion 2010.** Profiles And Outcome Of Traditional Healing Practices Of Severe Mental Illnesses In Two Districts In Uganda. Anticipated completion date?
- **Mr Paul Bangirana. Anticipated completion 2010.** Randomised Trial To Investigate The Effectiveness Of A Rehabilitation Program For Cognitive Deficits In Ugandan Children After Cerebral Malaria. *Anticipated completion date?*
- **Ms Janet Nakigudde. Anticipated completion 2010.** The Role Of Family Psycho-education In the Social Support Of Post-partum Mothers With Psychotic Illness In Central Uganda. *Anticipated completion date?*
- The new research students have been active in taking courses and participating in international conferences presenting material from ongoing work.

Capacity.

- Prof Ovuga is now the current Dean of Medicine in the University of Gulu.
- Dr. Okello is on Staff as the Medical Anthropologist heading the course: Foundations Of Behavioural Sciences in the Faculty of Medicine. She is also an Assistant supervisor for one of the PhD candidates in Psychiatry.
- Dr. J. Tugumisirize is heading the teaching of the Psychiatry component of the PBL course for Second and Third Year Medical students in addition to other teachings in the Dept Of Psychiatry.
- Dr. W. W. Muhwezi is heading the teaching of Clinical Psychiatric Social Work and Research in the Dept Of Psychiatry as well as Medical Sociology for the Medical Students courses in the Faculty Of Medicine.
- The Depressive Disorders project was successfully completed in 2007 with the defence of two research students, Dr Tugumisirize and dr Muhwezi, adding 4 PhDs to the Department Of Psychiatry in the fields of Psychiatry (2), Medical Anthropology (1) and Psychiatric Social Work (1).
- The psychotic disorder project was developed throughout 2007 and was finalized by the admission of four research students in the second half of 2007. The original plan was modified somewhat by the withdrawal of one research student, but this enabled the inclusion of one researcher in neuropsychology and a randomised intervention study which made a good addition to the research profile.

Publications. Coming out at a steady pace from the already completed PhD theses, while the new research students are producing new papers submitted and in some cases already accepted. See Dr. Allenback's report for full list of publications, conference presentations, etc.

Pharmacology: Coordinator, Paul Waako

Student progress.

- Jesca Nsungwa**, Almost done. Maternity leave most part of the reporting period
 - Celestino Obua** Graduated from the program April, 2007.
 - Winifred Tumwikiriize**. Submitted thesis
 - Muhammed Ntale**, Completed Data analysis and report writing, submitted thesis for examination
 - Jackson Mukonzo**, Laboratory analysis of blood samples.
- Recruitment of study subjects and data collection
- Sarah Nanzigu**. Completed proposal writing , recruited , 120 study subjects recruited
 - Norah Mwebaza** (joined the program after the graduation of Celestino Obua).
- Provisional registration obtained, study tools tested

New capacity to take on important problems for Uganda:

- This group has a new partnership with agrochemical manufacturer/distributors—who are also concerned about poison aspects of their products. Thus industry is prepared to put in some funds and advocacy efforts to improve clinical responses to cases of poisoning. This adds considerable dimension to potential impact of the Drug Information Center activities to reach and protect more people—to meet public health/population goals. This group has moved forward through the efforts of a Task force involving the National Drug Authority/Uganda, Infectious Disease Institute—which already has an AIDS Information Center, themselves, and a stakeholders meeting.
- Bio-equivalency center—regulation and pre qualification in preparation to have local production of Anti-retrovirals for treatment of HIV/AIDS. This is a team effort to help industry (Quality Chemicals, Ug Ltd) grow into this niche market making generics (with help from Cipla/India). The team working on this includes Celestino Obua (recent PhD) who is now in Addis Ababa at Germ Tech Corp—building stakeholders.

Human Reproduction: Dr Florence Mirembe. (Dr. Mirembe made time for the discussion even as a patient awaited a caesarian section by her in an operating theater. Thus the discussion beyond reporting was short.)

Student progress. Two will defend in December (Byamugisha Josaphat K, Lynn A); Nalwadda Gorrette started slowly, has picked up speed after a very long process with vetters—going fast now; Twaha Mutyaba has all fieldwork done, will defend 2009 (half here, half Degenerative disease group); Jolly Beyeza-Kashesya started last, writing 2nd manuscript—has 'galloped'

B. Persistent Problems

Budget information. Chronic lack of good information on budget from accounting in Faculty of Medicine for groups.

Human Reproduction. Self description: Not strong as planners—had major delays related to procurement, but are now beyond these—and less major for them than for other groups as their biggest item was one microscope. Thinks the new reporting format will assist in planning as a group.

C. New Challenges and Opportunities

Microbiology. Delays in research and student progress and frustration—currently closely related to two problems:

Procurement. NEW element of procurement problems Jaloba requisitioned a great deal of new equipment for the lab and although it was predictably slower than he wished, he achieved approval from the Contracts Committee. Then a new set of unanticipated problems emerged:

1. He thought SGS would now transfer funds electronically to the 3 vendors involved, as the contracts with each were approved, letters of credit in order
2. Only then learned that SGS could not just pay—had to send half of the funds to the Faculty of Medicine to send on to vendors—which eventually—with more delay was done
3. Thought SGS could quickly send on the other half of funds to vendor, but no:
 - a. First must seek approval of DVC F&A, then
 - b. University Secretary
4. Thought all then ready—but now must update the contracts again
5. Meanwhile, equipment arrived May 2008 (airport—where is it now?)

OLD: Still call on Swedish colleagues to buy some items (reagents?) and now Mak U will reimburse the Swedish counter parts—so it bypasses the ‘institution strengthening/capacity’ but gets the materials to them and their counterparts reimbursed.

Budget management. Students ‘destabilized’ about 3 weeks before this visit when SGS changed procedures to issue funds directly to the students—so that the supervisor no longer manages—“not in loop” although he is held responsible for the outcome of the project—but cannot allocate, reallocate funds along the way among program elements. [George P says same, except says he signs, just lost authority and therefore incentive to try to manage when students want to go to SGS quickly, not wait for group meetings, etc.—so he signs rather than being perceived as ‘slowing their progress’. This creates a situation more as in DICTS where coordinators/report writers don’t even know what remains in account for remaining PhD candidates to proceed....finish?] Jaloba: Introduced new fragmentation into research group.

b. Cross Cutting Laboratory

Date of Visit: 14 Oct 2008

People involved in interview:

-Fred Kironde

II. Update on major changes since last visit:

B. Accomplishments

- **Equipment.** Minus 80 freezer running, minus 140 freezer still need to be commissioned and to be backed-up. Contacts in Sweden will be used to try to get it cheaper. The coulter counter now runs every evening. Have received a real-time PCR from a friend of Hannah.
- **Air condition.** Now there is air condition in the building so lab equipments run better in a more stable environment.
- **Internet.** New dish gives better internet in the building and also wireless.
- **Consignment of sigma order.** This can last for six month and it arrived.
- **Collaboration with Iganga.** This collaboration now runs smoothly, samples are transported every evening from Iganga for analyses during the night.
- **Successful students.** One of the former PhD-students (he has graduated), Sendagire, has won a Sewankambo award and thereafter got a new job in the ministry. He is now the national responsible of clinical labs.

B. Persistent Problems

- **Procurement.** Still does not work smoothly to procure from outside. Take time before international companies knows that money is available and also Sida money is small so additional funding is a need. Many things needed are not possible to procure from companies inside the country, e.g gas for minus 80 freezer, reagents fro the coulter etc.

C. New Challenges and Opportunities

- **Students patients.** A new challenge, although nice, is that one of the PhD-students had problems to find enough number of patients i.e. malaria infected pregnant women, inside the area thought to be used for the research. The reason is increased campaigning for the use of malaria nets. Therefore, the area in which the research is to be carried out had to be increased.
- **Stolen signal.** Sometimes the signal from the new dish for internet is stolen and used by people outside the building. Then the bill is increasing for the lab.

- **Phase II ending.** The phase II of the Sida collaboration is approaching its end and the students are not finishing before the end of the phase. What to do?

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

The self-assessment workshop was good. It started individually. The consultant presented well. Now it is easier to go into detail. It is now possible to evaluate better and look into the future. A booklet was made that presented the publications.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

Dr Kironde wants to go into malaria and HIV as well as into malaria and other infections. Also immunity is of interest as well as mechanisms of severe malaria. The capability is now much better and communication has improved. This program started up at a good time as e.g. for the use of internet.

Interest in setting up a joint lab for the program in which everyone in the program could work, e.g. a Sida lab for Microbiology, Pathology, Internal Medicine etc.

4. FACULTY OF AGRICULTURE

Date of Visit: 8 and 15 October 2008

People involved in interview:

- Prof Elly Sabiiti, esabiiti@agric.mak.ac.ug
- Prof Samuel Kyamanywa, skyanaywa@agric.mak.ac.ug
- Johnny Mugisha, jomugisha@agric.mak.ac.ug
- Jeninah Karungi, jkarungi@agric.mak.ac.ug
- Felix Bareba, fbareba@agric.mak.ac.ug
- Justine Nambi-Kasuzi, PhD-student
- Lubanga Umar Kombo, MSc-student
- Constantine Katongole, PhD-student
- William Ekere, PhD-student

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 8

Draft report received at visit by unit. Summary missing for the whole faculty, instead presenting only one of the subprograms. Another of the subprograms is totally missing. One of the subprograms seems to have not reported aims but instead planned activities two times. Two of the subprograms had not reported budgeted or used money. None of the subprograms had reported changes in amount of money used in relation to budget, and only one of the subprogram reported changes in activities. Impact contributions were hardly reported.

B. Issues raised about reports

1. By unit to monitor

-All subprograms found the new format very difficult. One of the subprograms has chosen to instead use the old format. All reported not having seen the guidelines for how the new format should be completed.

2. By monitor to unit

- Guidelines have not been used while preparing the reports.
- Guidelines were supplied by coordinator, subprograms promised to use guidelines and try to finalize filling of the form by the time of another meeting on October 15.

C. Next steps to improve (including timeliness, increasing clarity and usefulness to researchers and Sida, how to make less duplicative/burdensome)

Unit will try to use in the new format according to guidelines and will see the monitor again 15 October to discuss. Updated version from one of the subprograms received at

second visit 15 Oct. One of the other subprograms had still used the old format and still the summary was missing. For the additional two subprograms and also for the summary, unit promised to send updated versions by email to monitor, as well as to SGS. Updated version arrived 25 Oct. Still summary and report from one of the sub-programs are missing.

II. Update on major changes since last visit:

A. Accomplishments

- **PhD. Student progress.** Two of the phase one students have graduated, one more has defended some time ago, and the forth is waiting for his defense. One of the phase 2 students has submitted.
- **Promotions and capacity building.** One PhD-student who completed her Ph.D. in 2007 has been promoted and appointed as lecturer. Now she is doing a one-year post-doc to enhance her research capacity. She is supervising one Master student who has started to do research. One of the PhD-students in phase II dropped out, and this created the funds to pay for the post-doc and a master student. This is a good example of capacity building. All students are performing well and that adds to supervisors dossiers for promotion.
- **New procedures within PhD-education.** Students are encouraged to submit or publish one paper into an international journal before thesis defense. Thesis defense has become public and with an “opponent”. All PhD/students should have a doctoral committee consisting of the main supervisor and a group of other persons who can help with the defense of the proposal and with whom the student can also discuss how to proceed.
- **New graduation system.** Three PhD-students (both within and outside Sida/SAREC program) have graduated within the new graduation system, with “opponent” and open defense.
- **Accessibility of the funds.** Funds are now easily accessible.
- **Faculty research dissemination.** Dissemination of research has taken place, although during the self-assessment workshop, faculty had the feeling of having achieved only a low level of outreach to stakeholders with the results of the research.
- **Publications.** A number of papers have been published during the program. Also, books and manuscripts in conference proceedings have resulted from the program.
- **Strengthening research capacity by faculty funds.** Faculty funds are available in grants of \$10, 000 USD each. This year 27 submitted proposals. Writing research proposals strengthens the research capacity, as does the vetting of the proposals. A

committee of three persons vet, one from the same department as the submitter, and two who are skilled in writing proposals.

- **Grant applications.** Students within the program who finish and get promoted are allowed to search for grants on their own, outside and inside the Sida program, SGS and Uganda.
- **Increased supervisor/PhD-student collaboration.** More joint participation in field work, supervisor and student can go to the field jointly and collect data for different purposes, e.g. for joint work or for each owns work. More discussions about results. Students help supervisors with data treatment and statistical analysis.
- **Procurements.** Before delays in procurement were major. Now the process moves along much better.
- **Facilitator for visitors.** One of the PhD-students has become a facilitator, when lecturers, teaching about waste, visited Makerere.
- **New areas of research.** Due to this program, members of staff have been able to start research in new areas.
- **New policies.** Someof the research within the program has led to new policies, e.g. ban of polyethylene shopping bags of certain thickness. This has promoted use of paper bags. Now research is carried out on responses to the ban, reactions, and what has changed.
- **Faculty pilot for self-evaluation of undergraduate programs.** National Council of Higher Education has planned to evaluate all undergraduate programs at all universities in Uganda. From Makerere University, the Faculty of Agriculture participated as a pilot in the first round of self-evaluations of undergraduate programs in Uganda. The Agriculture Faculty committee assembled a very good committee assess their BSc programs. The committee contained senior staff, students at masters and undergraduate levels, both men and women. The 11 member committee worked for the equivalent of 2 months, full time, on this self-evaluation—but over 3-4 months.
- **Minimum standards.** National Council of Higher Education is at present working to create minimum standards of undergraduate programs in the East African region. Faculty of Agriculture participate in the work of creating minimum standards for all agricultural programs in Uganda as concerns grading systems, program content, curriculum content etc.
- **Presidential Science Award.** Prof Sabiiti won the Presidential Science Award in Science Education and Technology for Excellence. This is one out of three, annual, Presidential Awards. The other two are 1) in Medicine, Social Science, and Basic

Science, and 2) Innovations. The Presidential Science Awards are the highest national prizes to win and are viewed as “the Ugandan Nobel Price”.

- **Centre of Excellence in garbage/waste.** The Faculty of Agriculture is building a Centre of Excellence in garbage/waste. The University released a house at MUARIK for the purpose of creating this Centre of Excellence. The Faculty collaborates with the Uganda Research Institute in order to process, pelletize, and pack feed made from garbage of banana peels. An expert from Canada, the Director of a Centre of Excellence in garbage/waste managements there, will come next week advise on the setting up of a centre. The aim of the Centre is to assist a range of players, including the City Council, NEMA (National Environmental Centre), other Faculties and Schools (Technology, School of Public Health), farmers, and the general public. A further aim is to make the centre a National Demonstration, and translate science into practice. The 7 PhD-students who are/have been in the program will add to the knowledge base of the Centre.

B. Persistent Problems

- **Small grants accountability.** For the small grants, there are sometimes problems with the accountability, especially as the time schedule for accounting is supposed to operate on a tight schedule.

C. New Challenges and Opportunities

- **Following objectives and guidelines.** As this Sida-Makerere program focuses on PhD/students, it has been a challenge to include Post-doc and Masters. Initial problems have been solved.
- **Future.** Capacity to do research is resulting from this program. It is particularly important to use this capacity for the future. Post/doc possibilities for PhD/students who graduate become an important step in making use of, and continuing to increase research capacity.
- **Faculty report.** Participants thought it would be useful to create a separate report about the program showing benefits of the program to the Faculty of Agriculture, the university and stakeholders beyond to distribute to visitors.
- **Student Travel to Sweden.**
 - o Difficult to find out how one possibly can see the doctor if one gets sick in Sweden, even if there is medical insurance.
 - o If a student encounters a problem in Sweden with a supervisor there, whom should s/he contact?

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

Participants reported that the self-assessment was a good exercise. It helped them to see both what contributions they and the program have made, and gaps. Farmers and end/users were not well addressed during the first phase; planning for it did not include how results should benefit end/users. Until now it is not known whether there has been an uptake of the results beyond the university--in the society. Also, it will be important to take into future consideration in the future issues such as global warming in future applications for more grants. The major weakness in the program so far has been in implementing results. The self/assessment workshop showed the need for improving communication within the program. Good parts of the program should not be forgotten but instead talked about more. The self-assessment had a certain style that had to be followed. This self-assessment exercise was based on a particular method/approach.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

Participants want to build on the success from the two first phases and add more agricultural areas of research including waste management, soil fertility, livestock feeds, cross/cutting socio/economic aspects, and land water management. The umbrella might still be effective utilization of agricultural waste.

In relation to third phase, new ideas are evolving and new contacts have been made in Sweden, and more will be made soon. Colleagues already contacted in anticipation of Phase 3 include Prof Håkan Jönsson at department of Engineering at SLU, for energy conversion investigation, and the microbial unit research lab at SLU for analysing micro organisms in garbage. In the next phase more people has to be involved and the work has to be more diversified. Those at the meeting also see a need, on the Ugandan side, for a more thematic approach, perhaps including colleagues from Environment, Technology, Agriculture, Public Health, Private Companies, NGOs and other Universities.

6. SCHOOL OF PUBLIC HEALTH and DEMOGRAPHIC SURVEILLANCE UNIT

a. School of Public Health

Date of Visit: 7 and 10 October 2008

People involved in interview:

Dates and those interviewed:

- David Serwadde, Dean
- George Pariyo, Coordinator

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: No drafts received during visit.

No draft report available during our visit, other than first draft of part on DSS (see part b below) without PhD student updates. Coordinator traveling when we arrived, and Dean, DSS Manager unaware of status of MSPH report beyond DSS.

B. Issues raised about reports

1. By unit to monitor

Much said about problems with coordination with SGS, little about report itself. See below.

2. By monitor to unit

Delivered new format template, guidance, and example to Coordinator on 10 October 2008, followed up by email.

D. Next steps to improve (including timeliness, increasing clarity and usefulness to researchers and Sida, how to make less duplicative/burdensome)

No reports delivered to monitors during visit and not by email despite two reminders by mail from monitors.

II. Update on major changes since last visit:

A. Accomplishments

- **New College of Health Sciences:** School of Public Health is now within this new unit, and the hope is for greater efficiencies/less duplication of administrative effort.
- **Greater collaboration with Swedish colleagues.** Supervisors work as team. More experienced supervisor from KI helped greatly as younger supervisors initially had difficulty with little or no age difference between themselves and PhD students. The

senior colleague from KI helped, and by working as a team, together they have overcome the initial problem. Group supervision allowed them to take on more PhD students than would have been possible with individual supervision.

- **New funds.** Funded research groups seeking to do studies at DSS is very good for MSPH PhD students.
- **Research environment.**
 - **Lunch seminars.** Weekly lunch seminars are widely popular—both for presenters as a means of seeking assistance, and among those who attend (30-40 each week). Slots are filled early in the term, more would like to present than there are weeks.
 - **Joint publications.** Researchers in group now write together—get more feedback, more help, and to meet expectations from group, make this work a priority and get more done.
 - **International conferences.** Terrifically important for researchers to see where they fit in the field, to learn others want to hear from them boosts confidence, incentive to do more.

B. Persistent Problems

- **Procurement.** Statute for new college calls for unit to handle its own procurements up to a limit of \$20,000USD. This ceiling is too low, needs to be raised.
- **Internet speed.** Still sufficiently slow that colleagues in Sweden send article pdfs by internet to keep Ugandan colleagues up to date.

C. New Challenges and Opportunities

Challenges.

- **Change in management of Sida funds—creates strain at MSH.** Coordinator/PI reports a new problem—having started about 3 weeks prior to our site visit. Sida funds that had been passed through SGS to MSPH are now handled directly by SGS. This undercuts role of PI in managing the research group. Students now go to Coordinator for sign off to go SGS—not interested in working out a research group plan, want the signature so they can access fieldwork funds right away. Now PhD students say coordinator should sign without meeting of group, as otherwise coordinator is slowing the progress of fieldwork. Thus, PI has little choice but to sign, even as this damages the coherence of the group—not a good way to build capacity of research groups. MSPH thinks its financial management system is already more sophisticated than that at SGS (showed print outs for other funded research projects managed by SPH—gets less than that from SGS—so why funds not in MPH where coordinator can manage better? [Same issue raised by Microbiology subprogram in Faculty of Medicine.]

- **Management MSPH-DSS.** How SPH and DSS work together for DSS to manage new studies—risks being a “victim of its own success” if management issues/funding flows cannot be worked out with Sida/SGS. Hiring much too slow through university—need mechanism to allow DSS to operate outside Makerere University as well as part of SPH for other purposes. Dean proposed an independent unit like Infectious Disease Institute at Mulago—but tension with SGS over long term control. Incongruities need to be managed outside Mak U limitations. For example, Rakai DSS pays good technicians more than Mak U professor earns, and have sufficient funds from PEPFAR, Gates Foundation, US National Institutes of Health to do this; it is Makerere University/SGS/SPH limitations that make it not possible to do this for DSS. A very big problem/challenge for the future of DSS within Makerere University. Other universities in the region pay better than Makerere U, so especially difficult in Makerere context.
- **Steering Committee-Sida roles—mixed messages from Sida.** When MSPH brought needs of DSS for funds to steering committee for reallocation to pay for a critical position—it all seemed to go well. Had thought Sida wanted Steering Committee to take responsibility for such decisions. Then Sida intervened and overruled Steering Committee. Seemed unfortunate decision to intervene—using a heavy hand. Seemed like a mixed message that interfered with clarity/importance of role of Steering Committee, as well as with regard to the particular decision.
- **Swedish collaborators feel left out in Sida collaboration.** Swedish collaborators unsure of roles. Would like to contribute more to planning, feel left out by structure of the process, also by Sida, as almost no information is provided to them by Sida. Also, if they perceive problems for the students, there is little they can do. If students do not do well, Swedish collaborators’ reputations suffer too. Need to do better in the future in how to structure the collaboration, roles.

Opportunities.

- **‘Reentry’ grants.** As there continue to be unfilled allocations of positions at each academic rank (in both SPH and Faculty of Medicine), reentry grants offered by Antwerp University for those who complete PhD degrees offers a huge opportunity. Antwerp will pay \$50,000USD for a year, as soon as a new PhD completes the degree. This amounts to an ‘instant post-doc’, and works as a bridge. The PhD can be setting up research while the slow wheels of the bureaucracy move toward hiring the person on a permanent line as academic staff. Most often in the past, both the SPH and the Medical School have lost their best new PhD as prospects for the academic positions because there is no way to pay these people while the University goes through the processes that could lead to them being hired to fill vacant academic positions. It takes a full year to recruit for new positions. Faculty positions must be advertised, then the rest of the process can begin. Dean eager to learn how Faculty of Technology has been able to use Sida funds for postdoctoral work, even if temporary. *Reentry/bridge funds now crucial step in increasing institutional capacity for*

research in SPH.

b. DEMOGRAPHIC SURVEILLANCE CENTER

Date of Visit: 10 Oct 2008

People involved in interview:

- Daniel Kadobera, Data manager
- Fred Magoola, Information officer
- Dorean Nabukalu, Ass Data Manager
- Edward Galiwango, Site Operations Coordinator
- Peter Waiswa, PhD-student

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 10

Summary present but missing budgets, expenditures, balances and in most cases output and impact. Individual reports for PhD-students not present, will they come with annual report from School of Public Health?

B. Issues raised about reports

1. By unit to monitor

No problem with format but lack of time to go through and fill in all information about budgets and expenditures. Site Operations Coordinator has started to fill in the report and will proceed as fast as possible.

2. By monitor to unit

- Have guidelines been used when filling the form? Not possible to say much about report in its present state. When can a copy be ready containing the needed information?

C. Next steps to improve (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

Guidelines were supplied by monitor and unit promised to use guidelines and to try to finalize filling of the form by October 20.

II. Update on major changes since last visit:

A. Accomplishments

- **Handheld computers.** First test of 300 handheld computers was carried out during

the year. First preliminary tests had taken place in 2005. Thereafter some office-based tests and first field test were done last year. This year, the software had improved, some bugs removed. One additional test will be needed and thereafter it may be possible to use handheld computers regularly.

- **Webside.** The webside of Iganga/Majuge DSS has been up and running since March this year.
- **Data entry room.** The data entry room has been developed with several more data entry work stations. At the data entry room, data is entered, checked, and cleaned under supervision.
- **New studies.** Beside the routine DSS data collection, a number of studies are running both older ones and new ones, including on malaria and TB. Therefore, data is entered for each individual and then can be searched for in different studies—so it is then useful for many different purposes.
- **Identity cards and numbers.** DSS, in concert with the health centre, is considering identity cards and numbers. In order to get people to accept the use of identity cards and numbers, alternative approaches are under discussion. For example, those who participate could have a special queue when they need to go to hospital, rather than waiting with everyone else. Now household registration numbers are used but it is not sufficient for many studies and purposes.
- **More renovated rooms for office.** Several new rooms have been rented and renovated to be used for offices, e.g. Karin Källanders office, offices for new-born life study and TB study.
- **International publication.** Results from the new-born life study have been published in the International Journal of Pregnancy and Child Birth--a good international publication. These results have also been presented on a number of conferences.

B. Persistent Problems

- **Power problem.** The problems with the power are present all over the country. Sometimes the energy problem causes damage to hardware.

C. New Challenges and Opportunities

- **Repair and maintenance of bikes.** DSS purchased bicycles in 2005, several of which now need to be repaired. Locals make the repairs. Damaged equipment waiting for repair (or never to be repaired) now fills a room at DSS.
- **Neonates/miscarriages not reported.** The new-born life study, funded by Save the

Children, USA, aims at teach mothers how to save new born lives. One problem is the reporting of pregnancy, miscarriages etc. Children are not talked about as “born” until they have been alive for a period. Neonates make up the highest proportion of child deaths. Main causes of death are infections (pneumonia, asphyxia, etc). The main reasons for early death are lack of knowledge, lack of transportation, and lack of hospital care. 60% of women deliver at home or at traditional healers. The number of doctors are 8/650,000 people in Iganga and 4/400,000 people in Majuge.

- **Projects contribute money to SPH.** Money from the different projects at DSS contribute money to cover the costs, but the money does not go to DSS, rather to SPH as overhead. It would be very helpful to DSS if part of overhede money would be returned to DSS.
- **2008 years money used in August.** As of August 2008, the full year of funding for DSS had already been used. Is possible to borrow from 2009? If so, what will happen in 2009? Have requested for reallocation to SGS. This issue will be discussed in the review meeting.
- **Fieldwork money.** Problems with accounting of fieldwork money due to the structure of the accounting system. Money becomes available from SGS for fieldwork. Then, the reports go from PhD-students, to DSS, to SPH and further to SGS, often getting stuck or lost on its way (also documentation for accountability) on its way. SGS accountant calls DSS looking for accountability documentation, but by then it is somewhere on its way to SGS, and DSS does not know where. It would be easier if SPH had the money to pay for DSS, rather than having the extra steps.
- **Money in Sweden.** Living stipend in Sweden is too low.
- **Tracking of student’s progress.** Normally no-one at Makerere tracks the progress of the students. It would be useful if students and their supervisors sat together now and then and discussed how things were going.
- **Joint degree with two different systems.** Difficult for the students that the systems of the involved universities are not harmonized. Now the student has to register in both systems, present two proposals at two different occasions, have these reviewed by different external vetters who may have different opinions about the proposal and suggest different revisions. Also, students have to travel to Sweden to make the 10 min presentation.
- **Supervision.** Supervisors on both sides are generally too busy. It would be useful for supervisors to participate in meetings and make comments to students.
- **PhD-student courses.** There are too few PhD-courses offered at Makerere; and it is too complicated to get credits for courses taken at other places to be accepted in both the Mak system and in the KI system. Often difficult to travel for a one week course.

6. MASS COMMUNICATION

Date of Visit: 13 October 2008

People involved in interview:

- George W Lugambi, Head of Department, lugambi@masscom.mak.ac.ug
- Linda Nassunga Goretti, Senior Lecturer
- Ivan Lukanda, Master student

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 3

Draft report received before visit to unit. Generally, budgets and used money did not match, changes in plans and used money were not described and impact contribution was hardly reported. One senior researcher report presented activities, outcomes and impact with quite a lot of detail and serves as a good model for others.

B. Issues raised about reports

1. By unit to monitor

Liked the new format although it was difficult to fill. Had not seen the guidelines.

2. By monitor to unit

Guidelines were supplied by the monitors and a quite detailed discussion was carried out about how the format could be used and what could be filled in the different columns. Group was unclear about the difference between APR reports and Self-Assessment reports.

C. Next steps to improve (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

An updated version of the annual progress report will be sent by email to the monitors and to SGS within a week after the meeting. Updated version of the report received 7 November.

II. Update on major changes since last visit:

A. Accomplishments

- **Commitment to research.** The sense that the unit and the staff are involved in ongoing research has evolved. Not only teachers any more, now also firm identity as scholars. 'It is not any more possible to say that we are not doing research because resources are there, then you have to commit.'

- **UNESCO evaluation.** UNESCO has evaluated the journalism education in Africa and found that at Makerere to be of best potential to become a centre of excellence. This department has many young, smart students—it is one of the most popular fields of study. Thus, many show promise as potential PhD candidates, who could become members of staff. The evaluation that there is potential to become centre of excellence might increase the possibility to bring other donors on board.
- **Conference attendance.** The collaboration with Sida has given the opportunity to this group to participate in the major international conference in this field. For the first time this group is able to see and feel its place in the research worldwide, and to meet and discuss with leading scholars, publishers, etc. From them it is possible to get feedback on research, presentations, and papers. This adds to confidence and motivation for further research.
- **Research capacity strengthening.** Before there were only small funds that left researchers working in relative isolation. Now they participate in academic networks with people outside the country.

B. Persistent Problems

- **No coherent research agenda.** When this program was created at mass communication the research agenda was not coherent, therefore the research projects did not come together and gel. The group is beginning to change this.
- **Staff and Students in the program.** Many of the teachers at the department are not permanent staff. They teach on part time. As part timers at Makerere, they are not eligible to become PhD-students. And as the department has a shortage of staff and a shortage of staff with PhD, this is a problem. However, the department has negotiated with the directorate of human resources and now there is hope for increase in staff. Another problem is difficulties to fill higher positions as Professors and Associate Professors if they are advertised. The department has to educate and promote people for the positions needed.
- **Division of time for different tasks.** Many people in the department are studying for PhDs, thus they are absent from the teaching staff part- or full time, making the burden of teaching even tougher for those teaching staff present at Makerere.

C. New Challenges and Opportunities

- **More collaboration at the department.** Given the desire of this group to overcome earlier fragmentation and to gel as a research group, they have planned for joint collection of data on broad themes that can be analyzed from different perspectives, and sharing of budgets.

- **Joint degree awards.** Joint degree awards should be valuable. At Makerere the pool of supervisors remains very small, thus joint degrees might help to expand the availability of competent supervisors in fields not present at Makerere. The capacity in Örebro for example is much better. This approach is most appealing if the exchange of students can be in both directions.
- **Collaboration/dissemination.** The program might increase the opportunities of collaboration within the campus across faculties. This department has much to contribute if it can work with others on dissemination of interesting results, important to Uganda.

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

John Wabwire was the internal facilitator and this group found him to be a skilled and helpful facilitator. The self-assessment workshop helped the group to consolidate its ideas, and to identify human resources, giving a greater sense of capacity and potential. The self-assessment gave opportunities for small units to do their own assessments, to talk about the strengths and weaknesses, and to see in the future. It was a start to move into the next phase. It structured the way of talking to each other, using a particular format.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

Want to get more people on board. Now only one professor in Örebro is involved.

Already when this program started, there was another Sida-supported program on-going in environmental journalism. Now the intention is to connect this diploma program with the research/PhD support. One problem is that the diploma collaboration is among five African countries, and Sida/SAREC does not operate in all those five countries. The multi-country collaboration is valuable to Makerere University, so it will be a challenge to maintain the regional collaboration and link the research program with the diploma program.

The climate change would be an interesting topic for next phase.

One important aspect for the coming proposal will be the dissemination of results. Research about how that is best done is also of importance.

The department has infrastructure for radio but we need to add facilities for television; for that they will need more space.

7. GENDER MAINSTREAMING

Date of Visit: 8, 15, 16 October 2008

People involved in interview:

- Catherine Kanabahita Guma, Head, Gender mainstreaming
- Frances Nyachwo, Senior Assistant Registrar, Gender mainstreaming

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 2

Summary: format lost in version printed for us, so we were unable to follow it. Individual student reports: Many of the student reports did not have any budgets or changes of plans. Several of them were unclear in relation to activities undertaken versus those planned. Impact for society was often unclear.

B. Issues raised about reports

1. By unit to monitors

Gender Mainstreaming group liked the new format. Important to link objectives with impact and to think beyond, what should the research lead to. They believe research has to be linked to policies (thus policy briefs are useful) and media to encourage changes in policy and interventions. More applied research is needed relating to community problems. The risk is always that the academia does research, put the results are put a shelf and policies or intervention are then promoted without linking them to the research, or assessing impact. The report helps participants to think about projects in terms of what impact they can have over time, and how to promote translation of the research into projects, policies, and management.

2. By monitors to unit

- Guidelines have not been used when preparing the report, and will make it easier to revise the reports for the PhD students, and to revise the format for MA students.
- It appears there are 3 cohorts of students: the 5 PhD students, and two larger groups of MA students, those having started within the last year, and those having started a year earlier.
- The format works well for the PhD students, but is unnecessarily complex for the Masters students.
- Those MA students in their first year are only taking courses, not doing research, so the format can be vastly simplified to collect information about their course progress.
- Those MA students in their second year, who have started research, need a simplified version of the format, as their research is not so complex as that as the PhD students.
- For all students it will be useful to see what funds have been allocated and planned for the year, how much has been spent, and what funds remain.

- Gender Mainstreaming has a more difficult challenge than other units, as the director and staff in this unit are not the academic supervisors of the students. Thus, they must contact students and supervisors all over campus in order to line up the reports for each student.

C. Next steps to improve (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

- Guidelines were supplied by monitor and gender mainstreaming promised to use guidelines and try to finalize filling of the form until October 15.
- Will revise format to suit the needs of MA students.

II. Update on major changes since last visit:

A. Accomplishments

- **New strategic plan.** The university has now a new strategic plan. For Gender mainstreaming it means that there is a need to align the mandate with their functions. The strategic plan has four elements;

- o Teaching and learning
- o Research and innovations
- o Partnership and networking
- o Support

Gender mainstreaming is working with issues related to each of these elements. For teaching, there is a consultant hired, who will look at different units in relation to gender issues, especially how academic staff treat students, deliver information, and how students get information. Three units have been willing to act as pilot units for such this investigation. For the research and innovation element, gender mainstreaming is working with research policies, such as the gender and sexual harassment policies. For the support element, gender mainstreaming has to make sure that mainstreaming takes place in all units as well as in work plans, budgets etc. That is, there is to be a gender aspect in all planning, budgeting etc.

- **Curriculum and gender.** Worked with 16 units so far on integrating the gender perspective into curricula. Started in 2003 with Internal Medicine and Law. They found no 'best practices' at other universities, so began to develop their own approach. Sometimes specific courses have been added (for example, a Gender and Law course), other times the perspective added to other courses. A consultant has looked at how each of the units is integrating gender into curriculum, how it teaches, and how students take in the teaching.
- **New gender policy.** First university-wide gender policy on sexual harassment completed in 2006; now they have developed a broader gender policy to be completed in April or May 2009.

- **Tracking gender imbalances.** Two out of ten central administrators are women, and 2 of 43 professors are women. The Sida program helps women gain PhDs as this will make more eligible for promotion. A data base tracks.
- **Sexual harassment policy implementation and effects.** Have trained units how to understand and use the sexual harassment policy, and there have already been results. A member of academic staff pulled out of contention for a deanship after being cited for a breach of the policy, students have been sensitized to “date rape” and to pressure on students from academic staff. The biggest challenge in implementation is teacher to student harassment. Every faculty has a committee, and Deans and VCs are in charge of these—this can be a problem if a person students want to complain about is part of a committee.
- **HERS academy.** HERS academy was started in USA but has now been taken up in Africa. It is a ten-point program dedicated to leadership in universities. It provides a forum to push women toward academic promotion, supports them finding how to deal with pressures for research and publication, focuses on recruitment and promotion policies — identifying and dealing barriers--especially why women in middle level positions get stuck there. At present the most active HERS on the continent is in South Africa. Gender mainstreaming has been asked to start HERS East Africa.
- **Policies for promotion in Academia.** Gender mainstreaming has been studying and critiquing criteria for promotion at Makerere University. At present it takes 21 years and 11 publications to be promoted to full professor. There is also a fast track, in which it takes 11 years and 21 publications to reach full professor. For women, either track is problematic since women often start later and/ or take more breaks in their careers than men as they bear more responsibility for children and family. This is a focus of HERS internationally, and of the Gender Mainstreaming division at Makerere University.
- **International Leadership.** Gender Mainstreaming now finds it is ahead of universities in Africa and elsewhere with its approach to gender. Thus, as staff meet others in conferences, etc. their experience and suggestions are sought.
- **Sida/SAREC funding.** A situation analysis led to Sida/SAREC funding for this division—focused on women and leadership by masters/PhD/training but also through training in scholarly writing, mentoring etc.
- **Scholarships.** So far Gender Mainstreaming has supported 691 students with funds from Carnegie, Norad, Sida—70% in sciences and 30%.
- **Lunch meetings.** Lunch meetings have been organized at the medical faculty in order to discuss and agree upon activities to support women.
- **Women days.** These have been initiated by students and in these days everyone

works together on some gender issues.

- **Gender training for all students.** The goal is for all students at Makerere to have gender training before completing their studies.
- **Student activities.** A group of volunteer students, 25 male and 25 female are specially trained in gender issues every year and they create a work plan for that year of 3-4 activities, for example, information to new students, HIV- and gender issues, organizing women days. Also specific support is given to 3 students every year to participate in a leadership day. This started in New York, but now office is in Africa.
- **Directorate.** Gender mainstreaming is trying to position themselves to move from a division to becoming a directorate. If successful, they will be more autonomous. At present they work on a proposal.

C. New Challenges and Opportunities

- **Problems in administration.** Gender perspectives are needed in both administrative and in research and innovation issues. Gender mainstreaming has a network with NGOs with which they work.
- **Self sufficiency.** How to become self-sufficient in the long run is a challenge. Gender mainstreaming will be needed across the university and for the long term, and therefore sustainability is of highest priority. They are now developing a sustainability policy, and working on fundraising.
- **Fundraising.** Staff has been asked to put some money in an account for fund/raising on gender issues. They plan to present a musical show for public to raise money. They will also invite people to fund it and will approach alumni.
- **Hall of residence for girls.** An additional hall of residence for girls is needed. Of new funds raised, 40% will be used for such a hall, 60% will be used for initiatives to support women on campus.

8. Library

Date of Visit: 13 October 2008

People involved in interview:

- Maria Musoke, University Librarian, email: mmusoke@med.mak.ac.ug
- Fredrick Kiwuna Lugga, e-resources
- Faith Akiteng – E resources, desaturation module
- Alison Annet Kinengyere PhD-student
- Robert JK Kakembo, deputy head, Associate library Professor
- [-Liz State, who drafted this units report, intended to participate, but was out sick]

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 2

Draft report received the first day of monitors visit to Makerere. Report difficult to read and follow. Many changes and impact items missing. Reason may be that it is difficult to use the new format for infrastructural building activities as is what Library mainly does. Might be better to use old format for the infrastructure building activities and use new format for PhD-parts of the program at Library.

B. Issues raised about reports

1. By unit to monitors

Have tried to use the new format although found it difficult. Reported not having seen any guidelines to assist in preparation of reports using the new format.

2. By monitors to unit

Might be difficult to use the new format for infrastructural building activities as is what Library mainly does. Might be better to use old format for the infrastructure building activities and use new format for PhD-parts of the program at Library. The new format was developed for research activities. New version of the report is needed, would Library want to make new version in old format or try to use guidelines and update/revise the report in new format?

C. Next steps to improve (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

Library wanted to use new format in its revision this year because it would be more time consuming to switch. However, for next year they would like to use old format for the parts that is infrastructure and new format for research students and activities. Library promised to revise the report and submit by email to SGS and monitors within a week

after the visit of monitors. New revised version of the report was received Oct 20. Still, lots of information missing, especially for balances—funds remaining. Also missing information in the summary; and within, still missing and changes in plans, costs and impacts in the PhD-students parts.

II. Update on major changes since last visit:

A. Accomplishments

- **Progression of planned activities:** All planned activities have progressed well.
- **Training of librarians.** Librarians are trained in library skills, this continues all the time.
- **Training of librarians at other universities.** Makerere University Library has started training on e-resources for library staff at other universities and units. At present a total of 14 units have been trained, 12 of which are universities outside Makerere. Some of these librarians did not know about e-resources before the training. The training aims at i) increasing the capability of the librarians, ii) physical capabilities of e-resources in their locations, what capability do they have at each unit (lack of access might be lack of IP address, also there is a need to be registered for each database). Another workshop will deal with band width issues. Each unit is supposed to have a coordinator for contacts with Makerere. The coordinator takes care of registrations for each database and also is responsible for stability of the IP address. At present, most of the trained units have access to some e-resources. Before the training, they had no access to e-resources at all.
- **Visits.** Several of the staff have visited Uppsala (Faith, Liz and Gabriel), Gothenburg and Denmark (Faith and Fred) and learned on site how the same systems they have at Makerere are working and managed in those libraries. Have learned that license keys will not expire, instead it takes time to start the program etc.
- **Series module.** The targets have been reached in filling data into the module. Everyone is working hard to reach the goals. An award is given to the person who added most records as well as edited most records in *Virtua*.
- **Atmosphere.** The atmosphere in the library is changing as users come to make use of the new resources (computers, databases, online journals), compared to earlier when one would see many students appearing to use the library simply as a place to read lecture notes.
- **New building.** The new building has increased the space in the library. More students can find places to study. The new building has group study rooms, space for arts--a music collection and for archiving music. One floor is for computers with access points. Carnegie will finance furnishing more data points, extension in LAN, and wire less connections in the building.

- **Uganda Scholarly Data Library (USDL).** This database of Makerere academic staff publications is growing. Two librarians, one of whom is working full time on USDL, are registering data into this database. So far, 71 records have been registered, 22 of which are from the Faculty of Agriculture. Records are simultaneously registered in *Virtua*. In USDL records are registered in full text and they are scanned in.
- **Phase 1 students.** These students are still in Sweden but are expected to finish in early 2009.
- **DICTS.** One person at DICTS, Gabriel, has the responsibility to help the library when they need sophisticated technical assistance. He works from DICTS, with a part of his time dedicated to the library. He also teaches library staff more technical support skills.

B. Persistent Problems

- **Modules.** The library system has four modules. Some are working fine, others not. Cataloguing module is working. Procurement module has problems since it needs e.g. companies selling books to be able to read the *Virtua* system. A new version of *Virtua*, that may solve the compatibility problem, is on its way. The desaturation module to allow individuals to borrow books should be integrated but is not yet.
- **Library cards.** The aim was to have cards for each student, integrating all types of information in university systems (e.g FINIS, ARIS) about this student. The cards do not function like this. Because of that the students still have to have library cards which are updated each year.
- **Procurement.** Procurement of special library equipment has to be done abroad where there are sole sources for highly specialized items. However, the Ugandan law does not anticipate this situation—and when procurement is carried out using the standard advertising and bidding procedure for procurement from Ugandan suppliers—the library risks receiving sub-standard equipment and has had experience where Ugandan suppliers failed to meet the terms of their contracts, as they were unprepared to assist with proper installation.
- **Internet/Band-width.** Internet is usually on and off and last month has been especially bad. Band-width and LAN data points are still sometimes limiting. All librarians will go to a one day workshop for training about how to optimize the use of band-width.

C. New Challenges and Opportunities

- **Access to e-resources at other units.** For the trained units, problems are still too few computers and that the e-resources are not accessible all the time (booking has to be done, connectivity is uncertain).

- **Follow-up training of new units.** Follow-up on impact of the training for e-resources is planned to take place 2009.
- **More units to register at the consortium.** A consortium (CUUL) has been created to share both costs and use of the e-resources. Totally there are 27 Ugandan university libraries and 43 university and governmental research institutions. Most of the universities trained so far have masters programs. Makerere continues to pay a very large part of the consortium bill for e-resources.
- **Funds.** This year it is more difficult to get information about the status of government funds university (in contrast to donor supplied) accounts and how much money is present to spend. Library keeps writing letter to bursar to try to understand how much money they have. Uncertainty of funding makes planning more difficult this year than last.
- **Archive management module.** The new version of *Virtua* that will arrive soon has an archival management module. Library will train one archivist in Ireland where staff developed this archive module. Makerere University Library will be the National reference library.
- **Money for travel.** Lately, librarians have had increasing problems in accessing money in time to travel. One problem was related to currency exchanges and the shilling account, but other problems have occurred in slow access to funds held at SGS.

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

The self-assessment was useful as it showed progress at different units. The library had moved well. The library has trained end-users – 900 undergraduate students, 200 members of staff, moved out to other libraries and trained staffs there. Capacity has been built, staff have attended courses, document delivery system is present, self check-out machinery is available. Total number of databases subscribed to were given as well as number of e-resources downloaded. Before the Sida program started, many of the librarians were afraid of touching a computer while now all librarians know how to use them. For the self-assessment workshop, library made tables with numbers to characterize progress and to support their descriptions.

IV. Ideas, presented by the unit, for a possible Phase 3 for Makerere U

For the future, the library wants to keep advancing in staff skills and resources. Staff described huge advantages from attending international conferences where they learned about new technologies and practices, and met many peers. They now solve problems by seeking out peers they met at conferences to share experience and strategies. They believe that once a library has been able to offer e-resources that university will not go

back to working without access to literature. Learning, training, and subscriptions are all important.

It is important to get more institutions to join the Consortium of Uganda Universities Libraries (CUUL) so that the costs can be shared—to make access to resources at the Ugandan university and research institution libraries more sustainable.

There is now a requirement of librarians to have PhD at Makerere. To progress, you have to have a PhD. Then you prove for the university that you are needed. There is a new structure of librarians, started in 2006, when 13 new librarians were recruited, then 10 more in 2007, making a total of 52 librarians at Makerere (in the main and satellite libraries).

The library has to adapt also to students and teachers with disabilities.

The library reports very favourably on the response to its cross-cutting course. They would like to continue to offer it, and hope that there will be a credit unit system developed.

9. DIRECTORATE FOR ICT SERVICES

Dates of Visit: 8, 16 October 2008

People involved in interviews:

-Apolo Kyeyune, Planning and Maintenance Manager (and report preparer); Director was traveling.

-Nora Mulira, Director

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: Oct 2

Received complete report upon arrival at SGS. DICTS had combined the old and new formats, using the new one to report on research/PhD students, and the old format for reporting on ICT infrastructure developments and ICT service activities. The combination seems to work well, and seems likely to be well suited for other units that have a mix of responsibilities, including service or infrastructure as well as PhD students and research.

B. Issues raised about reports

a. By unit to monitors

At initial meeting with Apolo Kyeyune, all others in Sida collaboration for DICTS were traveling (short term) or in Sweden (for several months). Two, the director and one PhD student were to return before Monitors depart.)

DICTS adapted to the new format, aided by new interest and skills in evaluation methods of Apolo Kyeune. After participating in the Monitoring and Evaluation training opportunity at Stellenbosh University in South Africa (organized by the Planning and Development Department), he is now pursuing a MA of Philosophy in Social Science Methods there (mostly distance learning). His special interest is in combining quantitative (his background) with qualitative (needed for evaluating social outcomes related to PEAP, MDGs, etc.). He is also responsible for reports to NORAD and Carnegie, so he compares the formats, advantages and disadvantages across reporting requirements.

-Impact column in new format. DICTS likes very much as an educational opportunity—focus on potential impact, strategy for reaching it—engaging researchers beyond writing only for academic colleagues. He thinks intent of last column needs clarification (we agree). Agrees there is potential for synergy across campus—as focus on last column can support brainstorming for future—how to increase strength of research groups (finding collaborators already on campus with overlapping interests, and connecting to themes for strong areas of Mak U research: malaria, poverty, etc.—possible then to plan for impact—and for connecting research results to PEAP, MDG's, more useful focus for

learning about impact in the making—as politicians usually do not follow good, evidence based directions; causation of decisions even harder to follow.

-Tracking impact: Pointed to Makerere Institute for Social Research (MISR) as major source of research, could be good place to synthesize ongoing work related to themes, interesting to track this as MISR good at social science methods.

-Norad now has themes-can help impact: Good governance research in Law Faculty and at Gender Mainstreaming—could learn potential impact and track over time (Dbembe Williams also thinking this was about evaluation of research—UK model with which he is familiar gets at impact)

At later meeting with Director, Nora Mulira: About achievements, persistent problems new challenges, below

b. Monitors to Unit

Important information that was not apparent on the report, is funds remaining to support PhD work completion of the two students who started last, Ali Ndiwalana and David Kiwana. As SGS has been holding funds, PhD students go there with requests for support for fieldwork, travel, etc. Graduate student funds are pooled at SGS, so DICTS not aware of rate of spending. No one at DICTS seems to have tallied what has been spent by the students who started first, and what remains for those who still need support for fieldwork and travel to Sweden. Apolo K will look into this with SGS.

First iteration unclear about potential impact. Some material reported not from same reporting period.

C. Next steps to improve (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

The unit is not expected to submit any new version of the report to the monitors before annual review meeting. Apolo is a useful source for Sida and Makerere to use in reporting and evaluation processes.

II. Update on major changes since last visit:

A. Accomplishments

a. Student progress.

-Nora Mulwire. Completed PhD (research at DUT Netherlands).

-Moses Niiwe. Started 2005, anticipated completion 2009-or 10. Registered DSV.

**First to register, should finish on time but he wanted to do fieldwork in Sweden, not Uganda, so Sida still reviewing.

-Florence Kivunike. Started 2006, anticipated completion 2010. Registered at DVS, Stockholm.

-Evelyn Kahiigi Started 2006, anticipated completion 2010. Registered at DVS, Stockholm.

-Ali Ndiwalana Started 2007, anticipated completion 2011. Registered at Mid Sweden. Supervisor moved to a different university, leaving Ali without a Swedish supervisor at the university where he is registered. Had lost contact with original Swedish supervisor at the time of monitoring visit.

-David Kiwana 2007-2007-anticipated completion, 2011. Registered At Lund University.

- **Research culture.** To support research, regularly DICTS has checked on the availability of their services, complaints about services, follow-up on responses to complaints; Thus M&E is imbedded in the ‘fabric’ of their progress, need to assure integration of M&E into management of DICTS (and elsewhere).
- **Infrastructure additions.** (see annual report for full list). Extension of connectivity from academic buildings into residences (graduate student hall), administrative offices. More wireless set ups for laptops, first for lecturers, now students too; Sida/Norad internet in labs, more computers, priority for sciences, gender.

B. Persistent Problems

- **Procurement.** Same problems as before, but steps are clearer. Contracts committee pursues tenders from ‘a position of relative ignorance’, so DICKTS knowledge of vendors ends up being less useful than it could be. Had more control earlier, could ‘fast track’ items when other units were less savvy, but no longer. Unpredictability on timing causes HUGE frustration, for example (and especially):
- **Renewal of anti virus support.** Should NOT be treated like any other new contract!!
- **Bandwidth.** Remains the single largest challenge—newer approaches to address under discussion: Regional Research and Education Network (RENU) links Mak U with Kiambogo U for internetwork—with a rudimentary assigned fiber UTL—by the end of 2008, 3 universities will be linked. Overlaps with library consortium members-CUUL. MAK U ICT helped to train staff at the other universities, so all can share library resources. All of this fits with UBUNTUNET—the regional consortium across Africa that Tusubira is now working on (having retired from Mak U—now working in town: Contact info: fftusu@gmail.com; 0772 502 140. For unbuntnet, see: <http://www.ubuntunet.net/> "To secure affordable high speed international connectivity and efficient ICT access and usage for African NRENs" and associated email newsletter, “Read NUANCE, the UbuntuNet Alliance Monthly e-Bulletin to be updated with news on Research and Education Networking in Africa”.

C. New Challenges and Opportunities

Challenges.

- **Activity Reports.** Documents should be streamline and Activity Reposrt to be more like Annual Progress Reports—asking for specific estimates of funds for each type of

expense, etc. Apolo Kyeune will draft a template for students there, send to monitors also.

- **Ascension Project**—led by Nairobi University, under UBUNTUNET. Another approach to bandwidth.
- **Students.** Check funds and plan how to protect Ali and David's funds for completion.

Opportunities.

- **Bandwidth.** Hoping for June 2009 arrival of seacom from underwater cable to Mozambique—connection to Uganda will be a national backbone project—so price to research institutions depends on government—have asked for free use. Government's priority is eGovernment—connections to all government offices in major towns.
- **Additional funds for DICTS.** Starting a business development unit, to raise fund through consultancy to other universities, ministries. Done ICT policy consultancy to Ministries of Health and Foreign Affairs, and to Laos, Ethiopia about network installation.

III. The units view of the usefulness of stake-holders conference and self-assessment work-shop

Staff who attended SGS session for DICTS saw it as more relevant start of a program—with lots of lecturing about log frames—not well suited to where Mak U-Sida collaboration is now.

--Workshop did not use any numbers—only qualitative—without much focus—too late in process for this approach to have much long term value.

Contrasting model—baseline data and indicators generated within Mak U. DICTS began on campus with a “quick scan” survey to gather *baseline data* of what ICT services and capacity existed in 2000. Sida and Makerere U decided to start by writing a Master Plan based on these data.

-Sida based funding then on Master Plan—as major funder (70%); Norad and Carnegie took on other elements of Master Plan—directed by Mak U top mgt, Tusubira and team
 -looked at numbers of computers on campus, staff trained to use them, bandwidth, etc.=beginning of developing indicators
 -So—started with baseline data and indicators

Difference DICTS and SGS or Sida (who organized the self-assessment workshop in July 2008- DICTS had same director until the last year. Both SGS (4 directors in same period) and Sida (3 people, but 4 changes in same period) suffered from lack of continuity, thus self evaluation did not develop with same attention to context and what had already taken place within Sida collaboration and on campus more broadly.

10. SCHOOL OF GRADUATE STUDIES

Multiple visits (see below) involving:

Eli Katunguka
George Nasinyama
Christine Dranzoa
Mary Nakweya
Daniel Kiganda
Harriet Kabanda
Paula Rwandarugali

I. Reports and reporting process

A. Status of written report (views of monitors)

Date received draft: not received

Draft report not received by monitors. Director and one Deputy Director of SGS were traveling, so discussion was limited.

B. Issues raised about reports

1. By unit to monitor

SGS did send out guidance for completing reports to each unit—in March/April.

Did not anticipate that monitors would expect to receive drafts of the annual progress report prior to, or at least during the visit. Busy with other Sida activities: Dissemination Conference, Stakeholders meeting, Self Assessment, KPMG visit on financial systems; almost did not realize Annual Reports due.

2. By monitor to unit

Monitors requested again by email after the visit to receive a draft written report (Oct 23).

E. Next steps to improve (including timeliness, increasing clarity, usefulness to researchers and Sida, how to make less duplicative/burdensome)

Production of a written report from SGS.

a. General issues (Note sections below: a. General issues, b. Cross-cutting courses, c. PhD theses, d. GIS Laboratory).

Date of visit: Multiple visits with SGS Director, Eli Katunguka, 2-6 October; Christine Dranzoa, Mary Nakweya, 15 October; George Nasinyama, 16 October.

II. Update on major changes since last visit:

A. General--Accomplishments

- **Organized multiple Sida-related activities.** Self Assessment, Dissemination Conference, Stakeholders meeting, KPMG visit on financial systems.
- **Additional research collaborations and funds.**
 - SGS has funds from Carnegie & Norad for competitive grants
 - Funds from Irish government support nine Irish universities and 5 in Uganda to have a research collaboration. Upcoming in November 2008 is a conference: health and education theme; ICT/gender as cross cutting items
 - Copenhagen University to work with Nairobi University, Dar Es Salaam University as well as Makerere University, to improve supervision. To sign first MOU in Copenhagen in December.
 - Uganda Virus Research Institute-Entebbe: Infection and immunity (animals and people), 1.5 million pounds sterling from Wellcome UK
 - Edinburgh University and Wellcome Trust: Great Neglected Diseases of Africa, 21 African countries, funds from Wellcome Trust. Eli Katunguka is a PI along with colleague from Edinburgh.
- **Research & Management role activities of SGS.**
 - SGS funds researchers to present at conferences—and requires them to give their paper on campus before they go
 - Examiners for PhD used to be the supervisors—now use external examiners for better check of work, and for improving supervision=incentive to supervisor as others see work of student—also, more open defences
 - Intranet helps research cooperation—many more proposals written: Millenium Science grants, Wellcome Trust, as well as Carnegie, Norad, Sida, Rockefeller, etc.:

B. General--Persistent Problems

- **University research budget.** Supposed to be 10% of university budget. Overall is now about 101 billion Ugandan Shillings (\$60million USD), research would thus be \$6 million, but not all forthcoming. Research funds from development partners about \$8 Mil (Sida, norad, Carnegie, RF, etc.)
- **Communication and its uptake.** SGS sends out material, and units either do not read, or do not follow-up. Very important example is SGS having sent guidance to each unit about how to complete Annual Progress Reports for 2008. No units remembered this or attached it to request to researchers to fill out new format in August/September.

C. General--New Challenges and Opportunities

- **PhD committees.** SGS attempting to help units set up PhD. Committees. Many units do not have sufficient numbers to make committee assignment easy. Plan to go unit to unit to help.
- **Need for data for measuring progress in graduate education and research.** Except for data on academic positions and qualifications of academic staff first collected in 2006, and being updated in 2008, data systems are new, and data collection is far from complete. Also, what data are most needed to serve multiple purposes has not been discussed across units with overlapping responsibilities: Planning and Development Department (that hosts the committee drafting the new University Strategic Plan), Directorate of Quality Assurance. For relevance of this, see body of Research Monitor's report and Appendix on data and evaluation.

b. Cross Cutting Courses

Date of Visit: 2 and 4 October 2008

People involved in interview:

-George Nasinyama

II. Update on major changes since last visit:

A. Cross Cutting Courses--Accomplishments

- **Draft of planned cross-cutting PhD courses.** The full draft is now ready including information about hosting units for each course, time schedule and course plan.

B. Cross Cutting Courses--New Challenges and Opportunities

- **No approval yet.** Still there is problem to get the cross-cutting courses document approved. The main issue is now how different units should be payed for giving the courses. One idea is that PhD-student tuition and/or fees should be increased. At present, the yearly tuition and fees for PhD programs are the same as for Masters programs. Mainly faculties paying tuition and fees for PhDs since they are part of staff.

c. Ph.D. theses

Date of Visit: 14 October 2008 (to library)

II. Update on major changes since last visit:

- **Availability in library.** PhD-thesis published during 2007 are present at the Africana section of the library. Theses from 2008 have not yet arrived there from SGS. Nor was it possible to find in the manual cataloguing system the more recent theses (completed in 2007-2008). It was not possible to check the computerized system

(despite 2 attempts, on 14 October and on the previous one), as it was not working. In order to find and read a thesis from the Africana collection, one must have a number from either manual or computerized system. Also a library card was needed in order to get thesis or other books from Africana. It took some persuasion to get the librarians at this site to assist in locating available theses. Quality of the thesis seemed reasonable. No published manuscripts included in any of the 2007 years thesis studied (from Faculty of Agriculture and Technology), nor in a Licentiate thesis studied (from Faculty of Technology). Also no referencing of the authors' own published scientific journal papers. There were references to the author's own conference papers in the theses reviewed.

d. GIS laboratory

Date of Visit: 8 October 2008

People involved in interview:

-Moses Musinguzi, Musinguzim@tech.mak.ac.ug

Description:

The GIS lab is hosted by Faculty of Technology but belongs to School of Graduate Studies. It offers cross/cutting services and courses. Besides Moses who defended his thesis last year, two other PhD/students within the Sida/SAREC program and one outside the program are doing main part of their PhD within the GIS lab. There is a need also for other PhD-students to do part of their work at the GIS lab although most of them appear to be avoiding this. PhDs with main part in GIS come and do work by their own. PhD-students with only minor part – Moses reports doing much of the work for them. When the lab is not used by PhD/students or courses, also undergraduates are allowed into the lab, but only to do GIS work.

II. Update on major changes since last visit:

A. GIS laboratory--Accomplishments

- **Helping Iganga-Majuge DSS.** The GIS unit has been collecting and analyzing data from the site. Help to do municipal map.
- **Promotion.** Moses defended last year. Now he is becoming head of department. He has also submitted an application for promotion to senior lecturer. Is also at present doing research as post-doc within the Sida/SAREC program.
- **Course part of GIS.** All courses at Faculty of Technology at undergraduate level are now supposed to contain a component of GIS.

B. GIS laboratory--Persistent Problems

- **Operates in low scale.** People who need GIS are avoiding the lab due to limited knowledge. The lab is empty sometimes. Several activities are ongoing in order to get

the lab more actively used, e.g. starting of courses and programs, workshop to show other staff possibilities of GIS lab and contact with electrocomission (responsible for elections in the country) in order to help them set up and maintain GIS activities for elections (set-up, holding and monitoring elections).

- **Not enough space.** Will be solved by moving to the new building.
- **No scheduling book.** There is still no way for lab users to sign up for times to go online—to maximize use of the lab and use of individuals' time. People wanting to use the lab just call or come in.

C. GIS laboratory--New Challenges and Opportunities

- **Cross/cutting unit.** Now the GIS lab is a cross-cutting unit, meaning that it cannot offer academic programs. That is a problem when wanting to teach a masters course in Geo-information Science and Technology. If the lab can be up-graded to an Institute of GIS, it would be possible to sponsor academic programs. Has to be discussed at Senate level.
- **Computers destroyed.** At the time of our visit, electric power came through so strongly that it destroyed first a transformer, then a generator, and then destroyed *all* the computers. Thus at present no computers are working—the hard drives were stacked up to be repaired, or, more likely it will be less costly to replace them.

PART B

Up-dates from other types of units

Summaries of site visit meetings and interviews outside units involved in Sida/SAREC program (including schedule and participant lists):

1. DVC Academic Affairs, Lillian Tibaternwa 2 October 2008

Strategic Plan. Charts new directions for the university: learner centered teaching; research-driven university; community based becomes networks/partnerships.

Quality Assurance Policy. Forms part of the new strategic plan, with external stakeholders. Will start periodic reviews, evaluate when a cohort finishes—based on pilots of new teaching approach (Strategic Plan says 5 pilot units, but not sure how to be chosen)

-So far done Agriculture, BSC Ed Prog, Faculties of Law and Science: based on information gathered from alumni, employers

-Future: Do ‘tracer’ studies (see Strategic plan for definition)

-Learned: Alumnae—sampling using soc sci/stat approach to identify sample; Employers said students strong on theory, weak on problem-solving/practical/hands-on skills

-New Policy—more field work as part of curriculum. Problem is expense: transport to rural areas, accommodation, food, etc; Sciences already have funds for field accommodation from government, but private students must find their own. Talking about 8 weeks during long vacation from studies, late June-early August

-3 categories of programs

--Traditional—have field work built in: Medicine, Veterinary, Technology, social work/Adm, Education

--Volunteer units—students may do field work

--“None”—means no field work experience so far in these units—will be slow to add

Research focus of new Strategic Plan. Stronger call for research-driven university. Other universities not so well placed to do this as Makerere U: only Mak will do more expensive science, as need government to equip labs, etc. Even as World Bank focus has been on primary and secondary education, not ‘tertiary’ education, National Council for Higher Education now supports more investment at higher levels

Examples of new mechanisms to support research:

-Makerere U-Private sector forum—Give industrialists in faculties (honorary) academic chairs—with the hope they will commit funds to say ‘thanks’

-Senate Council—committed to Quality Assurance—some members of committee from outside university

-Academic Program Comm of ?Senate or what body?—has outsiders: ex, National Water and Sewer has offered funds for joint research with Fac of

Technology, Institute of Environment—BEST Practices—how is work done in Sweden, London, etc.

**2. Department of Development and Planning (DDP), John Kizito Wanjala Wabwire,
Director, Godfrey Kagoro, Deputy Director
3 October 2008**

Strategic Plan. Discussed the new, 10 year strategic plan, including goal to increase the percentage of graduate students from 4-20% over ten years, and to open satellite campuses based on a model: Maastricht School of Management.

Harmonization of reporting across development partners.

Matius Kabuye of PDD is testing a new system after the 2006 report of consults. He asked 3 groups to test it: Dr. Maria Nasuta for Carnegie (she works within DDP), Dr Eli Katunguka for Sida/sarec, and Mr Matius Kabuye for Norad—with a deadline of 30 October 2008. (We did not hear anything about this from Dr. Katunguka at SGS). We showed them the new reporting format for the Sida/sarec collaboration. He noted that PDD has not power for pursuing the harmonization agenda.

Fundraising. Mr. Godfrey Kagoro in charge of this office. PDD set up a resource mobilization unit in 2006 (with support of Carnegie, Norad), with goals of creating fundraising capacity and diversifying sources of support beyond student fees, government and development partners/donors. As Makerere University dates back to 1922 and has alumni all over the world, they are beginning to reach out. They are setting up data bases of alumnae, sources from which to seek funding (corporate, foundations, etc.). They organized a golf tournament/gala which did raise some funds. They have set up an account in DPP that the Bursar controls, and alumni have been responsive (most members of Parliament are Makerere University graduates).

New policies are under consideration, including an Advisory Board. They plan to make a fundraising plan based on the Strategic Plan. Each unit does some fundraising of its own, a central unit to know about all fundraising on campus (not completed yet). They will use the Strategic Plan to earmark new funds for specific projects, and create an “Annual Giving” approach to go into a general pool. The Planning and Finance Committee of University Council is in charge of this.

Alumni Magazine. They have produced two issues (January and June 2008). It will continue twice a year.

Self-Assessment. John Wabwire facilitated the sessions organized with SGS/Sida in 3 units: Medicine (about 25 participants and a 3 hour session), Technology (40 participants and a longer session lasting 6.5 hours) and Arts (8 people, 3 hour session). Godfrey Kagoro also facilitated some unit exercises. They noted that it would have been useful to begin self-assessment earlier. They found faculties willing to be honest—and saw enthusiasm. Betty Gwala attended the Entebbe session, not John Wabwire.

3. Directorate of Quality Assurance (QA), Ddewbe Williams, Director,
dwilliams@qad.mak.ac.ug, Mobile: 0782 570 594
 3 and 14 Oct 2008

3 October 2008

Director of Quality Assurance is a new position in University. Dr. Williams moved from Faculty of Computing Sciences where he was a Deputy Dean in to begin this new office.

-His focus for next year (term of DVC AA with whom he works) is on an implementation plan for all aspects in new Strategic Plan: teaching and learning; research; support services

-Working on instruments to evaluate undergrad and graduate level evaluations—then to evaluate research itself

-QA workshop in October for university management + AQ Committee of University Council on how to institutionalize QA; also did a workshop last march related to Strategic Plan

-Interested in what information to gather on improving supervision, publications, to make Makerere U more visible, easier to compare to other universities

-Peer institutions in region: University of Nairobi, University of Dar Es Salaam, University of Tanzania; University of Capetown.

-Also involved, Stellenbosch University, S Africa; and others abroad: Hollenbach University, Berlin, Germany

Self-studies completed so far:

-An institutional evaluation in Faculty of Agriculture—of some programs, not all; now that self study is going out to external assessors, an international committee to review evaluation with regard to university mission, faculty interpretation of it, outcomes [We read this one—impressive and very useful as a model for SGS and others on campus.]

-Made use of some of 5 trained Makerere University staff in evaluation process (those who took a course in S Africa, sent by PDD, including Apolo Kyeune of DICTS). Dr. Williams asked some of them to make presentations: how to link policy to teaching and evaluation; student input into process

-Pilots in Faculties of Law and Sciences [We have not seen these]

Course evaluations

-Doing evaluation of undergraduate courses now in 7th week of semester, mostly by visits to classes with paper instrument; some online; plan is to do yearly

-Reactions of academic staff to evaluation vary by experience—if done before, especially outside Makerere U/country--find more enthusiasm; if only experience in Makerere U, or Uganda, more resistance.

- Starting now with Management, then Deans, then teaching staff, etc.

-Graduate education--in planning stage only, so informal thoughts so far: MA students can do before exams, by semester; for PhDs need different schedule, based on steps and timing in degree work (submitting PhD work proposal, on cross cutting courses, on supervision late in process, etc.)

-Good experience on supervision—research supervision course—make a post grad certificate is one idea; SGS workshop on supervision popular

- Evaluation of research (also informal thoughts so far): How to evaluate—will approach based on experience elsewhere: ex UK research impact exercise in last few years, other European countries do something along these lines regularly;
- how to grade 'impact' at local, national, international levels of Makerere U work—need to create methods, using bibliographic info etc., but that is insufficient given focus of research is to solve problems in Uganda
- Look regionally, develop an integrated system: Evaluate to learn and give recognition to whichever is the best Faculty of...(any discipline), for example, Agriculture, etc. Rate innovation, ranking seems useful, although African leaders have resisted so far on a regional basis. Might be useful to begin with internal comparisons, departments within Faculties—to learn process, motivate, not become rigid
- Learning from web metric rankings—new—so far looked at:
 - European QA rankings (Germany, Netherlands, Norway etc.)
 - Shanghai Index—academic—interesting
 - Webometrics – Access and use info—Google process means higher rankings come from more 'hits' – so dependent on internet—site maps—doesn't work well for Makerere U, others in Africa—especially where system searches INTERNET only, not the much fuller, INTRANET link!!
 - USA indicators not useful to developmental process; China's system more interesting, based on West, but adapted (and in English on web);
 - How to encourage? Begin by doing Faculty level rankings before going outside to compare, -Develop a Chancellor's Award for research—best faculty, Look at public indices across disciplines...otherwise it is difficult to compare Chemistry (articles) to History (books), etc.
- Strategic plan goals for research by 2017:
 - Each professor to have or be on a research team/have a lab
 - Possible to develop a national innovation system? Does not exist here yet (great example is Brazil)
 - Political discourse—research now in it—National Science & Technology Agency (NSTA)—from 19802 (preceded by a National Research Council)—World Bank (WB) now keen on infrastructure beyond primary and secondary Ed—WB funds into NSTA—Ugandan adoption so national too

14 October 2008

Picked up self assessment report of undergraduate programs in Faculty of Agriculture and read—very clear, well organized and well written and informative—very similar to what we have seen in other countries (North America, now in Europe)

Meeting with Dbembe Williams about that and structure, history of Quality Assurance and Self Assessment on campus:

-He spent this last weekend running a QA workshop with Makerere University's top management, members of University Council—very pleased with progress toward imbuing the culture for QA

National Council of Higher Education (NCHE).

- Established in 2001 to do accreditation and to set and oversee standards
- Looked at other systems worldwide, DWilliams thinks they settled on S. Africa as model
- Moved forward well, now accredited, or in process of accreditation of 27 universities/institutions in Uganda

Accreditation—NCHE and Makerere University:

- 2001-2004 NCHE was learning lessons from other places; became effective from 2005
- New regulations (see documents list for full reference), for chartering new universities, setting indicators for new universities (land, funding, vision/mission, staff, infrastructure, etc.)
- 2005- Accreditation training thru DVC-AA—Found champions on campuses, then trained universities to do institutional self assessment—NCHE focused first on campuses other than Mak U as NCHE thought Mak U would have an elaborate system already!
- NCHE effective from 2005
- Have 7 self assessment reports so far—working on institutional self assessment at Makerere U now

Mak U schedule for self assessment:

- Jan 2008 finish trainings on technical aspects of QA for academics with little experience with this sort of conceptual/analytic work—seeing all as a whole, analyzing each element
- Teach standards, methods, etc.
- QA policy says whom to train (See list of documents for full reference to policy document)
- over the course of 5 years, everyone will understand roles, responsibilities
- Nov 2008 workshop for students
- Accreditation training 2005-thru DVC AA, members of Makerere U staff—esp managers and coordinators--- NCHE is training Universities to do assessments themselves for accreditation

NCHE focus on new universities

- ?Jan 2008 (or 9) finished initial training, Tech aspects of QA (finds many academics don't think conceptually, connections inputs and outputs and comparison)
- Directorate of QA to train units to do own self-assessment-probably a 5 year process (in order: first, undergraduate programs, then graduate, finally research—not thought extensively about last yet)
- Jan 2009 will have finished training and be READY
- had weekend workshop with senior managers Mak University 12-13 Oct—engaging senior managers

Agriculture Pilot: Unit did report, 5 drafts, DW went every two weeks to train group in some area required to produce the report, examples: learning outcomes—how to characterize, count, etc.

-Ag did own data collection: from Minutes of Faculty Boards, etc.—took 3 months

-Time to do—[answered by Prof Sabiti in separate interview: equivalent, over longer period of months, to 2 months full time for 11 people!] Expensive! [NCHE estimate is \$560 to evaluate per course; \$2000-2500USD per program.] DW found resources to pay participants in Faculty of Agriculture review—not possible for others unless he finds new funds; he is also working to imbed self-studies in committee work as routine (data collections, discussions)

--Repts with recommendations—send to DAAD;

- then External Assessors (10-13 Nov 2008)
- Outcomes: Pass, need improvement, etc.
- DW called NCHE for us to make appointment to see staff

Inter University Council East Africa (IUCEA).

-Established in 1996, but weak; reactivated in 2001 with fresh mandates to harmonize across countries in the region

-Supervises 56 universities in the region, keeping the universities communicating

-Effective dissemination of policies with DAAD: German body means German Academic Exchange Service—trained participants in framework for exchange

-Focus now is QA, to improve competitiveness of regional education in the global market

-There is a strategic plan for QA—in it is raising funds to support this process on campus.

4. National Council of Higher Education

1. Talk by staff of NCHE at 7 October meeting of new College of Health Sciences in Kampala, after which we
2. visited NCHE offices, 14 October 2008

1. From the presentation by NCHE at the 7 October meeting of the new College of Health Sciences that NCHE started in 2005 and is now in the process of accrediting 48 degree programs, including Medicine, Agriculture, Engineering and Basic Sciences. They expect the programs to conduct self-audits every 5 years. These involve members of the faculties under study, external reviewers, etc. and end with agreement on areas for self-improvement. At Makerere University, the Senate approved this 4 years ago, and now the university is following through.

2. Interviews:

Robert K. Ngobi, Higher Education Officer (specializes in Institutional Audits)

Patrick G Okae, Higher Education Officer (specializes in Program Evaluation/Self-Assessment)

We also met the NCHE director briefly.

National effort. Sixteen universities in Uganda, including Makerere University, as conducting self-studies. Six institutions piloted the national program, first those that already had Quality Assurance structures. The pilot universities have sent in reports, and the next step is for external reviewers to read them. A Center for Policy Studies in the Netherlands, with funds from NUFIC is helping with the external review. It will result in designations of areas of strength, of weakness, and plans for the future.

A Regional Program with the Inter University Council of East Africa (UCEA).

A regional effort of project Self-Assessment under the umbrella of the Inter University Council of East Africa (UCEA), with two cohorts. The first is made up of 23 universities, 7 in Uganda, 7 in Tanzania, and 8 in Kenya. Each of 7 universities has completed one Faculty Self-Assessment like the one completed in the Faculty of Agriculture at Makerere University. In Uganda the campuses in this group include: Mbarra, Ukumba, Makerere, Bugema, Musoga, IUIU, and Gulu Universities. All use the same tool that is a hybrid: parts of one used in Europe and new elements developed in South Africa where DAAD did similar work. NCHE working with the German group “DAAD” (German educational exchange program) trained QA officers. NCHE is about to begin training for the second cohort. With the second cohort, NCHE will have reached 70% of Uganda’s universities.

They hope to work with university QA officials and faculties until a ‘critical mass’ appreciates the importance and understands the methods—and that the universities will then carry on with QA including self evaluation. They want universities to refine the methods, using a basic tool NCHE will provide as a starting point. The common tool will mean that universities can be compared. They want universities to understand what is particular about their own situation, as well what they have in common with others. They expect universities to improve the tool over time, to clarify objectives, and to fill gaps.

They realize that these studies are expensive. It is currently a government mandate to look for funds to help support NCHE and these programs. Partners pay for the travel and out of pocket expenses to bring Europeans into the region to assist NCHE. DAAD pays international travel to and among Kenya, Tz and Uganda. In country, each host country pays the expenses.

They have focused on new universities to begin with QA, imbedded in the structure from the start. NCHE has 23 staff, including clerical and other support staff. They rely on universities for their experts, and work with professional bodies—that often also have responsibility for licensure examinations.

This project is focusing now on harmonizing ‘transfer credits’ so that students may move among the countries (Makerere U participants, including Charles Ibingira, went to a meeting on this in Nairobi in October 2008).

5. National Council of Science and Technology, Prof. Julius Ecuru, Assistant Executive Secretary

15 October 2008

Responsibilities. Uganda National Council of Science and Technology (UNCST) has the mandate to oversee Science, Technology and Innovation in Uganda. They have three areas of responsibility: 1) to advise government and formulate policies, 2) to administer Millenium Initiative Grants, and recognition awards to accomplished scientists, and 3) to oversee research (this last is the longer-standing responsibility). They maintain a central data base and R&D clearing house and monitor safety for human subjects and the environment.

Organization. UNCST consists of 32 members, half from key government ministries (Agriculture, Defense, Industry, Health, etc.). About fifteen are eminent scientists selected on merit. The full group meets occasionally as a council and an executive committee of the council meets monthly. Scientist members of the Council also chair area specific committees of nine members that meet quarterly. The Council secretariat has executive secretary, one deputy secretary and 2 assistant executive secretaries.

Role in the future. UNCST wants to be upgraded to a commission or a cabinet-level ministry for Science and Technology, and become policy makers to influence priority areas of national interest for government focus and resources. As the basis for this, they analyze people trained, research underway, based on the data they collect and store. They work to leverage resources for areas of national interest. Until recently Makerere University VC has been the chair of the council, and the university has been an important contributor of expertise—often hired under contract for analytic tasks.

In order to increase the importance of UNCST, it must link science and technology to economic growth, and strengthen incubation facilities. Thus, they are concerned with the quality of education and work with the National Council on Higher Education to improve this. Together they support ‘tracer studies’ on university graduates in the sciences.

Millenium Science Initiative. 2008 is the second year for the large competitive grants. UNCST works with the National Council for Higher Education. More than half of the Millenium Science Initiative devotes more than half of its resources to these grants. A ten person technical committee (3 members from USA, 1 from Brazil, 1 from Tanzania, 1 from Kenya, and 4 from Uganda) selects the grantees. The expertise of these committee members includes engineering, chemistry, chemical engineering, biotechnology, plant breeding, veterinary medicine, among others. The selection process begins with a call for initial proposals, after which the technical committee had 2 months to select 30 from those submitted to complete full proposals. The applicants were given 2 months to develop their full proposals, and financial support for the research team preparing the proposal (\$5-10,000USD). The technical committee identified the an international group of peer reviewers with the assistance of the Academy of Sciences for Developing Countries (TWAS). They also consult with the American Academy for the Advancement

of Science. All peer reviewers must have experience working in third world countries. Next the peer reviewers examine the proposals and sends comments to the technical committee that makes the final selection. All the short-listed project initiators made presentations and finally 10-12 projects were selected. The grant awards were announced at the end of the science week. The peer reviewers were paid \$150 US dollars per proposal reviewed.

Presidential awards. This award was established by Uganda's president, and was also given for the second time this year. Candidates are nominated by colleagues. A selection committee follows a vetting procedure and finally the president selects the winners. Each winner receives 10 000 000 Ug Shilling, second prize is 7 500 000 Ug Shilling, and the third prize amounts to 5 000 000 Ug shilling.

Ideas for the future. UNCST wants to continue give awards and grants every year. Ten million US dollars per year will be enough. The government has said that they will fund research but still there is almost now money for this now. UNCST approaches potential donors like e.g. Sida in an effort to increase funds for competitive grants. UNCST also wants to tap into the private sector. This may be more difficult as the private sector has not, historically, trusted academia. UNCST hope that the private sector will join in support as they see results from these early investments in competitive grants to enhance Uganda's science and technology for greater economic competitiveness.

PART C

Summary of major points from updates (progress and problems)

Unit by unit updates. For unit-by unit summaries, see Appendix A. Each summary there begins with the day(s) on which the meetings took place and the list of participants, then presents the sorts of achievements, persistent problems, new challenges, and opportunities we refer to in the more general overview below. Appendix B contains summaries of units outside the Sida/SAREC collaboration. This appendix summarizes the major points from Appendix A and B.

Major achievements since last visit.

Participants in the Sida/Sarec collaboration have:

- Formalized and systematized aspects of the program.
- Further developed research culture, including increases in the number and depth of collaborations with Swedish colleagues and others.
- Purchased new equipment.
- Increased the number of PhD-students finalizing their degrees.
- Increased the number of promotions among the senior staff. The 3rd promotion of a female to full professor took place in one of the participating units and the program assisted her in this achievement.
- Attracted research support from new sources within Uganda and from abroad.
- Been recognized for research excellence by winning awards, including Millenium Science Initiative Awards and Presidential Awards from the Uganda National Council for Science and Technology.

Makerere University has

- A new ten year Makerere University Strategic Plan (in final stages at the time of our visit)
- Completed research and intellectual property rights policies
- Established a new directorate of Quality Assurance under the DVC AA with a mandate to manage a process of institutional and program self-study for accreditation, as nationally mandated and overseen by the National Council of Higher Education.

Persistent problems since last visit.

- Most problems reported last year appear to persist. Exceptions or particularly important issues include:

oProcurement

- Procurement procedures are better understood than in the beginning of the program, and procurement works somewhat better, but still require more time and steps than in Sweden and other industrialized countries.
- A particular problem is a shortage of Ugandan vendors for some sorts of equipment. That means it is not possible to get multiple bids from competent vendors in Uganda, and in some cases there is no Ugandan vendor with appropriate expertise (see Library unit summary).

oReporting

▪ Timeliness of reporting continues to be a major problem in some units

oFinancial management—impact on researchers and research as perceived by researchers

- Accounting by researchers for advances in some units is still a major challenge and has resulted in renewed centralization of funds previously handled within some units—and this is perceived in some units as a lack of trust or as undercutting the academic authority of principal investigators (those heading research groups)
- Delay in provision of funds for travel and fieldwork are perceived as results of the recentralization, and from a gap in availability in funds as an account was established in Ugandan shillings
- Some of the accounting procedures seem unnecessarily complicated and time consuming

oPower, bandwidth, and internet connectivity limitations.

- Problems with power cut offs, limited bandwidth and consistence of connectivity persist although power cut-offs were fewer than last year.
- Nonpayment of bills from the university eliminated internet availability for several days in October, adding to frustration.

oInsufficient numbers of faculty, supervision problems, and unmanageable workloads, and shortages of funds

- Unfilled faculty positions continue to burden the academic staff on campus and make supervisors scarce (although completion of PhDs and promotions begin to help with this).
- Lack of supervisors/supervisory skills in some units/subprogram make progression difficult for some PhD-students.
- Inadequate salaries and heavy workload (teaching, consulting, research, and service including clinical work) still complicate the lives of the graduate students.
- Similar as last year, many PhD-students studying in Sweden reported the stipend to be insufficient given housing and food prices there.

New challenges.

- **Convergence of Sida-related activities.** The most often reported new challenge was the requirement in calendar year 2008 to attend multiple, confusing, and overlapping activities promoted by Sida, and to prepare the written materials related to these. In many units, participants remained confused about the purpose of and expectation of the organized events, or about documentation related to them (dissemination abstracts and conference, the activity planning meetings, the self assessment meetings and reports). Many told us that their Annual Progress Reports were not ready on time because of the convergence of these events.
- **Support for completion of Ph.D. work after 2009, post doctoral opportunities, and supervision anomalies.**
 - o**2009 end of Phase 2.** Many units raised concern about support for PhD candidates not able to complete their degree work prior to the end of Phase 2, thus possibly being left without support for completion.

o**Post docs.** Both supervisors and students in more units than previously raised planning for post-doc opportunities and other means for continuing research to be a new challenge.

o**Makerere registrants in Sweden.** For the first time we heard concerns from several students about problems in Sweden when not registered in any Swedish university but pursuing some aspect of their studies there: who is to take responsibility to help if the Swedish supervisor is not on hand (and the student does not belong to any Swedish department)?

o**Registrants in Swedish universities, working at Makerere.** Also for the first time we heard about problems for Ugandan students who are registered in Sweden, and find little guidance from any Ugandan supervisor when working in country—for lack of incentive for a Makerere University academic staff member to help guide the students' PhD studies when their input “does not count” (for a student whose official supervisors are in Sweden). We have the impression this may impede progress for students who need encouragement and guidance while trying to complete degrees while working in the challenging setting that requires so much of them.

PART D

List of documents obtained and reviewed during visit

From SGS on 2 October

Electronic from George Nasinyama:

- Self Assessment Workshop report (all but FSS and Medicine revised)
- Summary of Self-Assesments – Combined 5 programs
- Sida – Makerere Bilateral Research Support Program SGS Self Assesment 2001-2009
- Final Report on the Harmonised Reporting System. Oct 2006. AH Consulting
- Summary of the Self-Assesment from Units – Oct 2008
- GMD Self Assesment Report
- Iganga-Mayuge DSS Self Assesment Report

In print:

- Promemoria: Planning document, Sida (from Cristina C and Hannah to Eli K.)
- DRAFT Curriculum for Cross Cutting Courses (from George)
- Sida-Sarec Makerere Research Collaboration (2001-2009). Dissemination Conference, Book of Abstracts, 1 April 2008, Hotel Equatoria
- Background Study on State of Research in Uganda, Uganda National Council for Science and Technology (with support from Embassy of Sweden in Uganda, and Sida). Prepared for National Conference on Science, Technology and Innovation, 17-19 September 2008. Julius Ecuru, Leah Nawegulo, Richard Lutalo, Deborah Kasule, Edward Tujunirwe and Innocent Akampurira. 16 September 2008
- Research and Innovations Policy, 7 September 2007, SGS Makerere University Draft (same content as Final?)
- Makerere University Intellectual Property Management Policy

Annual Reports:

- Gender Mainstreaming

3 October 2008

Electronic:

- FSS Self Assessment

In Print:

- Harmonized Reporting Framework out of consultant's document on harmonization: from John Wabwire, Head of Planning Dept.
- DRAFT Strategic Plan, 2008/09-2018/19 Planning Dept
- The Makerere Alumni (1st issue, Jan-June 2008)
- Self Assessment Workshop Summary, George Nasinyama

- School of Graduate School Bulletin (SGS)
- Sida-SAREC-Mak U Research collaboration (2001-2009) Dissemination Conference, BOOK OF ABSTRACTS, 1 April 2008
- Quality Assurance Brochure, from new QA office (D. Williams)

6 October

In print from Ddembe Williams:

- Makerere University Quality Assurance Policy (brochure)
- The Universities and other tertiary institutions (establishment and operation of private universities and private tertiary institutions) 2005 Regulations No 80.
- Makerere University Quality Assurance Policy Framework, April 2007
- Self Assessment Report for the B.Sc Agriculture Degree Program, Faculty of Agriculture (submitted to Quality Assurance Directorate), September 2008
- Makerere University Directorate of Quality Assurance, Guidelines on Structure of Newly Proposed/Revised Programmes, Version 1.5, February 2008

In print from Eli Katunguka:

- A Summary of All the Academic Positions of Staff – Makerere University as per 28th Feb 2006
- A Summary of the Academic Qualifications of Staff –Makerere University as per 28th Feb 2006
- Program for Annual Review, November 2008

7 October

Print:

- Makerere University Statute for Constituent Colleges of Makerere University, July 2006
- Makerere University Prospectus, College of Health Sciences

8 October

In print from Gender Mainstreaming

- Makerere University Gender Mainstreaming Programme Brochure GMP Vision
- Gender Mainstreaming Programme Annual Plan 2008
- Recommendations to the committee reviewing academic promotion criteria arising from a workshop for Makerere University senior women, which took place 12-13 Sept 2008 at Speke Resort Munyonyo, Kampala, organized by Gender Mainstreaming Division
- Way Forward: Makerere University women's forum (Activities and Volunteers)

Electronic from Apolo Kyeyune:

- Norad Reporting formats 2&3 (separate docs)
- Norad monitoring May 2008

- Sida evaluation of its own evaluation reports: Are Sida Evaluations Good Enough?
- An Assessment of 34 Evaluation Reports, Kim Forss, Evert Vedung, Stein Erik Kruse, Agnes Mwaiselage, Anna Nilsson Sida Studies in Evaluation 2008:1

13 October

Library:

- Self assessment workshop charts from Fred:
 1. Kaunguka's report (table with numbers)
 2. Logical frame powerpoint—library slides to report Self Assessment
 3. Performance indicators
 4. Quantitative assessment of the Library Sida/SAREC project

SGS (Harriet K. after library visit):

- Power Point Presentation, Workshop on Self-Assessment Using Results-Based - Management (RBM) Framework, 28-30 July 2008 Mak U-Sida (no consultant name)

14 October

In print from Faculty of Computing Sciences:

- Brochure --new

From Faculty of Agriculture, related to self evaluation pilot exercise:

- Writing Learning Outcomes—ppt by Ddembe Williams
- Choice of competencies by different stakeholders: Academic, Grads, Students, Employers
- NCHE: Framework for Institutional Audits and Self Evaluations for Higher Education Institutions in Uganda, Oct 2006 (from NCHE in electronic form also)
- Quality Assurance for East African Universities, by NCHE
- Educational Aims of the program—example
- Linking Learning Outcomes to Assessment
- Personal Action Plan (PAP Matrix) for Program Evaluation

15 October

NCHE:

- The state of higher education and training in Uganda, 2007
- The Uganda Higher Education Review, Journal of National Council for Higher Education, vol 4, no 2, 2007
- The Uganda Higher Education Review, Journal of National Council for Higher Education, vol 5, no 1, 2008
- Minimum Standards for Courses of Study in Bachelor of Arts, Undergraduate Programmes, May 2008

Bookstore:

Makerere 1922-2000: Becoming an African Unniversity by Carol Sicherman, Fountain Publishers, Kampala, 2005.

PART E

List of whom we met

Thursday, 2 October 2008

SGS

- Eli Katunguka-Rwakishaya
- George Nasinyama
- Christine Dranzoa
- Mary Nakweya
- Harriet Kabanda

DVC AA

- Lillian Tibatemwa-Ekirikubinza

Friday, 3 October

Department of Development and Planning

- John Kizito Wanjala Wabwire, Director, Planning and Development Department
- Matius Kabuye, Planning/harmonization
- Godfrey Kagord, Deputy Dir PDD (for fundraising)

Quality Assurance

- Ddewbe Williams, Director Quality Assurance (QA), Director

[Eli Katunguka over lunch on Research Management]

Faculty of Technology

- Barnabas Nwangwe, Dean Overview and Subprogram (#2)
- Mackay Okure, Coordinator (#5)
- Alexis Tugume, Staff (overall)
- Kerali/Bagampadde (#1)
- Katashaya/Kulabako (#3)
- Byamhanga (#4)
- Da Silva/Okure (#5)
- Peter Lating (#6)

[Book party for Veterinary Medicine series]

Monday, 6 October 2008

SGS

- Eli Katunguka-Rwakishaya
- George Nasinyama
- Paula Rwandarugali

Faculty of Social Sciences

- Edward Kirumira, Dean, Overview and Subprogram (#4)

- Charles Bwana, Subprog (#1)
- Consolata Kabonesa, Hd of Gender Studies, Sr Researcher, (#2)
- Grace Bantebya Kyomuhendo, Social Anthropologist Full Prof! (#2)
- Charles Rwabukwali, Sr Researcher, (#3)
- Fred Bateganya, PhD-student (#3)

Tuesday, 7 October

Health Sciences Colleges meeting

Charles Ibingira

Nelson Sewankambo

David Serwadde-lunch

James Tumwine, Editor, *Journal of African Health Sciences*

Wednesday, 8 October

Faculty of Agriculture

- Samuel Kyanmanywa, Professor
- Johnny Mugisha, Senior Researcher
- Jeninah Karungi, Post-doc
- Felix Bareba, Senior Researcher
- Justine Nambe-Kasuzi, PhD-student
- Lubanga Umar Kombo, MSc-student
- Constantine Katongole, PhD-student
- William Ekere, PhD-student

Directorate for ICT services

- Apolo Kyeyune, Planning and Maintenance Manager, DICTS

Geographic Information System (GIS) lab

- Moses Musinguzi

Gender Mainstreaming, Registrar's Office

- Catherine Kanabahita Guma, Director
- Francis Nyachwo

Faculty of Technology

- Barnabas Nawangwe, Dean

Thursday, 9 October

National holiday—meeting with Jerker Thorvaldsson

Friday, 10 October

Faculty of Medicine

- Charles Ibingira, Deputy Dean of Research and Coordinator
- Aida Nakawunde, Administrative Assistant to the Dean for Research Coordination

- Ronald Kiguba, Faculty Research Coordination Office and academic staff, Dept of Pharmacology
- Jackson Orem, Degenerative Diseases PhD student
- Segane Musesi, Coordinator for MH
- Elialilia S. Okello, completed PhD, now Associate Coordinator for Mental Health
- Fred Kironde, Coordinator Biochemistry/Malaria program
- Moses Jaloba, Microbiology Coordinator
- Paul Waako, Pharmacology Coordinator
- Florence Mirembe, Human Reproduction Coordinator

Demographic Surveillance Site

- Daniel Kadobera, Data manager
- Fred Magoola, Information officer
- Doreen Nabukalu, Ass Data Manager
- Edward Galiwango, Site Operations Coordinator
- Peter Waiswa, PhD-student

Faculty of Social Science workshop

- Edward Kirumira, Dean (#4)
- Charles Bwana, Deputy Dean for Research, and Subprog (#1)
- Consolata Kabonesa, Head of Gender Studies, Sr Researcher, (#2)
- Grace Bantebya Kyomuhendo, Social Anthropologist Full Prof! (#2)
- Charles Rwabukwali, Sr Researcher, (#3)
- Fred Bateganya, student (#3)
- Alfred Tingo, Faculty Registrar
- Rosalind Lubanga, PhD student, (#3)
- Peter Atekyereza, Head, Department of Sociology
- Enid Sajjabi, Accountant (and MA student in Financial something)
- Aramanzan Madanda, PhD student, (#2)
- Swizen Kyomuhendo, PhD, Social Work dept, (#4)
- Augustus Nuwagtaba (recently promoted to Assoc Prof)
- Robina, FSS secretary
- 2 others arrived late

Sunday, 12 October

Faculty of Technology (evening)

- Mackay Okure
- Alexis Tugume

Monday, 13 October

Mass Communication

- George W Lugalambi, Head of Department
- Linda Nassunga Goretti, Senior Lecturer
- Ivan Lukanda, Master student

Library

- Maria Musoke, Head Librarian
- Frederick Kiwuna Nugya, Dept e-Resources
- Faith Akiteng
- Alison Kinengyere, Med Librarian, PhD student
- Robert J K Kakembo, Associate Library Prof, Dept Head

Faculty of Computing Science

- Venansius Barya Baryamureeba

Tuesday, 14 October

SGS

- Paula Rwandarugali
- Arikiriza Sharon
- Daniel Kiganda

Directorate of Quality Assurance

- Ddembe Williams

Cross-cutting Biochemistry Lab

- Fred Kironde

Wednesday, 15 October

Faculty of Agriculture

- Elly Sabiti, Professor, Coordinator

Faculty of Computing Sciences

- A Siimwe Colin
- Idris A Rai, Deputy Dean

National Council on Higher Education, Kyambogo University

- Patrick G. Okae, Higher Education Officer
- Rogert K Ngobi, Higher Education Officer

Ugandan National Council on Science and Technology

- Julius Ecure, assistant exec sec

SGS

- Christine Dranzoa
- Mary Nakweya
- Harriet Kabanda
- Jerker Thorvaldsson

Thursday, 16 October

DICTS

- Dr. Nora Mulwira, Director
- Apolo Kyeune,

SGS

- George Nasinyama
- Kiganda Daniel: Information systems SGS

PART F

Interview format used

For Discussions with units in Mak U-Sida/sarec collaboration

Date:

Unit:

Phase 1: list of Ph.D supervisors, completion dates (anticipated if not done)

Phase 2: list of Ph.D supervisors, completion dates

Participants in each meeting:

I. Update on major changes since last visit:

A. Accomplishments

[Indicate categories appropriate to units: For example:

- Ph.D. student progress,
- curriculum for Ph.D. students,
- supervision of students,
- research process (all aspects, for students and for subgroups and for faculty, within faculty, across disciplines, groups, faculties, with additional funds, including outputs, anticipated impact in all ways)
- synergy across sources of funding
- ADD any appropriate

B. Persistent Problems

C. New Challenges and Opportunities

II. Reports and reporting process

A. Status of written report (views of Monitors)

Date received draft:

B. Issues raised about reports

1. by unit to monitors
2. by monitors to unit

- C. Next steps to improve** (including timeliness, increasing clarity+usefulness to researchers and Sida, how to make less duplicative/burdensome)

III. Self-assessment workshop and stakeholders meeting

PART G

Blank of report format (the same included in 2006 final report Appendix A2)

2006 Research Monitors Final Report

Appendix A-2

Table and narrative elements of initial draft for new instrument

Reporting Format to Link Planning to Outcomes; and Research Activities to Budget and Actual Expenditures

****Draft Table 1*** (8 September 2006, Kampala, updated to add funds committed column)

* Monitoring Team discussed this draft so far with Dean Kirumira, Director Katunguka, and Accountant, Mary Nakyewa

Planning			Status/Progress			Change/Comment		Output	Impact contribution
Objectives and problems to solve	Planned activities	Budget (by activity planned)	Activities undertaken - What - When - By whom	Actual Expenditures	Funds committed, but not spent	CHANGES from plan, activities and budget (comments)		Conference papers, publications etc. = Achievements	Impact (See narrative for explanation)
						Activity	Expenditures		

Notes to accompany *Draft* Table 1 from 8 September 2006.

Based on discussions with Dean Kirumira at the Faculty of Social Sciences, followed by further discussion with Director Katunguka at the School of Graduate Studies, several other assumptions are in play:

9. Experimentation with a new reporting format for Sida/SAREC seems worthwhile to pursue now as the “harmonization” effort (reporting across all external sources of Mak U funding) is not likely to come to fruition for at least several years. (We checked this with the university Planning Department.)
10. The summary (Table 1) would need to work such that it can be a ‘friendly’ tool for reporting research related activities *at the time they are carried out*.
11. This table/template should encourage users to fill in expenditures and comments about these *as expenditures are made*.
12. Dean Kirumira thought a new approach like this would be useful IF activities can drive reporting; not a budget or an (outdated) plan.
13. Experimentation with such a new format will be required to determine how to use it to move from one planning, activity and reporting period to the next—without duplication of effort in explaining content where it continues; and to assure clarity in the chronology of events.
14. Two units are likely candidates to PILOT a new reporting format: Faculties of Social Science and Technology (based on Johansson’s discussions with Technology Dean/Coordinator).
15. Freeman had a brief, and positive, conversation about this format with Dr. Katabira from Faculty of Medicine.
16. The Steering Committee may discuss a move toward a new reporting format as early as its 15 September meeting; and may want to discuss this with Sida/SAREC at the Annual Review.

DRAFT: Reporting Narrative (to Accompany DRAFT Table 1)

Table 1 is not intended to limit description of research content, activities, achievements, or problems to overcome. A narrative portion of a revised Sida/SAREC-Makerere University reporting tool should encourage full description of these. It would also be useful to design the categories of the narrative to draw out:

- The implications of the planned research activities in terms of contributions of various sorts: to one’s academic discipline/advancing knowledge; to solving problems in Uganda; to assisting Uganda’s government (national or sub-national units), industries, residents
- Ultimately, the impact for research, policy, practice and the role of the national university as a contributor to Ugandan priorities will be important to include. As “impact” often takes a long time to accumulate and judge, we urge SGS and Mak U coordinators/Steering Committee to work with senior researcher/supervisors and with Ph.D. students to characterize and articulate their research undertakings in terms of the big picture—the ultimate contribution hoped for.
- Dean Kirumira suggested that the form indicate that those using it NOT be limited by its structure, but feel encouraged to add information they believe to be significant, even if it does not seem to “fit”.
- We did not get so far as to work on categories for the narrative portion—beyond the discussion of encouraging all to place their discreet research activities into a bigger picture context of contributions that might come of it—the “implications” for further research, policy, practice, etc.

PART H

Draft guidelines of how to complete the reporting form from 2007

Type of template (table) to be used

There is one table for summarising the whole program at a unit (or at the level of subprogram(s) if suitable) and one table intended to be used for each of the projects. The definition of a project is that it can either be a PhD-project (with one PhD-student and his/her supervisors) or a research project (including e.g. a senior researcher) or other type of project (e.g. cross-cutting courses, cross-cutting laboratory/ies or things like gender mainstreaming, build-up of infrastructure as for ICT or Library). Be sure to use the appropriate template (table). The table summarising the entire program at a unit level includes information about the situation before a program started, during Phase 1, and during the present year. Below are the guidelines to fill in the table for each project.

Headings

The first line: Should state “**ANNUAL PROGRESS FOR THE PERIOD XX XX – XX XX**” (Font – **bold**; Font size – 12; Style – Times or Times New Roman)

The second line: Should contain the name of the project, in case of Master student project, PhD-project, post-doc project or senior researcher project, include name of involved persons, e.g. Master/PhD-student, supervisors (both Ugandan and Swedish) or senior researcher. Also include start year for the students and expected year of defence of thesis. (All in Font – **bold**, Font size – 10, Style – Times or Times New Roman).

Maintain table headings as they are.

Column “Objectives and problems to solve”

Fill in the aim and specific objectives as given in the original proposal (as approved by Sida/SAREC) and as specified in the annual planning report. (Subtitles “Aim” and “Specific objectives” in font – **Bold**, Font size – 10, Style – Times or Times New Roman, the written text of aims and specific objectives in font – Normal, font size – 8, Style – Times or Times New Roman).

Column “Planned activities”

Divide the column into different sections (rows) reflecting the planned activities. Include each of the planned activities within each of the sections. Planned activities might include registration, field work, drafting of papers, travel, procurement etc; also include planned activities related to ICT or library development, etc.. Include both activities that require funds, and those that do not require any funds from the budget. Also include activities for both Ugandan and Swedish collaborators. (Subtitles such as “Field work” or “Registration” should be presented in Font – **bold**, Font size – 10, Style – Times or Times New Roman. The written text of the activities should be written in Font – **bold**, Font size – 8, Style – Times or Times New Roman).

Column “Budget (by activity planned)”

Divide the column into different sections following the sections in previous column. Include in each section the budgeted amount of money for each activity as reflected on

the activity plans for the appropriate time period. For those activities not requiring any budget allocation, state “0”. It should be possible to follow easily any amounts budgeted for any activity. State which currency you are using in the report. Funds budgeted for all parts of the project should be included, both for the Swedish and Ugandan sides. (All in Font – normal, Font size – 8, Style – Times or Times New Roman)

Column “Activities undertaken –What, - When, - By whom”

Divide the column into separate sections following the sections in the previous column. Include all activities that have been undertaken that relate to the planned activities. Also include activities that have been carried out that relate to earlier planned activities (from earlier activity plans that have been delayed), and all activities added since the project was presented in the activity plan. It should be easy to follow which of the planned activities has been carried out during the reporting period, and which have not. Do report all work carried out on both the Swedish and Ugandan sides. (All in Font size – Normal, Font size – 8, Style – Times or Times New Roman).

Column “Actual expenditure”

Divide the column into separate sections following the previous columns. Include the costs for all activities that have been carried out. If there is no cost, place a “0” there. It should be easy to follow the cost for any activity in relation to funds budgeted. State which currency has been used for each expenditure. Expenditures for all types of activities should be included, both on the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman)

Column “Funds committed but not spent”

Divide the column into separate sections following the previous columns. Include here the costs of items in each section, and for each activity—a) that you have ordered before the end of the reporting period, **and** b) that have arrived before the close of the reporting period, **but** c) have not been paid for during the reporting period. If the costs for a planned activity have changed (due to a change in the planned activity, delay of a planned activity, or reduced cost of an activity) since the original planning of the activities and budget, the replanned or reduced costs should not be included in this column but in the column called “Changes from plan, activities and budget” When there is no “funds committed but not spent”, please indicate this by entering “none”. It should be easy to follow funds that were committed, but not spent in relation to any budgeted item. State which currency is used for the funds committed but not spent. Funds committed but not spent should be included, both for the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Changes from plan, activities and budget - activity”

Divide this column into separate sections following the previous columns. In this column you include all changes that have taken place in any of the planned activities. Such changes might occur because of delays or actual changes of the planned activities. For all planned activities where not every element has been carried out, or where has been any change of activity, explain the change with a note in this column. If the activities have been carried out fully according to the submitted plans, leave the section blank, without

any comment. It should be easy to follow the changes of plans as related to planned activities and budgeted funds. All changes in plans should be included for both the Swedish and Ugandan sides. (All numbers should be given in Font – Normal, Font size – 8, Style – Times or Times New Roman).

Column “Changes from plan, activities and budget – expenditure”

Divide this column into separate sections following the previous columns. In this column include all changes that have taken place as related to expenditure. Such changes might reflect delays or actual changes of the planned activities. For all planned activities in which the budgeted funds have not been spent according to submitted plans, the actual expenditure should be noted in this column. That means that “budgeted money for an activity=actual expenditure for an activity+funds committed but not spent”; if this is not true, the difference should be noted in the column for changes of expenditure. It should be easy to follow the use of the budgeted money. State which currency is being used. Changes of expenditures should be included for both the Ugandan and Swedish sides. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Output”

Do not divide this column into sections. Write down the output (including achievements) of the project for the year, e.g conference papers, publications, along with outputs such as each student fully registered during the time period, X number of computers procured and installed, etc. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

Column “Impact contribution”

Do not divide this column into sections. In this column, write down the impact that the project has had in society, for Makerere, for the faculty, or for the persons involved. Policy briefs or policy documents that the project has created should be in this column. Also development of new equipment, collaborations with industry, government or non governmental groups, or with society at large belong in this column. Dissemination meetings for end-users etc should be stated in this column. Also include mass communications about activities, e.g. stories in newspaper, radio, television or other media outlets—with a note about likely impact of the dissemination of information. (All numbers should be given in Font – normal, Font size – 8, Style – Times or Times New Roman).

PART I

Updated comments on guidelines

Ways to improve the reporting—all units:

1. **Cover sheet/top of Annual Progress Report (APR).** Standardize the cover sheet for each APR so that all of the following items are at the start of each APR.
 - a. Unit name
 - b. Reporting period dates
 - c. Sub-program name
 - d. Research project name (whether student or senior researcher)
 - e. Researcher's name (whether student or senior researcher—*only relevant to have senior researcher listed as the researcher rather than supervisor in units with faculty research projects—how to make this clear*)
 - f. Research collaborators (in Uganda, Sweden, elsewhere)
 - g. Start and anticipated completion dates for PhD-students.
 - o **Clarify start dates for PhD students.** Now that the process for 'full registration' is becoming clearer than in Phase 1, it may be useful to determine "start" dates in a standard way. Are APRs to be filled out before a student has defended a proposal (even if s/he may not yet be eligible for using Sida funds)? If so, what is the date that each unit (or all units) are to consider the start date for a new PhD student?
 - o **Clarify completion dates for PhD students.** Similarly it seems timely to clarify anticipated 'completion dates'. Are these the anticipated date of a defense, of hearing back from external examiners, of actual graduation (which occurs only once a year in January now)?
 - h. Supervisors (Ugandan and Swedish, note any change of supervisor, with reasons, somewhere on form)
2. **Layout of objectives-activities.** Consider reworking the relationship between the objectives and planned activities on the far left hand side of the reporting form. For some projects, it seemed possible to align the two; for others it did not, and seemed to confuse those trying to do so.
3. **Use research activities as headings in activity column, not budget line names.** For reasons discussed above, clarify that the budget categories (equipment, consumables, fieldwork, travel) are useful as subheadings in the budget columns—once aligned by the activity the funds supported—not as headings under activities.
4. **Funds remaining (or overspent)—visual emphasis.** This very useful figure could be highlighted for use of readers, perhaps by being in bold type, underlining or both.
5. **Improve utility of the "output" and "impact" columns on APR.** This is the most complex reporting task, and the most creative one. Discussions in units

were very interesting, as colleagues engaged not only in listing impacts having already occurred, but in anticipating potential impact of many sorts and over many years to come (impact on field of study, on stakeholders in society, on poverty reduction, health improvements, etc.). This seems likely to be a very rich analytic exercise for units and subprograms to take on as they plan and review progress each year. It offers a special opportunity for researchers to learn to see themselves as researchers, disseminators of knowledge, and ‘translators’ of new knowledge for practitioners (often professionals), policymakers, industry, communities of interest and geographical communities—and as strategists to help gain the greatest benefit from the research for society.

Specific to ‘hybrid’ units:

Customizing reporting format to match functions. For DICTS, the Library, DSS and the SGS, we recommend further customization of forms to clarify communication about the full range of responsibilities and functions. DICTS has led this effort, and we encourage other hybrid units to follow-suit. As the coordinating unit is also a ‘hybrid’, it should be in a good position to evaluate the customization process and to give feed back to other units about the clarity of the emerging adaptations in format. Of course, this same process needs to be applied to the Activity Planning forms. Apolo Kyeune in DICTS is already working on a new Activity Plan format, and customization of it for DICTS.

PART J

Databases available at/for SGS

A. Topics and sources of data at SGS, or upon which SGS could draw:

- Summary of All the Academic Positions of Staff-Makerere University as per 28th February 2006, covering 22 units on campus
- A Summary of the Academic Qualifications of Staff - Makerere University as per 28th February 2006, also covering 22 units
- Academic/research staff. Soon the SGS will have completed collection of the data they have for 2006 also for 2008 on academic staff qualifications and positions/rank:
 - A Summary of the Academic Qualifications of Staff - Makerere University as per (October/November?) 2008.
 - A Summary of All the Academic Positions of Staff-Makerere University as per October/November 2008 and,
- Databases automating the graduate admissions process (available on internet) and several data bases (available to academic staff on the intranet).
- “rmac” database containing academic staff publications.
- A System Report of Researchers: This portrays researchers by name, level of academic appointment, mobile phone and email, number of publications in refereed journals, areas of research interests and specific areas of specialization
- A Research Inventory System: This allows viewers to bring up each academic staff member who is in the system in a way that displays name, unique identifying number, academic unit, gender, physical address, personal mobile phone number, personal email, highest qualification (degree), date of appointment, bachelors degree and institution, PhD institution attended, number of MA theses supervised, number of PhD theses supervised, number of publications in refereed journals, number of research grants won in last 5 years, areas of research interests and, specific areas of specialization, would you be willing to review research proposals (yes or no; with or without payment)
- Uganda Scholarly Data Library/USDL (present and run by the Library)

B. Research output: Scholarly publications

As noted above, both the library and the School of Graduate Studies are collecting data on scholarly publications. It seems likely that resources can be used more efficiently after analyzing the attributes of each system, advantages of operating a system out of the library versus the School of Graduate Studies, etc.

PART K

Draft plans for monitors visit 2009

I. Final evaluation of Phase 2. The monitors visit in 2009 will differ in relation to previous visits. The visit will take place in February-March and will be a final evaluation of the Phase 2 of the Sida/SAREC collaboration with Makerere University in Uganda. The more precise method used for the final evaluation will be discussed and determined among monitors and in terms of References with Sida before the end of 2008. Until now it is clear that the evaluation will contain some different methods and aspects, including;

- Review of all reports and Terms of Reference from previous years, 2004 and forward
- Quantitative data set obtained from SGS
- Focus group discussions
- In depth interviews

Reviews of reports and Reference together with collection of quantitative data will be carried out before the site visit, while interviews and discussions will take place on Campus during visit.

II. Data for final evaluation of Phase 2 and baseline data for proposals for Phase 3.

In order for participants in Phase 2 to be able to report adequately on their progress from 2005/6 forward, and to assemble baseline data for proposals for a Phase 3, it is an urgent task to determine if a minimum data set can be gathered. In the final meeting of the research monitors site visit (Freeman with Nasinyama, 16 October 2008) we discussed the possibility of collaboration on a core, or minimum data set—to serve multiple purposes.

Some elements already exist, some seem possible to assemble—and to integrate into planning for databases to institutionalize for future use as well.

III. Toward a Minimum Data Set at SGS for Final Evaluation of Phase 2 and for preparing proposals for a Phase 3

Elements of a minimum data set for use in the coming months under discussion include:

- For each member of the academic staff that participated in a PhD program as a student researcher and/or supervision of graduate students in Phase 2 (and ideally all of the members of their units—so one can see the Sida affiliated staff as a subset of the unit – as the gains in capacity are meant to benefit the full units and for the entire university, and stakeholders beyond:
 - o Name
 - o Position/rank
 - o Research program(s) (and subprogram for Sida)
 - o Project ID code (these exist already for some programs)
 - o Funding Sida collaboration, Phase 2 (how to calculate is not simple)

- o For PhD students: start and completion dates (or anticipated), where registered or co-registered
- o Research outputs: research seminar presentations, conference presentations, inclusion in conference proceedings, and publications (peer reviewed journals)
- o Recognition/awards
- o Promotions (from what rank to what rank, date)

We include this list as the beginning of a discussion for SGS to lead, not as anything more, although the time to come to a decision is very short. For data to be collected, and to do so in a way that helps to build a system for future evaluation and planning, will require some intensive thought in the next month, to be followed by quick action. For these data to serve the purposes discussed, they would need to become available by the end of January 2009, then reviewed for accuracy and consistency, before being incorporated into the evaluations and proposal preparations that must take place in February-March 2009.

IV. Research grants and graduate students supervised.

Data on research grants awarded, graduate students supervised, and other elements of a research university are emerging as indicators—and as data needing to be systematically collected and updated. Thus, data collected for final evaluation of Phase 2 of the Sida/SAREC program, could also be used as base-line data for a possible 3rd phase of the program and also for other types of evaluations and indicator based activities. Analysis of the data systems in the SGS, comparison of these to others on campus (in the Faculty of Computing Sciences for its own graduate activities that has its own system, in to the approach of the Directorate of Quality Control) would be a timely exercise. It could lead to a broader consensus on data and systems needed (in keeping with the new Strategic Plan), and to discussions about how to combine resources to assure continuity, as well as increasing data consistency across components of the University (e.g. SGS, Directorate of Quality Assurance, Planning and Development Department, any individual units that have their own systems already).

APPENDIX F

Baseline data for ten-year comparison to 2007/08

The Evaluation Team sought information about research capacity at Makerere University near the time of the start of this program—as a proxy for baseline data with which to compare to the status at the end of 2008.. Appendix F contains those elements we were able to find, from a variety of sources, each of which is identified. First appear the main findings, followed by the tables and figures with the information upon which the findings are based.

This material appears in three parts:

- 1. Academic staff, graduate student enrolments**
- 2. publications, funding organizations, and**
- 3. amounts of external funds**

Part 1. Academic staff, graduate student enrollments

Main findings:

PhD-holders (may include other doctoral degree/PhD equivalents):

- The number of PhD-holders among the staff at Makerere has increased tremendously over the ten-year period from 1998/199 to 2008/2009. The increase has varied for different faculties and units but overall the increase amounts to 346%. [Table 1, Number of PhD holders in the end of year 2008 in various faculties, SGS]

Makerere University staff pursuing PhD studies:

- The number of staff who are pursuing PhD-education abroad is virtually the same today as 10 years ago, 100 and 104, respectively. (As the total number of academic staff has increased from 900 to 1547 during this ten-year period, the percentage of staff studying for doctoral degrees abroad has decreased, while it seems likely that those studying for doctoral degrees at Makerere University has increased). [Table 1]
- In addition to the number of staff on study leave abroad, more than 50 staff are on study leave at Makerere, a situation that most likely was not the case 10 years ago (although we do not have the numbers to confirm this). If one combines those studying for doctoral degrees abroad (104) to those on PhD study leave at Makerere (at least 50), the total number (at least 154), the percentage of staff studying for doctoral degrees is similar to ten years ago, but absolute numbers have increased substantially, and approximately one third now study at Makerere University.

Enrolment in graduate studies by gender:

- The relative number of female students has increased by almost 10% during the last 10 years, although the numbers of female and male students are still not equal

(37% women in 2007/08). [Table 2: Numbers and gender of students registered at SGS (in all graduate programs) 1996 - 2000 as compared to academic year 2007/2008 (provided by SGS)]

Academic positions filled by rank and gender:

- Although the number of PhD holders has increased very substantially in the last ten years, the number of academic staff in the higher ranks has increased very little. Thus, the increase in PhD holders has not yet had the effect of increasing availability of senior academics contributing to academic program activities. [Tables 1 and 3]
- Few of the highest academic positions (ranks of associate and full professor) had been filled ten years ago, and few continue to be filled today, especially by women. [Table 3]
- The relative numbers of females in academic positions at the levels of Senior Lecturer, Lecturer, and Assistant Lecturer at Makerere have increased although the numbers are still far from equal (the percentage at the Assistant Lecturer level are most favourable to women, with 33% now, up from 19% ten years ago). [Table 3]

Table 1. Number of PhD holders in the end of year 2008 in various faculties (provided by SGS).

Faculty	No of PhD holders		Change in percentage
	1998/1999	2008/2009	
Library and Information Science		14	
Agriculture	38	84	221
Arts	31	51	165
Business	2		
Forestry and Nature Conservation		14	
Economics and Management		24	
Education	22	76	359
Environment and Natural Resources		11	
Law	8	23	287
Medicine	13	94	723
Science	47	127	270
Social Science	18	78	433
Psychology		8	
Public Health		19	
Technology	18	62	344
Veterinary Medicine	14	40	286
Adult and Continuing Education	1	16	1600

Statistics and Applied Economics	8	24	300
Fine and Industrial Arts	1	21	2100
Social Research	4		
Computing and Information Technology		28	
Total	225	779	346
Staff on study leave		>156	
Staff on PhD studies abroad	100	104	4%
No of academic staff	900	1547	172

Table 2. Numbers and gender of students registered at SGS (in all graduate programs) 1996 - 2000 as compared to academic year 2007/2008 (provided by SGS)

Year	No of students			Relative amount (%)	
	Female	Male	Total	Female	Male
96/97	312	868	1180	26	74
97/98	463	1148	1611	29	71
98/99	314	732	1046	30	70
99/2000	477	1163	1640	29	71
2007/2008	961	1628	2589	37	63

Table 3. Staff positions 2008/2009. (Provided by SGS.)

Year		Professors		Associate Professors		Senior Lecturers		Lecturers		Assistant Lecturers	
1998/99	Gender	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	No of persons	45	2 (4%)	51	3 (5%)	153	29 (16%)	337	104 (23%)	150	37 (19%)

2008/2009	Gender	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	No of persons	46	3 (6%)	76	12 (14%)	143	46 (24%)	293	104 (26%)	251	122 (33%)

Part 2: ISI Publications and Impact Factor from authors associated with the program

Note: As documented in a Table in the body of the report, the ISI publications overall at Makerere University increased 300%. Below are the findings and documentation of ISI-listed publications and impact factors by participating Faculties.

Main findings;

- Total publications in ISI journals before 2005 were low, but from 2005 the numbers increased significantly, reaching a total of 19 in 2008.
- The Faculty of Medicine published the highest number of papers in ISI journals over the whole period, significantly so; the Faculty of Agriculture published only few and Faculty of Social Science none in ISI.
- Almost all publications from School of Public Health were co-published with authors from the Faculty of Medicine.
- Impact factors of the publications were highest in the publications from the Faculty of Medicine; publications from Faculty of Technology generally had low impact factors.
- Some of the findings above are caused by different publication traditions in different disciplines; as Social Sciences and parts of the Faculty of Technology normally publish in other types of publications than ISI publications. Also, Agriculture is a much smaller part of the program as compared to the Faculties of Technology and Medicine, explaining the relative low number of publications from Agriculture.
- Among the publications from Faculty of Medicine, two authors, Fred Kironde and Stefan Peterson, contributed significantly larger numbers of articles compared to other authors in the program.
- The impact factors of publications from the Faculty of Medicine, were usually around 2. A total of 6 publications from the Medical Faculty had impact factors over 5, three of those publications at about 10 in impact factor, and one above 20. The research groups working with Fred Kironde and Stefan Peterson are also

responsible for those with very high impact publications. Two of these publications include authors Wabwire-Mangen, Weiderpass, Mirembe and their PhD-students.

Table 1. Total number of ISI publications within the program spread over the years.

Year	Number of publications
2001	2
2002	1
2003	3
2004	7
2005	14
2006	17
2007	18
2008	19

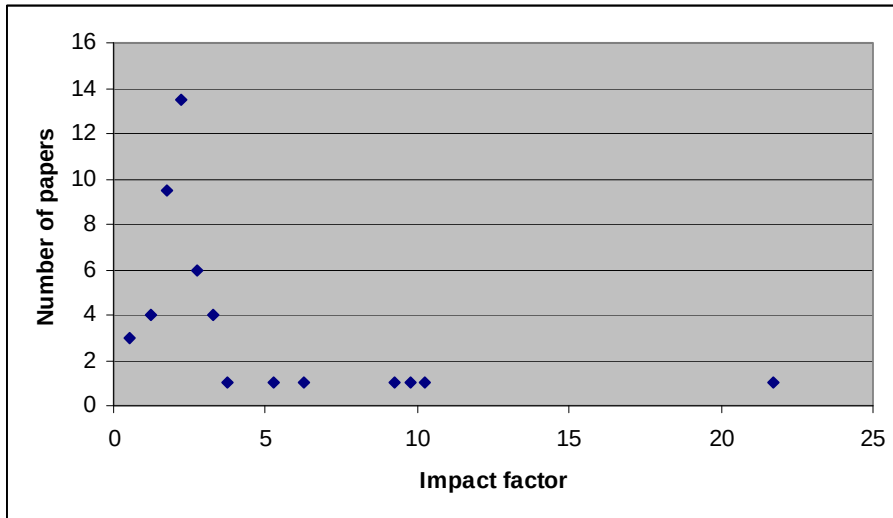
Table 2. Number of ISI publications and mean impact factor for five units within the program.

Unit	Number of publications	Mean impact factor
Fac Medicine	49	3.09
Public Health/Medicine	19	1.75
Fac Technology	10	0.83
Fac Agriculture	3	1.55
Fac Social Science	0	-

Table 3. Number of ISI publications from the program found per some senior researcher at the Medical Faculty within the program.

Researcher	Number of publications
Kironde	17
Peterson	17
Wahlgren	12
Pariyo	11
Tomson	10
Mirembe	9
Weiderpass	7
Källander	6

Figure 1. Number of publications and impact factors from the Faculty Faculty of Medicine that are related to the program.



Part 3 Research funding at Makerere University from External sources:

Despite complete cooperation from all of the Makerere University offices involved, the Evaluation Team was unable to compile a complete profile of external research funds at Makerere University during the ten year period ending 2008. KPMG also attempted to assemble this data, and as we note in the body of the report, they also found it was not possible to collect these data, as Makerere University does not have a complete record itself.

The data we were able to collect came from two units: The Planning and Development Department (PDD) and the Grants and Contracts Office of the Finance Department. These data, combined with those of PDD, do not provide a complete profile of external funds for research (and research education) at Makerere University.

We provide the information below from:

A. The Planning and Development Department that lists activities sponsored by major development partners: Carnegie Corporation, Norway (Norad and NUFFU, Sida, Rockefeller Foundation/World Bank). [Table 1] It shows:

- Sida to be the largest supporter of graduate education (under Human Resources), mostly PhD from 2000-2009—(though no #s for norad and other funders such as Gates Foundation and others)
- Donors overlap in areas of research support: agriculture, medicine, ICT, library
- Shows main infrastructure support to be from Norway (includes buildings), with ICT, library (Norad, Sida), laboratories, DSS support (Sida)
- ICT, Library, and E-learning are major targets of support from Carnegie, Norad, and Sida
- Sida adds to the initial investment by Carnegie Corporation in Gender Mainstreaming
- All listed contribute to outreach and collaboration
- These lists do not include a number of academic units with significant amounts of external funding (e.g. Faculty of Medicine, School of Public Health, etc.)

Part F.3 Table 1. EXPOSITION OF AREAS OF SUPPORT BY THE DIFFERENT DEVELOPMENT PARTNERS TO MAKERERE UNIVERSITY 2001-2009

(Provided by Planning and Development Office, Makerere University)

DEVELOPMENT PARTNER	Carnegie Corporation	NORAD	NUFFU	Sida/SAREC	Rockfeller/World Bank
AREA					
Human Resource Development	PhD training in science based disciplines Training of technicians in laboratory technology Development of new programs in Quantity Surveying, Construction Management and Land Economics Training more female students through FSI Training of	MSc and PhD training in agriculture and science fields	53 PhD and 40 MSc in science and agricultural science based disciplines	150 PhDs trained the fields of Technology, Social Sciences, Librarianship and information technology	Review of existing curricular to make them relevant to the needs of society.

	staff and students in ICT literacy and skills Capacity building of library staff				
Research Development	Nutrition and value addition Training Faculty of Medicine students in community research	Research in agricultural sciences	PhD and Msc research	Demographic Surveillance Site (DSS) for research in the fields of medicine, agriculture , technology and social sciences Research programmes in Faculties of Agriculture, Medicine , Social Sciences	Publication of Makerere Research Journal

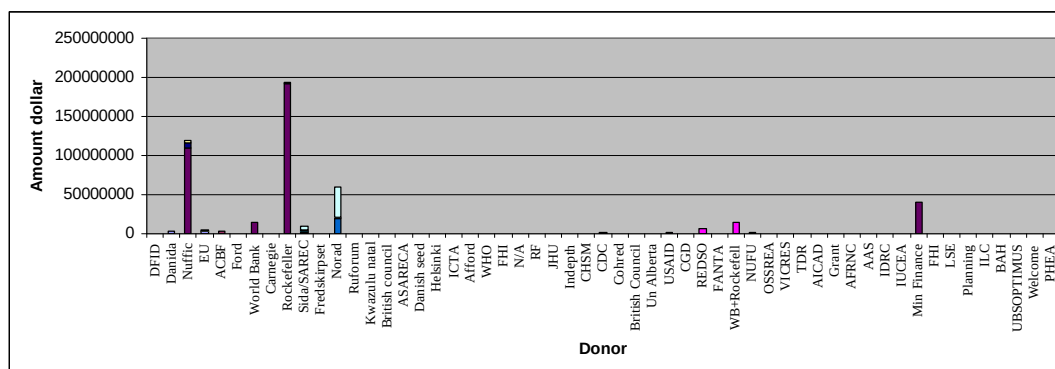
Physical Infrastructure Development		Construction of buildings- Faculties of Computing, Technology, and Department of Women and Gender Rehabilitation of laboratories IP telephony infrastructure		Setting up laboratories – Bio medical in Faculty of Medicine, Geographical Information System (GIS) in the Faculty of Technology	
ICT Development and E-Learning	Provision of computers in Veterinary Medicine and Department of Women and Gender Studies Setting up Laboratories and Servers in Medicine, Science CIT, Technology, Women and Gender Studies Library	Setting up E-learning labs in Faculties of Agriculture, Veterinary Medicine, Forestry and Education Installing servers Setting up Local Area Networks Provision of computers Information		Information systems MakLIBIS Intranet infrastructure- Local Area Networks (LANS) and student computer resources- student internet kiosks	

	automation through provision of computers	systems – ARIS, FINIS and HURIS Intranet infrastructure and student computer resources			
Gender Mainstreaming	Establishment of Gender Mainstreaming Department Establishment of sentinel sites in planning units Gender sensitization workshops	Gender sensitization workshops	N/A	Capacity building of female staff – training to Masters and PhD level	
Library services	Collection and Development in science and gender fields- 4,471 books and 281 titles of e-books Book check system Electronic Document Delivery System	Support to MakLIBIS Furniture acquisition	N/A	Provision of library e-resources Self check system	N/A
Outreach and extension and collaborative linkages	Indirect support (FSI outreach activities, Slum Project)	Indirect support	Indirect support	Indirect support (Demographic Surveillance Site)	Equipping staff with policies aimed at reducing poverty and governance issues. Strengthening collaboration

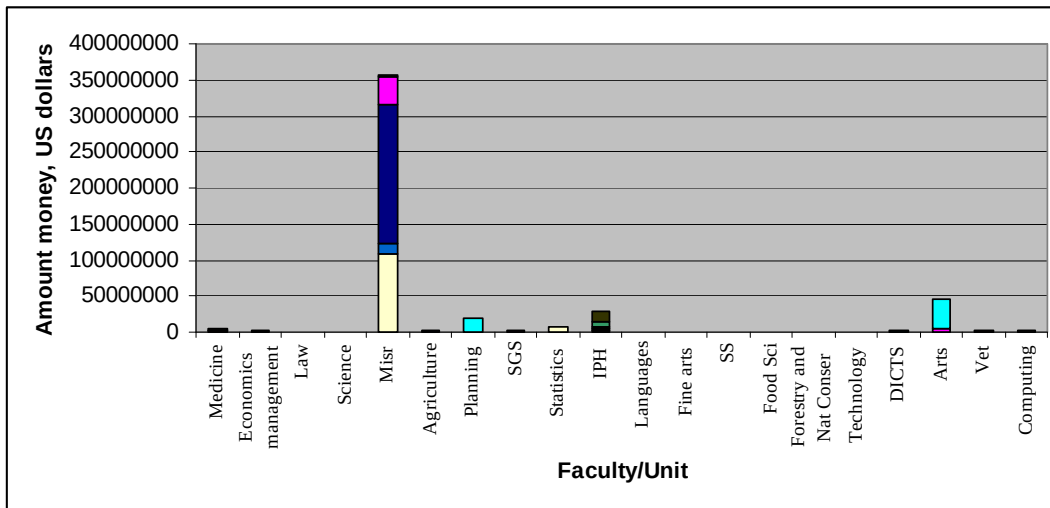
					between higher education institutions and local governments. Disseminating research results through model villages, exhibitions, newspapers.

B. The Office of Grants and contracts in the Department of Finance information follows, with data they could provide. [Figures 1, 2, and 3; Tables 2 and 3]

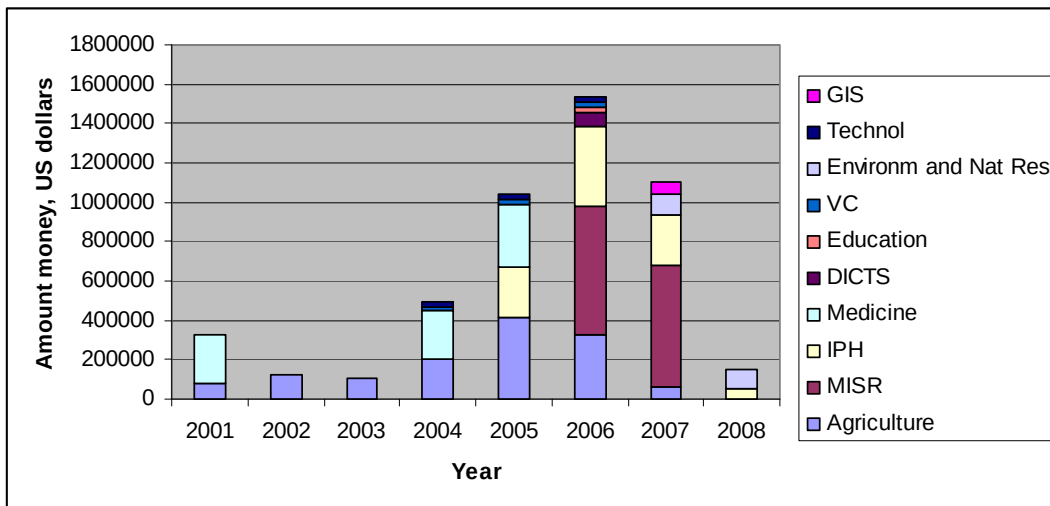
Part F.3 Figure 1. External grants 2000-2008 from each donor. (Provided by the Grants Office in the Finance Department under the University Bursar, Makerere University)



Part F.3 Figure 2. Cumulative amounts of external grants 2000-2008 per Faculty/Unit at Makerere. (Provided by the Grants Office in the Finance Department, under the University Bursar Makerere University)



Part F.3 Figure 3. Amount money from the Rockefeller Foundation to different units in different years. (Provided by the financing unit at Makerere) (Provided by the Grants Office in the Finance Department, under the University Bursar Makerere University)



Part F.3 TABLE 2: DONOR FUNDING LEVELS 2003/2004 to 2007/08. Grant Office, Finance Department, Makerere University, headed by the University Bursar.

DONOR	Programme / Agreement	Core Activities/Components	2003/04	2004/05	2005/06	2006/07	2007/08	Total Fund/Donor
			Shs.(Mn)	Shs.(Mn)	Shs(Mn)	Shs(Mn)	Shs(Mn)	Shs.(Mn)
NORAD	Five-year IDP	Infrastructure, Research, Library & Research	6,800	4,800	5,800	4,700	4,400	26,500
	NUFU Program	/PHD	500	500	4,500	-	-	5,500
Sida/SARE C	Five-year Research	Collaborative Research	4,900	5,119		6,400	9,200	25,619
Rockefeller	Four year Capacity Build	Capacity Building	6,360	4,554	-	-	-	10,914
Italian Gov't	Italian Cooperation	Faculty of Technology Professors		1,584		-	-	1,584
JICA	Supply of Printing & Building Equipment	Equipment of the University Printery		792		-	-	792
Carnegie	3 Year IDP (20012004)	Research, ICT, Gender, Library	1,200	1,000	1,200	776	1,200	5,376
Pfizer		Infectious Disease Inst.			19,250	-	-	19,250
Total Donor Fund/Year			19,760	18,349	30,750	11,876	14,800	95,535

Part F.3 TABLE 2. Makerere University Grants/Sponsored Projects, Grants Office, Research, Training Agreements, Contracts and Collaboration Grants (not including Faculty of Medicine or Development Partner funding)

MAKERERE UNIVERSITY													
GRANTS/SPONSORED PROJECTS - 2007													
FACULTY OF MEDICINE AWARDED AND SPONSORED PROJECTS.													
Principal Investigator	Name of Project	Department	Type of Project	Duration	Source of Funding	Sponsor Agency Name	Type of Award	Amount (Total)	Total	Balance	Reporting	Bank	Account
Dr.Fred Kigozi	Mental Health	Butabika Hospital	Research	6Years	South Africa	Department of International Development (DFID)	Consortium	£287,957	#69,077	#218,880	Account as you	Stanbic bank	0240059133501
Assoc.Prof Odoi-Adome	School of pharmacy Construction	Pharmacy	Health Sector Support Program (HSPSIII)	-	Denmark/Govt of Uganda	Danida/Min. of Health-Uganda	Contract	\$2,564,000	-	\$2,564,000			8705613253200

Dr.C Stephen Kijjambu	Nuffic Project	Faculty of	Construction of	4 Years	The Netherlands	Netherlands Organisation for International Cooperation in Higher Education	Grant	€ 387,699					
Prof. James K Tumwine	Promise study	Pediatrics & Child Health	Promoting Infant Health & Nutrition in Sub-Saharan Africa	3 Years		European Union	Consortium	€ 232,320					
Dean Faculty of Medicine	Sida/Sarec	Faculty of Medicine	Research & Training	5 Years	Sweden	Sida/Sarec	Consortium	\$2,467,171					
	FACULTY OF ECONOMICS MANAGEMENT												
Dean Faculty of Economics and Magt.	Economic Policy Management	Economic Policy	Training	4Year		African Capacity Building Foundation (ACBF)	Agreement	\$2,500,000	0	0		Bank of Uganda	In process of opening A/Cs
	FACULTY OF LAW												
Dr. Sylvia Tamale	Gender Law & Sexuality	Faculty of Law	Research	2 Years	Ford Foundation	Ford Foundation	Grant	\$198,000	0	0		Standard Chart	8705611827700
	FACULTY OF SCIENCE											Bank	
Dr. Gladys Bwanika	Integrated Fish farming	Zoology		1 Year(10/12 yr)	World Bank	World Bank	Manual writing	#####				Stanbic Bank Makerere Branch	0121018895201

Byamukama Robert	Spectroscopic analysis of Antholyasiss	Chemistry	Research	2 Years	US GOV'T	Carnegie Corporation	Research Grants	\$14,000				Stanbic Bank Makerere Branch	01210189 24901
	FACULTY OF AGRICULTURE												
Dr. Patrick Okori	Developing Biotechnologies	Crop Science	Research & Training	3 Years	SWRDEN	SIDA - SAREC	Grant	\$400,000				Barclay's Bank	4241694
Johnny Mugisha	Fredskirps et Exchange	Agriculture	Training	3 Years	NORWAY	Fredskirpset		\$63,361				Barclay's Bank	4241694
Johnny Mugisha	Business Experience Exchange Program (BEEP)	Agriculture Econ&Agribusiness	Research	4 Years	NORWAY	NORAD	Grant	\$146,353				Barclay's Bank	4241694
Dr. Mukasa S.B	Optimisation of Biotechnology	Crop Science	Research	2 Years	Rockefeller	Rockefeller (RUFORUM)	Grant	\$45,364				Barclay's Bank	4241694
Prof. Rubaihayo	AphidBorne Mosaic Virus Disease	Crop Science	Research & Training	2 Years	Rockefeller	Rockefeller (RUFORUM)	Grant	\$60,000				Barclays Bank	4241694
Dr. Okori p	Enhancing Market Assisted	Crop Science	Research & Training	2 Years	Variuos	RUFORUM	Grant	\$58,518				Barclays Bank	4241694
Dr. Okori p	Breeding sorghum for	Crop Science	Research & Training	3 Years	Rockefeller foundation	ACCI Univ. Kwazulu Natal	Grant	\$17,178				Barclays Bank	4241694
Dr. Margaret Najjingo M	Enhancing the capacity of the DAEE	Agricultural Extension	Training	1 Year		British Council	Grant	\$56,143				Barclays Bank	4241694
Dr. Edema R		Crop Science	Training	3 Years	ASARECA	ASARECA	Grant	\$25,000				Barclay's Bank	4241694
Dr. Edema R		Crop Science	Training	3 Years	DANIDA	DANIDA	Grant	\$1,159,448				Barclay's	4241694

	INSTITUTE OF STATISTICS												
Dr. Makumbi T	Afford Baseline Survey	Planning ISAE				AFFORD Health Marketing Initiative	Contract	\$119,111				Stanbic Bank	0240058515701
	0												
Prof. Baryamureeba V	Building Sustainable ICT	Fac. Of CIT		4 Years	NUFFIC	The Netherlands Program	Contract	10,050,454 €	€10,050,454			Standard Chart Bank	9305612699400, and 0105612699400
Prof. Baryamureeba V	Local software Development by Nurturing students capacities	CIT	Training	1 Year	US-Rockefeller Foundation	Rockefeller Foundation	Grant	\$300,000					
	Institute of Public Health												
Dr. Robinah Najjemba	Drug Distribution Study		Research	3yrs	WORLD HEALTH ORGANISATION	WHO	Contract	\$121,950	\$40,650	\$81,300			
Dr. Stella Neema	Microbicide Study		Research	1yr	FAMILY HEALTH INTERNATIONAL	FHI	Contract	\$133,448	\$54,337	\$79,111			
Dr. Orach C Garimoi	PHCE Course		Training	1yr	Individual Participants	N/A		\$72,000	\$54,804	\$17,196			
Dr. George W Pariyo	IMCI		Research	5yrs	WORLD HEALTH ORGANISATION	WHO	Contract	\$23,580	\$17,606	\$5,974			
Dr. George W Pariyo	ALPS-2		Research	3yrs	ROCKEFELLER FOUNDATION	RF	Contract	\$100,000	\$58,960	\$41,040			

					N								
Dr. Olico Okui	RHD		Research	3yrs	EUROPEAN UNION	EU	Contract	\$220,546	\$143,343	\$77,202			
Dr. S.O Baine	Ngotu Health		Research	3yrs	EUROPEAN UNION	EU	Contract	\$298,166	\$170,941	\$127,225			
Dr. George W Pariyo	WHO-PAL		Research	1yr	WORLD HEALTH ORGANISATION	WHO	Contract	\$40,000	\$14,033	\$25,967			
Dr. George W Pariyo	SPHT		Research	1yr	JOHN'S HOPKINS UNIVERSITY	JHU	Contract	\$30,160	\$22,880	\$7,280			
Dr. George W Pariyo	Future of Health Systems		Research	5yrs	JOHN'S HOPKINS UNIVERSITY	JHU	Contract	\$766,228	\$147,876	\$618,352			
Dr. George W Pariyo	Information for development		Research	3yrs	ROCKEFELLER FOUNDATION	RF	Contract	\$300,000	\$115,331	\$184,669			
Dr. Freddie Sengooba	Urban Equity		Research	2yrs	ROCKEFELLER FOUNDATION	RF	Contract	\$128,200	\$92,071	\$36,129			
Dr. Elizeus Rutebemberwa	Home M'gt of Mal & Pneumonia		Research	1yr	WORLD HEALTH ORGANISATION	WHO	Contract	\$200,000	\$95,145	\$104,855			
Dr. George W Pariyo	IN-DEPTH PDA Grant		Research	1yr	INDEPTH NETWORK	INDEPTH NETWORK	Contract	\$25,000	\$7,902	\$17,098			
Dr. Moses Arinaitwe	ARVMAC Project		Research	4yrs	EUROPEAN UNION	EU	Contract	\$484,921	\$49,317	\$435,604			
Dr. George W Pariyo	CHSM		Research	3yrs			Contract	\$300,000	\$7,062	\$292,938			
Dr. David Guwatudde	MPH		Training	2yrs	ROCKEFELLER FOUNDATION	RF	Contract	\$500,000	\$369,647	\$130,353			
Dr. Fred Nuwaha	Plan's Child Protection Policy		Research	1yr	PLAN UGANDA	PLAN INTERNATIONAL	Contract		Ug. Shs. 72,285,000	Ug. Shs. 72,285,000			

[illegible]

INSTITUTE OF LAGUAGES													
Dr. Dominic Dipio	FolkLore Project	Languages	Research		Norway	NUFU	Grant	NOK 3,493,413				Barclays	1194474 and 422304
			MARGAR ET TROWELL SCHOOL OF INDUSTRI AL FINE ARTS										
Bruno Ssserunkuma	Design Health and Communit y	Industrial Arts and Design	Industrial Arts and Design	1 Year	England Africa Partnerships	Dept of Education and skills United Kingdom British Council under the English- Africa Prtnership.	Grant	£28,076	£9,688	\$18,388			
			FACULTY OF SCIENCE										
Deborah Baranga	Wild Conservati on forest Magt cropping incidences s	Zoology	Reseasrch	2 Years	Carnegie Corporation, New York	Makerere University/ Carnegie Competitive Research	Grant	\$25,000				DFCU Makerere Branch	62781500 00493620
FACULTY OF SOCIAL SCIENCE													
Wasike Mangheni James		Sociology		12 Months	OSSREA	OSSREA	Grant	\$4,960				Barclay's Bank	4044007

Dr. F. Mugendi		Production Sociology		2 Years	VICRES	VICRES	Grant	\$18,252				Barclay's Bank	4044007
Doris Muhwezi Kakuru		Sociology		2 Years	WHO/TDR	UNICEF/UNDP/WORLD BANK/WHO special Programme for Research and training in Tropical Diseases (TDR)	Grant	\$103,700				Barclay's Bank	1390788
FOOD SCIENCE													
DR. D. Nakimbugwe	The Potential of using essential	Food Science & Technology	The Potential of using essential	1 Year		SIDA SAREC	Grant	\$10,000					
Aber Atukwase	Production of Wine from Pineapple	Food Science & Technology		2 Years		NORAD	Grant	\$29,684					
Aber Atukwase	Investing the occurrence of	Food Science & Technology		2 Years		CARNEGIE	Grant	\$14,960					
John Muyonga		Food Science & Technology		2 Years		NORAD	Grant	\$30,000					
Dr. A.N. Kaaya		Food Safety and Value Addition		3 Yeas	Makerere University	NORAD	Grant	\$26,004					
DR. D. Nakimbugwe		Food Science & Technology		2 Years	CARNEGIE	CARNEGIE	Grant	\$25,000					
Dr Mayanja C		Food science & Technology	Research	3Years	AICAD	AICAD	Grant	\$5,400					

Dr Mayanja C		Food science & Technology	Research	3Years	NORAD	Grant	Grant	\$30,000					
FORESTRY & NATURE CONSERVATION													
Okullo John Bosco		FBEM		2 Years	Graduate School	CARNEGIE	Grant	\$25,000				Barclay's Bank	4026025
Okullo John Bosco	Assessment of Population structure	Forestry Biology Ecosystems Mgt	Research	2 Years	AFORNET	African Forests Research Network CaforNet	Grant	\$41,281				Barclay's Bank	4026025
Okullo John Bosco	Ecology, Ethnobotany & Conservation of Vitellaria Paradoxa in Uganda & Eth	Forestry Biology Ecosystems Mgt	Training	3 Years	AFORNET	African Academy of Science (AAS) CARFONET	Grant	\$36,698				Barclay's Bank	4026025
Okullo John Bosco	Value Addition FBEM	Forestry Biology Ecosystems Mgt	Training	4 Years	EU	The European Commission	Specific Targeted Research Project	\$184,026				Standard Chartered Bank	930561340000
			INSTITUTE OF ENVIRONMENT										
DR FRANK KANSIIME	CAPACITY BUILDING FOR INTEGRATION AND USE	ENVIRONMENT	Research	3YRS	ROCKEFELLER	ROCKEFELLER	GRANT	\$200,000					

[illegible]

APPENDIX G

Makerere University surveys: summary presentation of data and analysis

Part 1. PhD Students

This part presents a survey that was carried out with Makerere PhD-students involved in the Sida-Makerere collaboration. It begins with a summary of the main findings from the survey, then presents the names of the students participating in the survey, the data collection template, the process (and difficulties) in collection the data, and a total compilation of the findings from the survey.

Main findings:

- **Data collection.** As the School of Graduate Studies had no complete set of data on all PhD students supported in some way by Sida from 2000-2008, the Steering Committee and SGS agreed to pursue collection of a basic set of data to form the basis of the final evaluation of Phases I and II (and for other purposes). The goal was to collect data by the time of the Evaluation Team site visit in February 2009. However, at that stage, data from only 40 of the 94 PhD-students had been collected. The Evaluation Team joined the effort by chasing those students who had not yet responded to the request. The main problem appeared to be an inadequate list of email addresses.
- **Gender.** Overall, almost similar numbers of women and men were registered as PhD-students although there are two sets of students where this is not true: male PhD-students significantly outnumbered women PhD-students at the Faculties of Technology and Computing and Information Technology (CIT), while the opposite was true for PhD-students in the 'administrative track' (meaning coming into the program from administrative rather than academic staff positions), where women predominated.
- **Registration.** Time from provisional to full registration took about one year. Mean time from provisional registration through thesis defense was 5.5-6 years. However, most of those who actually completed degree requirements (although successful their thesis defense) took less time from provisional registration through defense, usually 3-4 years. The longer overall mean time resulted from early starters who had not yet defended. More than 50% of the students in this data set who studied at the Faculty of Agriculture had completed their PhD-degree requirements. However, only seven students were enrolled from Agriculture, much smaller than the numbers from the Faculties of Medicine, Social Sciences and Technology. For the other faculties the comparable proportions are lower, approximately 20-30% of the students had completed their PhD-education.
- **Publication.** Those who completed their degree requirements produced higher numbers of publications as compared to those who had not yet defended. Male PhD-students generally had higher rates of publication as compared to female PhD-students, and especially so for conference publications. The highest numbers

of conference publications per PhD-student are found at Faculties of Computing & IT, Medicine and Technology. The highest number of journal publications is found among students at the Medical Faculty. The lowest rate of publication, and significantly so, is at Faculty of Social Science. This difference probably has largely to do with different traditions about how and where to publish, and data bases other than ISI may be likely to better represent social science publications.

- **New contributors to publication.** Most early completers (2005-2007) are now supervising Masters' and PhD-students.
- **Scholarly productivity.** These same early completers have also continued to publish additional papers after completing their degree requirements.

Students involved in the Sida collaboration

The below list presents the name of the total number of PhD-students participating in the Sida funded Makerere-Sweden collaboration. The total number of PhD students identified by the EG is 94; of those, a total of four have not completed data collection template sent to them. The ones that answered are marked by an X.

Karungi Jeninah	X
Amoding Alice	X
Ekerere William	X
Katongole Constantine	X
Tumuhairwe J B	X
Peter Walekwa	X
Nambi Justine	X
Peter Vuzi	
Hakim Sendagire	X
Namusoke Fatuma	X
Kaddu Mukasa	X
Kiwuwa Steven	X
Okello Elialilia	X
Tugumusirize Joshua	X
Muhwezi William	X
Nakasujja N	X
Abbo Catherine	X
Mwebaza Norah	X
Nakigudde J	X
Bwanga Fred	X
Asiimwe Benon	X
Buwembo William	X
Byamugisha Joseph	X
Atyambe Lynn	X
Kaye Dan	X
Beyeza J	X
Nalwadda G	X
Banura Cecily	X

Agaba Ateenyi Charles	X
Odida M	X
Twaha Mutyaba	X
Orem Jackson	X
Tumwikirize W	X
Obua Celestino	X
Jesca Nsungwa	X
Mohamed Ntale	X
Nanzigu Sarah	X
Mukonzo Jackson	X
Bagampade Umaru	X
Kirabira John Baptiste	X
Alinaitwe Henry	X
Namutebi May	X
Irumba Richard	X
Robinah N Kulabako	X
Kalibbala Herbert	X
Niwagaba Charles	X
Kizito Frank	X
Kizza Michael	X
Tumutungire Martin	X
Asumpta Nnaggenda-Musana	X
Senkatuka Ian	X
Kweyunga Salome	X
Namuganyi Lilian	X
Omolo-Okalebo Fredrick	X
Peter Olupot W	X
Abraham Judah Bumalilivu	X
Al-mas Sedegaya	X
Arineitwe Ndemere Joseph	X
Olwa Joseph	X
Bakkabulindi Geofrey	X
Musinguzi Moses	X
Peter Okidi-Lating	X
Lydia Mazzi	X
Manyire Henry	X
Mukwaya K K	
Mbaaga F	
Kamya Sarah	X
Fred Bateganya	X
Lubanga Rosalind Grace	X
Asingwire Narathius	X
Kyomuhendo Swizen	
Igeme Katagwa	X
Madanda Aramanzan	X
Anena Catherine	X

R. Nalumaga	X
Kawalya J	X
E Gamukama	X
Liz State Nassali	X
Alison A Kinengyere	X
Nameere Florence Kivunike	X
Nora Mulira	X
Niwe Moses	X
Kiwana David	X
Kahiigi Kigozi Evelyn	X
Ndiwalana Ali	X
Waiswa Peter	X
Rutebemberwa Elizius	X
Bakeera Salome	X
Lubega Mohammed	X
Rose Namubiru	X
Katende Nabiteko	X
Helen Musanabera	X
Joyce Bukirwa Nyumba	X
Mary Tumuboine	X

Data Collection template

**SIDA FUNDED MAKERERE UNIVERSITY RESEARCH PROGRAMME
END-OF-PROGRAM (PHASE I&II) EVALUATION**

DATA COLLECTION TEMPLATE

PART I A: PHD EDUCATION *(to be filled by all PhD students – Completed and ongoing).*

STUDENT DETAILS		
Name:		
Gender <i>(highlight appropriate)</i> : Male	Female:	
Faculty and Department of deployment at Mak:		
Position/Rank at enrollment for PhD Program:		
Teaching ☐ Asst. Asst. ☐ Lecturer ☐ Lecturer ☐ Senior ☐ lecturer		
Other (fill in):		
STUDENT REGISTRATION		
Date for Provisional registration:	Date for full registration:	
Faculty/Department of registration:		
Mak:	Sweden:	Other:

SUPERVISORS <i>(list ALL by indicating status – current (C) and previous (P))</i>						
Mak:			Sweden:			Other:
Name	Faculty/dept	St at us	Name	Faculty/dept	St at us	
THESIS/RESEARCH						
Title:.						
Date of defense/anticipated completion date:						
Licentiate:				PhD:		
PAPER (S) PRESENTED AT CONFERENCES						
Title:	Author(s)		Conference			

		<i>Name:</i>	<i>Type</i> <i>Nation</i> <i>al (N)</i> <i>Region</i> <i>al (R)</i> <i>Interna</i> <i>tional</i> <i>(I)</i>	<i>Date</i>	<i>Volume/</i> <i>Issue/ISS</i> <i>N:</i>	<i>Indicate</i> <i>Status:</i> <i>Submitted</i> <i>(S)</i> <i>Accepted</i> <i>(A)</i> <i>Published</i> <i>(P)</i>
PAPER (S) PUBLISHED IN PEER-REVIEWED JOURNALS						
Title:	Author(s)	Journal				

		<i>Name:</i>	<i>Type</i> <i>Nation</i> <i>al (N)</i> <i>Region</i> <i>al (R)</i> <i>Interna</i> <i>tional</i> <i>(I)</i>	<i>Date</i>	<i>Volume/</i> <i>Issue/ISS</i> <i>N:</i>	<i>Indicate</i> <i>Status:</i> <i>Submitted</i> <i>(S)</i> <i>Accepted</i> <i>(A)</i> <i>Published</i> <i>(P)</i>
Spin-offs						

PART I B: COMPLETED PHD (to be filled by ONLY students who have completed PhD studies).

Position/Rank as at February 2009: Teaching ☐ Asst. Asst. ☐ ☐ Lecturer ☐ Lecturer Senior ☐ lecturer ☐ Assoc. Prof Professor					
Other (fill in):					
Post doctoral research:					
Title:			Funding (amount):		Funding source:
Supervision of students:					
Level	Name	Gender (M/F)	Faculty/Department	Period of Supervision (dates)	Anticipated/Completion date
Master s					
PhD					
PAPER (S) PRESENTED AT CONFERENCES SINCE COMPLETION OF PHD					
Title:		Author(s)		Conference	

		<i>Name:</i>	<i>Type</i> <i>Nation</i> <i>al (N)</i> <i>Region</i> <i>al (R)</i> <i>Interna</i> <i>tional</i> <i>(I)</i>	<i>Date</i>	<i>Volume/</i> <i>Issue/ISS</i> <i>N:</i>	<i>Indicate</i> <i>Status:</i> <i>Submitted</i> <i>(S)</i> <i>Accepted</i> <i>(A)</i> <i>Published</i> <i>(P)</i>
PAPER (S) PUBLISHED IN PEER-REVIEWD JOURNALS SINCE COMPLETION OF PHD						
Title:	Author(s)	Journal				

		<i>Name:</i>	<i>Type</i> <i>National (N)</i> <i>Regional (R)</i> <i>International (I)</i>	<i>Date</i>	<i>Volume/</i> <i>Issue/ISS</i> <i>N:</i>	<i>Indicate</i> <i>Status:</i> <i>Submitted (S)</i> <i>Accepted (A)</i> <i>Published (P)</i>

Progress in other areas administrative and other responsibilities, etc):

Process of collecting the data from start during monitoring site visit, October 2008

- October 2008: Evaluation Team review of SGS data systems (Phyllis Freeman) with George Nasinyama (Deputy Director) and Daniel (IT manager at SGS)
- November 2008 research monitors' report summary addressed need for these data
- 21 December 2008: List of data elements discussed among ET
- 29 December 2008: Data elements request transmitted from Sida (Cristina de Carvalho) to SGS (Prof. Eli Katunguka, Director, SGS)
- Jan 2009 Prof Katunguka convened Steering Comm to determine way forward with regard to data on graduate students, supervisors, and senior scientists
- Jan 2009 Apollo Kyeune (DICTS) and Science Dean agree to lead effort for Steering Committee
- Jan 2009 Science Dean provided IPS template (Uppsala University)
- Jan 2009 Kyeune, Kakande (ET research assistant), and Freeman work on template for data gathering
- Jan 2009 Discussions about division of labor: Makerere University versus Evaluation Team. Agreement is that Makerere University will collect data, Kakande to verify and assist Evaluation Team with analysis
- Jan/Feb 2009 Kyeune distributed questionnaires (to those for whom he had email addresses from SGS, Sida) on behalf of the Steering Committee—is to get support of assistants paid by SGS
- Kyeune received about half of PhD student responses by start of ET site visit (and almost no senior researcher/supervisor responses)
- 26 February Kyeune decided to make follow-up calls himself
- At the arrival of ET member Eva Johansson to Makerere University on 23 February 2009, forms containing data of 40 PhD-students had been collected by Kyeune and entered into a data system by Kakande.
- A week later, 1 March 2009, no additional forms had been collected. Johansson then helped Kyeune with follow-up to get students to submit forms, by sending reminders by emails.
- It turned out that: 1. email addresses were missing from the master list; 2. email addresses on the list were wrong; 3. That SGS did not have more useful email addresses. Johansson then chased supervisors and colleagues of students to collect active email address for each student, then sent reminders to each to submit data.
- Most students responded immediately when Johansson contacted them.
- Collection of data was even a bit more chaotic as there were mistakes in registering data that had come in, leading to several reminders to some students who had already submitted data. Finally, 90 out of 94 students submitted data.

Results of the survey

Table 1. Numbers and percentages of students participating by gender and faculty.

Faculty	Sex	
	Male	Female

	Number	%	Number	%
Agriculture	3	43	4	57
Technology	16	73	6	27
Social Science	4	57	3	43
Medicine	13	56	10	44
Arts	1	100	0	0
Computing and IT	3	75	1	25
Public Health	1	50	1	50
Others	4	29	10	71
Total	50	56	40	44

The numbers of male and female PhD-students participating in the program is similar. Male PhD-students dominate in the Technology and Computing&IT faculties while female PhD-students dominate in “others” (including those at the gender program). In total, 90% of the PhD-students are or have been registered at Makerere and 10% are registered at a Swedish University.

Table 2. Type of position held when registered for PhD study. A total of 85 PhD-students answered the question.

Position	Sex				Total	
	Male		Female		Number	%
	Number	%	Number	%		
Senior Lecturer	5	10	5	14	10	12
Lecturer	18	38	10	27	28	32
Assistant Lecturer	14	29	11	30	25	30
Teaching Assistant	5	10	0	0	5	5
Others	6	12	11	30	17	21
Total	48	56	37	44	85	100

The most common position held by the PhD students when accepted to carry out PhD studies was lecturer for male PhD-students; for female PhD-students, lecturer and assistant lecturer were similarly common, as it was to have another type of position than those typical on the promotion ladder for university teachers (several women belonged to the administrative track instead of the academic track).

Fifty-five of the 90 PhD students answered the question about the university in Sweden at which they were registered. Among the Swedish universities listed were: Karolinska Institute (21 students), Royal Institute of Technology (17), Lund University (3), Uppsala University (3), The Swedish University of Agricultural Sciences (3), Blekinge Technical University (2), Gothenburg University (2), Mid University (1), Växjö University (1), Delft University (1).

Table 3. Number of PhD-students provisionally and fully registered and defending their theses each year. Number of PhD-students answering the question = 66.

Year	Number of PhD-students		
	Provisionally Registered	Fully registered	Defended their thesis
2000	2	0	0
2001	6	0	0
2002	8	4	0
2003	4	8	0
2004	7	10	0
2005	12	6	1
2006	9	15	3
2007	7	9	5
2008	3	4	4
2009 Until Feb	1	3	3
Total	65	59	16

A total of 66 students answered the questions concerning provisional and full registration and when they had defended their theses. Of those, 65 were provisionally registered, 59 were fully registered, and 16 had defended their thesis. The interval from starting PhD studies in this program to provisional registration is not possible to determine from the data collected as no “start” was recorded. When comparing time for provisional and full registration, approximately one year elapsed between those two. Thus it takes approximately one year from provisional to full registration. The mean time from provisional registration to defense appears to have been 5.5-6 years. However, most of the students who had defended had taken less time, approximately 4-5 years. Thus, the majority of the early starters (from Phase I) have not completed yet, leading to the conclusion that they will need more than 6 years to complete, if they ever do complete their degrees. Seventeen PhD-students have completed their PhDs so far, amounting to 18% of the total number of PhD-students. Of the 17 who completed, three are from Faculty of Agriculture (defenses of theses in 2006, 2006, 2009), four are from Faculty of Technology (2005, 2007, 2008, 2008), two are from Faculty of Social Sciences (2008, 2009), seven are from Faculty of Medicine (2006, 2006, 2007, 2007, 2007, 2008, 2008).

and one is from ICT (2007). In all, 57% of those in Agriculture, 23% in Technology, 20% in Social Science and 30% of those in Medicine have defended their theses. Almost equal numbers of the male and female PhD students here have completed their PhDs.

Table 4. Numbers of male and female PhD student participants who have completed/not completed their PhD-education.

Status	Sex				Total	
	Male		Female			
	Number	%	Number	%	Number	%
Completed	11	20	9	22	20	21
Not completed	43	80	31	78	74	79

Table 5. Mean number of publications produced totally, by completers and non completers, by male and female, and for different faculties.

Type of Students	Conference papers	Journal papers
Total	2.5	1.6
Completers	3.8	3.0
Non completers	2.1	1.3
Male	2.9	1.8
Female	2.0	1.5
Fac Agric	1.8	1.7
Fac Technol	3.0	1.6
Fac SS	0.6	0.1
Fac Med	3.3	3.0
Fac Computing&IT	4.2	1.5

Among these students, the mean number of publications per student is 2.5 conference publications and 1.6 journal papers. Completers had published more than non completers (as should be expected). Men had published significantly more conference papers than women PhD students and men in this group had also published slightly more journal papers (also valid for completer male versus females). PhD students at the Faculty of

Computing Science and IT published the highest number of conference papers followed by those at the Faculties of Medicine and Technology. The Faculty of Medicine had the highest rate of publications in journals. Significantly lowest have been publications by the PhD-students at Faculty of Social Science, both concerning conference and journal papers. These differences may depend largely on variations in publication traditions in different disciplines, and on the methods employed by ISI.

Most of the PhD-students who completed have done so relatively recently. The first completers reported their experiences with supervision of masters and PhD-students and about additional publications (from conferences and in journals). The first completers include three at Faculty of Medicine, two at Faculty of Technology, and person at Faculty of Agriculture (all of whom defended their theses in 2005-2007). Since completing their degrees, each has become a supervisors of 1-5 Master students and 1-2 PhD-students; and each has published 2-4 additional journal papers. Two PhD candidates at Faculty of Agriculture and one at Faculty of Medicine defended their theses in 2006-2007, but they have not become supervisors, nor have they published additional papers.

Spin-offs reported by many of the students most include:

- Appointments
- Becoming secretaries etc in organisations
- Contributed to book chapters, book section, publication of a book
- Participated in writing of Phase III proposals
- Member of University committees
- Post doctoral research
- Career guidance in girls secondary schools
- Production of handbook
- Attracted other international researchers
- Promotions
- Established lab
- Organised workshop
- Publications
- Supervision capability
- Defending thesis

Part 2. Master Students

This part presents a survey that was carried out with Makerere Master students involved in the Sida-Makerere collaboration. It begins with a summary of the main findings from the survey, then presents the names of the students participating in the survey, the data collection template, the process (and difficulties) in collection the data, and a total compilation of the findings from the survey.

Main findings:

- Many more female than male master students participated in the program.
- The number registered was highest in 2005.
- Mean time to defense has been 2-3 years, although a few students have taken much longer. In all, 15 PhD-students have defended their theses so far.
- Most of the master students registered through the program at Gender Mainstreaming Division, and many also registered at Department of Women and Gender Studies. The second largest number of the master students registered at Faculty of Computing Sciences and Information Technology.
- The supervisors of the master students are more widely dispersed among units on the campus than are the students.
- Many of the master students did not include in the data sheet the names of their supervisors, or only noted that the supervisors work at Makerere.
- None of the master students reported any publications, conference proceedings or spin-offs.

Students involved in the Sida collaboration

The list below presents the names of the all of 29 Master students participating in the Sida funded Makerere-Sweden collaboration that the ET was able to identify. All 29 completed the questionnaires, as designated by the X.

Dorothy Kabanda Namnozi	X
David Kiwana	X
Florence Nameere Kivunike	X
Syedde Sarah Tegule	X
Joseph Kimaili	X
Sebunya Robert	X
Lubanga Umar Kombo	X
Elveane Ruth Nawaguna	X
Gorette Nalwadda	X
Evelyn Kigozi Kahiigi	X
Nakamya Mary Frances	X
Nabachwa Rita	X
Naigaga Milly Irene	X
Nalubega Rebecca	X
Mukama Proscovia	X
Mukwaya Margaret Nalugooti	X

Beatrice Dhaala	X
Tindyebwa Teddy Mary	X
Sylvia Wanzala	X
Night Mary Vianney	X
Eva Naggayi	X
Namubiru Josephine	X
Joyce Hayoko	X
Margaret Tumusiine	X
Nabirye Harriet	X
Nalubowa Norah	X
Namatovu Alice	X
Lukanda N. Ivan	X
Mutibwa Lois Nankya	X

Data Collection template

**SIDA FUNDED MAKERERE UNIVERSITY RESEARCH PROGRAMME
END-OF-PROGRAM (PHASE I&II) EVALUATION**

DATA COLLECTION TEMPLATE

PART I C: MASTERS/DIPLOMA/OTHER EDUCATION

STUDENT DETAILS					
Name:					
Gender (<i>highlight appropriate</i>): Male			Female		
STUDENT REGISTRATION					
Date of registration:					
Faculty/Department of registration:					
Mak:		Sweden:		Other:	
THESIS/RESEARCH					
Title:					
Date of defense/anticipated completion date:					
SUPERVISORS (<i>list ALL by indicating status – current(C) and previous (P)</i>)					
Mak:			Sweden:		
Name	Faculty/dept	Status	Name	Faculty/dept	Status
					C
Other:					

						P	

Process of collecting the data

See Part 1 above for the sequence of events until 23 February, then:

- By 23 February 2009, forms containing data of 9 Master students had been collected by Kyeune on behalf of the Steering Committee and entered into a data system by Kakande, on behalf of the Evaluation Team.
- By 1 March 2009, no additional forms had been collected. Johansson (ET) then sent reminders by email to students who had not submitted forms.
- Johansson learned that 1. The Master list of students from SGS (upon which Kyeune was relying) was missing email addresses and other contact information 2. a number of those email addresses on the list were not correct, 3. Johansson then chased supervisors and colleagues of those students with lacking email addresses to get the accurate ones, then sent reminders to students to submit the data. Most students did so immediately. As for PhD students, collection of data was more problematic as there were mistakes in registering data that sometimes led to sending reminders to students who had already submitted data. Finally, however, all students responded.

Results of the survey

Table 1. Numbers and percentages of participating students by gender.

Total no	Sex			
	Male		Female	
	Number	%	Number	%
29	6	21	23	79

Many more female than male master students are included in the program. Highest number of master students was registered in 2005. Mean time to defence has been 2-3 year although some few students have used much longer time. In total 15 PhD-students have defended their thesis so far. Most of the master students are registered through the program at Gender Mainstreaming Division and many of them are also registered at Department of Women and Gender studies. The second largest part of the master students are registered at Faculty of Computing Sciences and IT. The supervisors of the master students are more spread around the campus. Also many of the master students have not included in the data sheet which are they supervisors or only included that they are working at Makerere. None of the master students have reported any publications, conference proceedings or spin-offs.

Table 2. Number of master students registered and defending theses each year.

Year	Number of master students

	Registered	Defended their thesis
2001	1	0
2002	1	0
2003	0	0
2004	2	1
2005	13	1
2006	3	1
2007	8	11
2008	0	1
2009 Until Feb	1	3
Total	29	15

Table 3. Faculty/department of registration of the master students and belongings of the main supervisor.

Year	Number of master students	
	Registered	Supervisor
Dept of women and gender studies	15	2
EASLIS	2	1
Computing and IT	6	3
Fac Agriculture	1	1
Art/Mass Comm	2	2
Fac Medicine	1	1
Dept Biochem, Fac Sci	1	
Fac Econ Management	1	1
Dept Math		1
Fac Vet		1
Inst Psychol		1
Obstetrics and Gynecology		1
Dept Zoology		1
Inst Statistics and Appl Econ		1
Total	29	17

APPENDIX H

Swedish Collaborators and Coordinators

Part 1. Online Survey of Swedish Collaborators: results and analysis

This part presents a survey of Swedish collaborators working with Makerere researchers and PhD-students involved in the Sida-Makerere collaboration. It presents main findings from the survey, the numbers and affiliations of the Swedish collaborators participating in the survey, the questionnaire distributed online in Swedish and translated to English, and the full compilation of the findings from the survey.

Main findings;

- The questionnaire was sent to 64 Swedish collaborators, 58 of whom answered after 10 reminders. Three of those who did not answer had or continue collaboration with the Faculty of Technology; three others worked with the Faculty of Medicine.
- Approximately 35% of those who responded reported having functioned as the primary supervisor of students at Makerere.
- Of the choices among main expectations, respondents rated most highly: increased opportunities for collaboration, increased opportunities for developing own research, and interest in learning about another country and culture. They regarded increased opportunity for their own promotions and more grants to pay their own salaries as the least expected outcomes, and did not assign priority to these when deciding to collaborate. The main expectations from the start of the collaboration on of most of the Swedish respondents have been fulfilled.
- The single most important factor for deciding who should be involved in the collaboration on the Swedish side, was a contact made by another Swedish researcher.
- Most elements have worked “fairly well” or “well” during the collaboration. The Swedish collaborators were most satisfied with: collaboration with Ugandan PhD-students, Swedish supervision, administration of the project in Sweden, and choice of Ugandan supervisors (scored 6.9-7.7 in a scale from 1 to 10, where 10 was the best). The one that worked least well was the administration of the project in Uganda.
- Good scores were generally given to the Ugandan students, although several of the Swedish collaborators pointed out variation among students. Most students were seen to: have capacity to become good researchers, have good attitudes towards their PhD-education, have a good attitudes towards doing research after finalising their PhD, having self-confidence, being engaged in their own studies, and being self-sufficient in their work (scores 7.1-7.6). The working environment in Uganda for the students and the time spent by students on PhD-studies were seen as less optimal for progression of students through their academic programs.

- The Ugandan supervisors were generally seen to have high capacity and good knowledge, and good attitudes towards research collaboration with Swedish supervisors (scores 7.2-7.5). Availability of Ugandan supervisors to the PhD-students and opportunities Ugandan researcher/supervisors to carry out research were reported to less sufficient.
- Many respondents noted they had been insufficiently involved, or involved too briefly, to be able to answer adequately questions about changes at Makerere University. For Swedish collaborators who did answer this question, the main change indicated was increasing competence of Makerere's PhD-students. And, as having been developed "fairly well" were research climate, competence of Ugandan supervisors, understanding of what research is, increase in international research publications, and collaborations (score 6.2-6.8). The administration of research and PhD-education as well as transparency were seen as having been less well developed during the same project period (2000-2008).
- Only few Swedish collaborators answered the questions concerning development of the financial systems at Makerere, several saying the topic was difficult and that they knew too little. Those who did answer did not indicate knowledge of a strong development of the financial system.
- The Swedish collaborators found Sida's most important contributions to the program to be: creating contacts between Sweden and Uganda, developing the research in Uganda, and building research capacity in Uganda (scores 7.4-7.7). They found the least important contributions from Sida to be: encouraging innovations and eradicating poverty (scores 5.3). Also, most Swedish collaborators saw Sida's role to be important in: creating contacts between Sweden and other countries, developing research in developing countries, building research capacity in developing countries, and developing the university systems in developing countries (scores 8.4-8.9). The Swedish collaborators saw Sida's role to be much less important as a regulatory body, or as a body for encouraging innovations.
- Only a few of the collaborators had any opinion on financial issues. Those who answered these questions found the follow-up and control methods in the financial parts of the program and the use of Sida's budget according to intentions to be fairly good (scores 6.6). Management Information System and consultations about planning and budgeting were seen as less accurate (scores 4.7-5.5).
- Comments that were given by several of the Swedish collaborators under the further comment points were: more money needed to pay Ugandan supervisors so that they will spend time on supervision instead of other things, stipends needed for PhD-students so that they will do their PhD-work instead of spending time on other things, more money to Swedish collaborators so that they can participate actively in the research, more involvement of the Swedes in the planning and budgeting process, more time for Swedes to engage in all kinds of activities, including more supervision of students, mentoring of Uganda supervisors, more research in Uganda and jointly with Makerere colleagues, more appropriate choice of Ugandan candidates to become PhD-students, development of the KI-MU partnership program, and clearer goals for the programme from Sida. For all

of the mentioned comments given by several of the collaborators, also almost an opposite statement was given by someone else of the collaborators.

Questionnaire sent out to Swedish collaborators

An email was sent out to all Swedish collaborators starting 5 February 2009 containing a link to a questionnaire at the questionnaire generator of SLU. The questionnaire contained the below questions:

Svenska erfarenheter från samarbete med Makerere University

Allmän information om dig

1.1 Namn och titel?:

.....

1.2 Vilket svenskt universitet arbetar du vid?

.....

1.3 Vilket är ditt forskningsområde?

.....

1.4 Vilka enheter vid Makerere har du samarbetat med?

.....

.....

.....

1.5 Under vilken tidsperiod har du samarbetat med Makerere?

.....

.....

.....

1.6 Vilka disputerade forskare har du samarbetat med vid Makerere?

Indikera om erat samarbete framför allt har gällt gemensam handledning av doktorander eller forskningssamarbete

.....

.....

.....

.....

1.7 Vilka doktorander/masters studenter har du handlett vid Makerere?

Ange också för varje student om du varit huvud- eller biträdande handledare samt vilka personer utöver du själv som handlett doktoranden

.....

.....

.....

.....

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.....

.....

Anledning till samarbete

2.1 Vilka var anledningarna att du beslutade dig för att delta som samarbetspart i projektet? Hur viktiga var de olika anledningarna? Skala mellan 1 till 10, där 1 betyder inte alls viktigt och 10 betyder extremt viktigt.

	Inte alls viktigt 1	2	3	4	5	6	7	8	9	Extremt viktigt 10
Ökade möjligheter till samarbete	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Trevligt att lära känna en annan kultur och ett Ev kommentar land	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Roligt att resa	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Möjligheter till fler publikationer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ökade möjligheter till befordran	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Mer anslag till egen lön	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utvecklande för egen forskning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

2.2 I hur hög grad har de olika anledningarna för att du deltog uppfyllts under projektets gång? Skala mellan 1 till 10, där 1 betyder inte alls och 10 betyder extremt väl.

	Inte alls 1	2	3	4	5	6	7	8	9	Extremt väl 10
Ökade möjligheter till samarbete	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Trevligt att lära känna en annan kultur och ett annat land	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Roligt att resa	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Möjligheter till fler publikationer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ökade möjligheter till befordran	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Mer anslag till egen lön	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utvecklande för egen forskning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

2.3 I hur hög grad medverkade de olika faktorerna nedan till att du kom med som samarbetspart i projektet? Skala mellan 1 till 10, där 1 betyder inte alls och 10 betyder extremt mycket.

	Inte alls										Extremt mycket
	1	2	3	4	5	6	7	8	9	10	
Tidigare kontakter på Makerere	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kontakter på Sida	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Sökte själv aktivt kontakt med Makerere	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Sökte själv aktivt samarbete i tredje världen	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Blev tillfrågad av Makerere	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Blev tillfrågad av Sida	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kontaktades av annan forskare i Sverige	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar											

Karaktär på samarbetet

3.1 I hur hög grad tycker du nedanstående har fungerat under samarbetet? Skala mellan 1 till 10, där 1 betyder inte alls bra och 10 betyder extremt bra.

	Inte alls bra										Extremt bra
	1	2	3	4	5	6	7	8	9	10	
Samarbetet med Ug samarbetspart	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Samarbetet med Ug doktorander	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ugandisk handledning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Svensk handledning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administrationen runt projektet i Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administrationen runt projektet i Sverige	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Sidas roll i projektet	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Urval av Svenska samarbetspartners	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Urval av Ug samarbetspartners	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Rekryteringen av Ug doktoranderna	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar											

3.2 Vad är din uppfattning om de doktorander du handlett, beträffande nedanstående? Skala mellan 1 till 10, där 1 betyder inte alls bra och 10 betyder extremt bra.

	Inte alls bra 1	2	3	4	5	6	7	8	9	Extremt bra 10
Kapacitet att bli duktiga forskare	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attityd till att forskarstudera	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attityd till forskning efter avslutad PhD	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Tro på sig själv	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Engagemang i sina forskarstudier	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Möjligheter de givits att bedriva forskarstudier	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kan arbeta självständigt	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Tid nedlagd på forskarstudier	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

3.3 Vad är din uppfattning om de forskare/handledare du samarbetat med, beträffande nedanstående? Skala mellan 1 till 10, där 1 betyder inte alls bra och 10 betyder extremt bra.

	Inte alls bra 1	2	3	4	5	6	7	8	9	Extremt bra 10
Kapacitet	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kunskap	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Inställning till handledning av sina doktorander	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Tillgänglighet för doktoranderna	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Inställning till forskningssamarbete med svenska samarbetspartners	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Tillgänglighet för svenska samarbetspartners	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Möjligheter de givits att bedriva forskning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

Utveckling av Makerere

4.1 Vilket av nedanstående tycker du har utvecklats på Makerere under den tid du varit inblandad i projektet? Skala mellan 1 till 10, där 1 betyder inte alls och 10 betyder extremt mycket.

	Inte alls	1	2	3	4	5	6	7	8	9	Extremt mycket
		1	2	3	4	5	6	7	8	9	10
Forskningsklimatet hos samarbetsinstitutionen	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kompetensen hos doktoranderna	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Kompetensen hos handledarna	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Förståelsen av vad forskning är	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Miljöer där forskning kan bedrivas	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administrationen av forskning och forskarutbildning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Transperensen	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Internationella forskningssamarbeten	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Genomströmningen av doktorander	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Internationell publicering	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar											

4.2 Hur har de ekonomiska systemen utvecklats på Makerere under den tid du varit inblandad i projektet gällande följande? Skala mellan 1 till 10, där 1 betyder inte alls bra och 10 betyder extremt bra.

	Inte alls bra	1	2	3	4	5	6	7	8	9	Extremt bra
		1	2	3	4	5	6	7	8	9	10
Aktivitetsplanering	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Budgetering av kostnader för årets verksamhet	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ekonomisk uppföljning av kostnader	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Omallokeringar	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar											

Sidas bidrag till samarbetet

5.1 Vad är din uppfattning om vad Sida bidragit med under projektet, gällande följande? Skala mellan 1 till 10, där 1 betyder inte alls bra och 10 betyder extremt bra.

	Inte alls bra 1	2	3	4	5	6	7	8	9	Extremt bra 10
Kontaktskapare mellan Sverige och Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Forskningsutveckling i Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Forskningsutveckling i Sverige	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Styrande genom sitt regelverk	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Uppbyggnad av Ug forskningskapacitet	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utveckling av Ug universitetssystem	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Uppbyggnad av forskningsmiljöer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Innovationer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Fattigdomsbekämpning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Ev kommentar

.....

5.2 På vilket sätt tycker du det är viktigt att Sida bidrar framöver inom program liknande detta? Skala mellan 1 till 10, där 1 betyder inte alls och 10 betyder extremt mycket.

	Inte alls									Extremt mycket
	1	2	3	4	5	6	7	8	9	10
Kontaktskapare mellan Sverige och andra länder	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Uppbyggnad av forskning i utvecklingsländer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utveckling av forskning i Sverige	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Styrande genom sitt regelverk	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Uppbyggnad av forskningskapacitet i utvecklingsländer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utveckling av universitetssystem i utvecklingsländer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Innovationer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ekonomiska och administrativa system och företagsledningsutveckling	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Fattigdomsbekämpning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

Ekonomiska frågor

6.1 Hur tycker du nedanstående har fungerat? Skala mellan 1 till 10, där 1 betyder inte alls och 10 betyder extremt väl.

	Inte alls									Extremt väl
	1	2	3	4	5	6	7	8	9	10
Projektets uppföljnings- och kontrollmetoder avseende ekonomidelen	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Diskussion av aktivitetsplaner med svenska koordinatörer	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Samråd av planering och budgetering	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Utveckling av projektet (forskning och ekonomiskt) enligt avtalets planering	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Användning av Sida budgeten enligt avtalets intentioner	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Budgetarnas uppbyggnad i relation till verksamhets- och aktivitetsplaner	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Diskussion av aktivitetsavikelser	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Uppbackning till enheterna från SGS och Sida vad gäller ekonomiska frågor	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Information om ekonomisk utveckling i projektet	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Management Information System (MIS)	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ev kommentar										

.....

Genombrott

7.1 Har det forskningssamarbete som du varit inblandad i lett till några substantiella genombrott som kan leda till väsentlig fattigdomsbekämpning i Uganda, till viktiga innovationer för näringslivet och/eller substantiell utveckling av landet?

Ja ☐

Nej ☐

7.2 Om du svarade jag på föregående fråga, kan du då ge något/några exempel?

.....

.....

.....

.....

.....

Övrigt

8.1 Har du några konkreta förslag på hur ett program som detta skulle kunna förändras för att bli bättre i framtiden?

.....

.....

.....

.....

.....

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.....

.....

8.2 Finns det något ytterligare som du skulle vilja tillföra och som kan vara viktigt för oss att veta?

.....

Translated questionnaire

In order to be able to present the content of the questionnaire, the questionnaire was also translated to English as below;

Swedish experiences: collaboration with Makerere University

Basic information

1.1 Name and title?

.....

1.2 At which Swedish University do you work?

.....

1.3 Which is your research area?

.....

1.4 With which units at Makerere have you been collaborating?

.....

1.5 During what time period(s) have you been collaborating with Makerere?

.....
 ...

1.6 Please list the names of researchers holding a PhD's with whom have you been collaborating at Makerere?.....

1.7 Please list the names of PhD students whom you have supervised at Makerere: [For each student, please also note the names of any co-supervisor(s), in Uganda, Sweden, or both.]

Reason for collaboration

2.1 for what reasons did you decided to participate in the collaboration? How important were the different reasons? Please mark below: In the 1-10 scale below, 1 means not at all important;10 means extremely important.

	Not at all important 1	2	3	4	5	6	7	8	9	Extremely important 10
Increased opportunities to collaborate	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Interested to learn about another country and another culture	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Nice to travel	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Opportunities to increase the number of publications	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Increased opportunities for promotion	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
More grants to pay own salary	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Increased opportunities for development of own research	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

2.2 To what degree have the different reasons for deciding to participate been fulfilled during the project? Scale between 1 and 10, 1 means not at all and 10 means extremely well.

	Not at all	1	2	3	4	5	6	7	8	9	Extremely well
		1	2	3	4	5	6	7	8	9	10
Increased opportunities to collaborate	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Interested to learn to know another country and another culture	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Nice to travel	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Opportunities to increase the number of publications	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Increased opportunities for promotion	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
More grants to pay own salary	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Increased opportunities for development of own research	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other											

2.3 To what extent did the different factors mentioned below influence you to become a collaborator in the project? Scale between 1 and 10, 1 means not at all and 10 means much.

	Not at all	1	2	3	4	5	6	7	8	9	Much
		1	2	3	4	5	6	7	8	9	10
Earlier contacts at Makerere	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Contacts at Sida	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
You sought contact at Makerere on your own	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
You sought contact In third world countries	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
You were asked by Makerere	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
You were asked by Sida	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
You were contacted by another researcher in Sweden	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other											

Character of the collaboration

3.1 During the collaboration ,to what extent do you think that each of the following elements has been working? Scale between 1 and 10, 1 means not at all and 10 means extremely well.

	Not at all 1	2	3	4	5	6	7	8	9	Extremely well 10
Collaboration with Ug counterpart(s)	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Collaboration with Ug PhD-students	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Ugandan supervision	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Swedish supervision	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administration of the project in Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administration of the project in Sweden	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Sidas role in the project	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Choice of Swedish collaborators	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Choice of Ug collaborators	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Recruitment of Ug PhD-students	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

3.2 In relation to the statements below, what is your opinion of the PhD-students you have been supervising? Scale between 1 and 10, 1 means not at all good and 10 means extremely good.

	Not at all good 1	2	3	4	5	6	7	8	9	Extremely good 10
Capacity to become good researchers	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attitude towards their PhD-education	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attitude towards doing research after										

finalising PhD	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Self confidence	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Engagement in their own PhD-education	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Opportunities to carry out PhD-education	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Time spent on PhD-education	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

3.3 In relation to below statements, what is your opinion about the researchers/supervisors you have been supervising? Scale between 1 and 10, 1 means not at all good and 10 means extremely good.

	Not at all good 1	2	3	4	5	6	7	8	9	Extremely good 10
Capacity	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Knowledge	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attitude towards supervision	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Availability for PhD-students	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Attitude towards research collaboration with Swedish supervisors	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Availability for Swedish collaborators	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Opportunity to carry out research	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

Development of Makerere

4.1 Which of the items below do you think have developed at Makerere during the time the project has been going on? Scale between 1 and 10, 1 means not at all and 10 means much.

Not at all 1	2	3	4	5	6	7	8	9	Much 10

Research climate at the collaborating unit	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Competence of the PhD-students	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Competence of the Ug supervisors	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Understanding of what research is	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Environments where research can be conducted	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Administration of research and PhD-education	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Transparency	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
The financial systems	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
International research collaborations	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Time until graduation of PhD-students	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
International publication	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

4.2 Concerning the following, how has the financial systems developed during the time you have been involved in the project? Scale between 1 and 10, 1 means not at all and 10 means much.

	Not at all									Much
	1	2	3	4	5	6	7	8	9	10

Activity planning	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Budgeting of costs for the annual activities	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Financial follow-ups of costs	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Re-allocation	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

Sidas contribution to the collaboration

5.1 Concerning the following, what is your opinion about the contribution from Sida during the project to? Scale between 1 and 10, 1 means not at all good and 10 means extremely good.

	Not at good 1	2	3	4	5	6	7	8	9	Extremely good 10
Creating contacts between Sweden and Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Developing research in Uganda	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Developing research in Sweden	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Governing through its regulations	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Building Ug research capacity	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Developing a Ug university system	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Building of research environments	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Encouraging innovations	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Eradicating poverty	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

5.2 In what way do you think it is important that Sida contribute to programs similar to the one in Uganda? Scale between 1 and 10, 1 means not at all and 10 means very much.

	Not at all 1	2	3	4	5	6	7	8	9	Very much 10
Creating contact between Sweden and other countries	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Building research capacity in developing countries	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Developing of research in Sweden	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Governing through its regulations	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Building research capacity in developing countries	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Developing university systems in developing countries	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Innovations	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Eradicating poverty	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

Financial issues

6.1 How do you think that the below has worked? Scale between 1 and 10, 1 means not at all and 10 means very much.

	Not at all 1	2	3	4	5	6	7	8	9	Very much 10
The follow-up and control methods for the financial part of the program	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Discussions about activity plans with Swedish coordinators	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Consultations about planning and budgeting	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Development of the project according to The intentions in the agreement	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Built-up of budgets in relation to activities and plans	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Discussions about changes of activities	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Back-up to the units from SGS and Sida in relation to financial issues	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Information about financial development in the project	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Management Information System (MIS)	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other										

Break-through

7.1 Has the research collaboration with Makerere, in which you have been involved, led to any substantial break-through that could contribute to poverty eradication in Uganda, to important innovations for the industry in Uganda and/or, to substantial development of the society?

Yes ☐

No ☐

7.2 If yes on the previous question, please give some examples below.

.....

.....

.....

.....

.....

Other

8.1 Have you any specific suggestions about how a program like this one could be improved for the future? Please specify the changes you suggest and note how each would improve the program for the future.

.....

.....

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.....

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.....

.....

8.2 Is there anything else that you would like to mention that could be of importance for evaluating or improving the program?

.....

.....

.....

Submission of questionnaire to Swedish collaborators

A link to the questionnaire was submitted to Swedish collaborators the 5-6 February. Thereafter 10 reminders were sent out, the last one 13 March. Name of Swedish collaborators, their email addresses, date of submission of link and date of received answer on the questionnaire is given below.

Table 1. Names and email addresses of Swedish collaborators, date of submission of link to questionnaire and date of receiving the answer.

Sent to		Date	Answer received
Name	Email		
Dick Urban Vestbro	dickurba@infra.kth.se	5/2	16/2
Inga-Britt Werner	ingabritt@infra.kth.se	5/2	13/2
Björn Birgisson	bjorn.birgisson@byv.kth.se	5/2	11/3
Ulf Isacsson	ulf.isacsson@byv.kth.se	5/2	2/3
Kurt Psilander	kurt.psilander@infra.kth.se	5/2	6/2
Rolf Johansson	rolfj@infra.kth.se	5/2	2/3
Örjan Svane	svane@infra.kth.se	5/2	6/2
Roger Thunvik	roger@kth.se	5/2	27/2
Per-Erik Jansson	pej@kth.se	5/2	13/2
Elzbieta Plaza	elap@kth.se	5/2	
Allan Rhode	allan.rhode@hyd.uu.se	5/2	14/2
Håkan Jönsson	hakan.jonsson@bt.slu.se	5/2	6/3
Björn Vinnerås	bjorn.vinneras@bt.slu.se	5/2	15/2
Stefan Jonsson	Stefan@mse.kth.se	5/2	7/2
Ragnhild Aune	aune@kth.se	5/2	
Torsten Fransson	fransson@energy.kth.se	5/2	25/2
Andrew Martin	andrew.martin@energy.kth.se	5/2	1/3
Lennart Söder	lennart.soder@ets.kth.se	5/2	19/2
Björn Kjellström	bjorn@kjellstrom.se	5/2	6/2
Mikael Amelin	mikael.amelin@ets.kth.se	5/2	6/2
Lena Trojer	lena.trojer@bth.se	5/2	15/2
Gerhard Bax	Gerhard.bax@geo.uu.se	5/2	6/2
Bengt Hansson	bengt.hansson@bekon.lth.se	6/2	
Anna Ehnvall	anna.ehnvall@lthalland.se	6/2	27/2
Anna Mia Ekström	Anna.Mia.Ekstrom@phs.ki.se	6/2	16/3
Asli Kulane	asli.kulane@ki.se	6/2	27/2
Cecilia Stalsby Lundborg	Cecilia.Stalsby.Lundborg@ki.se	6/2	27/2

Eija Airaksinen	Eija.Airaksinen@ki.se	6/2	28/2
Eleni Aklillu	Eleni.Aklillu@ki.se	6/2	2/3
Elisabete Weiderpass	Vainio Elisabete.Weiderpass.Vainio@ki.se	6/2	6/2
Elisabeth Faxelid	Elisabeth.faxelid@phs.ki.se	6/2	15/2
Göte Swedberg	Gote.Swedberg@imbim.uu.se	6/2	27/2
Gunilla Kallenius	Gunilla.Kallenius@smi.ki.se	6/2	7/2
Göran Tomson	Goran.Tomson@phs.ki.se	6/2	20/3
Hans Ågren	hans.agren@neurotec.ki.se	6/2	27/2
Lars Gustafsson	Lars-L.Gustafsson@labtek.ki.se	6/2	19/2
Mats Wahlgren	Mats.Wahlgren@mtc.ki.se	6/2	6/2
Max Petzold	max@nhv.se	6/2	7/2
Melles Haile	melles.haile@smi.ki.se	6/2	9/2
Olof Beck	olof.beck@karolinska.se	6/2	14/2
Peter Allebeck	Peter.Allebeck@ki.se	6/2	6/2
Sarah Wamala	Sarah.Wamala@ki.se	6/2	
Solvig Ekblad	solvig.ekblad@mah.se	6/2	
Stefan Peterson	Stefan.peterson@phs.ki.se	6/2	26/2
Sven Hoffner	Sven.hoffner@smi.ki.se	6/2	13/2
Tuija Koivula	Tuija.Koivula@smi.ki.se	6/2	2/3
Urban Hellgren	urban.hellgren@karolinska.se	6/2	
Vinod Diwan	Vinod.Diwan@phs.ki.se	6/2	19/2
Margareta Espling	Margareta.Espling@geography.gu.se	6/2	26/2
Staffan Höjer	staffan.hojer@socwork.gu.se	6/2	22/2
Bertil Egerö	bertil.egero@soc.lu.se	6/2	6/3
Anders Nilsson	anders.nilsson@vxu.se	6/2	25/2
Barbara Ekbom	Barbara.Ekbom@ekol.slu.se	6/2	8/2
Inger Ledin	Inger.Ledin@huv.slu.se	6/2	19/2
Lars Drake	Lars.Drake@kemi.se	6/2	26/2
Eva Sprondly	Eva.Sprondly@huv.slu.se	6/2	20/2
Erasmus Ottabong	Erasmus.Ottabong@mv.slu.se	6/2	9/2
Stig Ledin	Stig.Ledin@mv.slu.se	6/2	18/2
Abraham Joel	Abraham.Joel@mark.slu.se	6/2	26/2
Stig Arne Nohrstedt	stig_arne.nohrstedt@oru.se	6/2	8/2
Richard Wait	richard.wait@isp.uu.se	6/2	3/3
Pille Lindqvist	pille.lindkvist@ki.se	6/2	20/2
Annika Johansson	Annika.Johansson@ki.se	6/2	25/2
Petter Pilesjö	Petter.pilesjo@gis.lu.se	6/2	25/2

Results of the survey

The questionnaire was sent to 64 Swedish collaborators over two days, 5-6 February 2009. After 10 reminders, 58 answered by 20 March 2009. Of those who answered, 18 were from Karolinska Institute, 15 from KTH, 10 from SLU, 4 from Uppsala University, 4 from Gothenburg University, 2 from Lund University, and one each from Luleå Technical University, Örebro University, and Blekinge Technical University. Two

mentioned that they are now retired. Of those who did not answer, 3 are or had been collaborating with the Faculty of Technology Makerere (2 from KTH and one from Lund University) and 3 had been collaborating with the Faculty of Medicine at Makerere (2 from Karolinska Institute and one from Malmö University). Table 2 indicates the units with which each Swedish collaborator said s/he had been affiliated for some period during 2000-2008. Table 2 also indicates the year during which the collaboration began and clearly shows that new collaborators were brought on board for the second phase, starting 2004-2005. The numbers in Table 2 concerning the type of the collaboration do not give a clear picture of the nature of the collaboration since that was not clearly asked for. However, the majority of collaborators who answered the questionnaire stated whether the collaboration was mainly for supervision or if collaboration to conduct research was also involved. Therefore numbers in table 2 show that there is a difference in how the collaboration is perceived among collaborators at different units. Those collaborating with Faculties of Technology and Social Sciences see themselves as participating primarily in supervision, in contrast to those collaborating with other units. *Among those who indicated that they participated as supervisors, a relatively high number listed themselves as the main supervisors.*

Table 2. Background data given by respondents.

Number	Collaborated with Type of supervision	Number	Year start of collaboration	Faculty	Type of collaboration		Number
					res collaboration	supervision	
20	Fac Technology general sup	1	1999	Technol	16	16	19
18	Fac Medicine main sup	7	2000	Medicine	17	10	21
6	Fac Agric assist sup	9	2001	Agric	10	3	12
5	Fac Soc Science none	4	2002	SS	2	11	5
3	Public Health	4	2003	PH	5	2	
1	DSS	11	2004	Mass	2		
1	Mass Comm	8	2005				
1	Dicts, Libr	8	2006				
		3	2007				
		1	2008				

Table 3. Reasons for participation in the collaboration with Makerere. Numbers are mean values of those given to value expected and fulfilled reasons for participation (scale 1-10). N=50-56 for each of the sub-alternatives.

Sub-alternative	Expected	Fulfilled

Increased opportunities to collaborate	7.63a	7.17a
Interested to learn about another country and culture	6.48b	7.11a
Fun to travel	4.24cd	4.52bc
Opportunities to increase the number of publications	5.11c	5.13b
Increased opportunities for promotion	3.35d	3.14d
More grants to pay own salary	3.53d	3.67cd
Increased opportunities to develop own research	7.44a	6.77a

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

Contribute with new technique, exciting to supervise, want to help the people of Uganda, part of the internationalisation work at our University, want to work in developing countries, opportunities to develop my research in Africa, there is a need to do this, have been working with developing questions for many years.

Have been fulfilled more than expected, problem that the publications generated are not of value for me in my search for own money, developed supervisory skills, like to work with PhD-students, want to make a successful project but problematic with Ugandan organisation, research between senior researchers has not been fulfilled, alternatives not relevant – want to do a good job, the usefulness of the collaboration has not been as good as it could be due to limitations in the application and other procedures, research management and administration around the collaboration needs to be developed.

Table 4. Factors influencing the decision to become a collaborator. Numbers are mean values of those given to value the influence (scale 1-10). N=46-53 for each of the sub-alternatives.

Sub-alternative	Mean
Earlier contacts at Makerere	2.94cd
Contacts and knowing persons at Sida	3.22cd
Sought contact at Makerere on your own	2.00d

Sought contact in third world countries	3.87bc
Asked by Makerere	4.80b
Asked by Sida	3.18cd
Contacted by another researcher in Sweden	7.60a

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

The project was handled by my professor and the PhD-students were around, my professor asked me if I wanted to go, desire from the Makerere part, contacts with my professor, my department was contacted, long-time collaboration in Sweden with other collaborator, asked by previous collaborator, asked by coordinator, asked by our dean, was looking for someone with my profile, many other collaborations since 1990.

Table 5. Elements have worked well during the collaboration. Numbers are mean values of those given to value the elements (scale 1-10). N=45-56 for each of the sub-alternatives.

Sub-alternative	Mean
Collaboration with the Ugandan counterpart(s)	6.61c
Collaboration with the Ugandan PhD-students	7.66a
Ugandan supervision	5.11d
Swedish supervision	7.49ab
Administration of the project in Uganda	5.54d
Administration of the project in Sweden	7.31abc
Sida's role in the project	6.49c
Choice of Swedish collaborators	6.76bc
Choice of Ugandan collaborators	6.91abc
Recruitment of Ugandan PhD-students	6.53c

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

Difficult to answer, the PhD-student has a lot of teaching and a family with small children, Makerere mostly interested in the students take care of the teaching, knowledge of Makerere supervisors are low, PhD-students used to be teachers did not work – MSc worked better, everything works very well – good PhD-students and good supervisors, degree in Sweden very important – student wanted that and important for supervisors as it gives money to them, important with Stefan Peterson in Uganda, PhD exchange was planned but the recruitment did not work well, administration in Uganda not good, aim of Sida with the project is not clear – no time for supervision at the Ugandan side – therefore Swedish side supervises Ugandan PhD-students when they are in Sweden and then the whole education takes very long time, exchange of responsible person at Sida all the time is not good and Ugandan part does not understand the need of planning about financial issues, time limits and schedules have changed all the time, there is a must to improve the administration at Makerere, the choice of PhD-students in Phase 1 was not good - improved in Phase 2, supervision difficult – Ugandan supervisor overloaded with work and Swedish far away, have not been involved in many of these issues so I cannot answer, old and not interested PhD-students at Makerere, internal fights at Makerere and sometimes in Sweden, Swedish side is not a true partner but a delivering unit – thereby the Swedish side is not fairly involved in the application procedure and choice of PhD-candidates – thus we are not building on eight years of experiences but on student created disparate projects not connected to supervisory capacity in Sweden and often not in Uganda either, the Ugandan collaborator is often weak thereby leaving all the supervision to the Swedish part, have joined an ongoing project, far away supervision is difficult, Phase 2 better than Phase 1, the standard of the PhD-students varies a lot.

Table 6a. Opinions about the Ugandan PhD-students. Numbers are mean values of those given to value statements about the PhD-students (scale 1-10). N=42-53 for each of the sub-alternatives.

Sub-alternative	Mean
Capacity to become good researchers	7.43a
Attitude towards their PhD-education	7.21a
Attitudes towards doing research after finalising PhD	7.40a
Self-confidence	7.58a

Engagement in own PhD-education	7.13a
Opportunities to carry out own PhD-education	5.73b
Able to work self-sufficient	7.17a
Time spent on PhD-education	5.82b

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

The standard of the PhD-students and in relation to the statements vary a great deal and makes it difficult to take a certain level, PhD-students do not do very much of their PhD-work in Uganda since they are not paid and have to take care of all their other duties, difficult to do research without proper facilities, Ugandan PhD-students better than Swedish, Have seen from very good to very bad PhD-students, choice procedure of PhD-students is not good, the agreement is not followed – who should be the police?, the students get far too little supervision in Uganda.

Table 6b. Opinions about Ugandan researchers/supervisors. Numbers are mean values of those given to value statements about researchers/supervisors (scale 1-10). N=44-51 for each of the sub-alternatives.

Sub-alternative	Mean
Capacity	7.47a
Knowledge	7.25ab
Attitudes towards supervision	6.34bcd
Availability for PhD-students	5.80cd
Attitude towards research collaboration with Swedish supervisors	7.20ab
Availability for Swedish collaborators	6.67abc
Opportunity to carry out research	5.50d

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

Ugandan supervisors do not have time, Swedish side has done more than its part, Quality of Ugandan supervisors varies, Ugandan supervisor good, one Ugandan supervisor was sick for a long period and no one could take over, Ugandan supervisors do not have opportunities to do own research, how does Sida evaluate if we are helping Ugandan supervisors to become better supervisors?, Ugandan senior researchers should have to participate in a course to learn more research management – the Swedes could be mentors in such a course, senior researcher are sometimes occupied with own research so they do not have time with PhD-students, Ugandan supervisors have to take care of administration and teaching and also have to try to get extra money on consulting etc, difficult and heave visa applications delay Swedish visits by the Ugandans, Good Ugandan supervisors are not given enough gratitude for their work if they do it well.

Table 7. Development at Makerere. Numbers are mean values of those given to value development at Makerere (scale 1-10). N=35-44 for each of the sub-alternatives.

Sub-alternative	Mean
Research climate at the collaborating unit	6.42abc
Competences of the PhD-students	7.20a
Competence of the Ugandan supervisors	6.40abc
Understanding of what research is	6.81ab
Environments where research can be conducted	5.85cde
Administration of research and PhD-education	5.21de
Transparency	5.00e
International research collaborations	6.66abc
Time until graduation of PhD-students	6.03bcd
International publications	6.55abc

Numbers followed by the same letter do not differ significantly (LSD0.05).

Types of comments:

Do not have the overview so I cannot answer, Some parts were already present at the start as understanding of what research is and administration of PhD-education, it is really difficult and everything takes an enormous amount of time at Makerere, research has developed but not administration and transparency, PhD-students learn a lot in Sweden, the approval and acceptance procedure in Uganda is really bad, too much interest in what shall be done instead of doing it, the understanding at Sida about the huge amount of work the Swedish side put in is not good enough, do not know enough about this (plenty of comments), problems with registration of PhD-students have been solved but on procurements and finance administration is there a lot more to do and also research capacity has not increased and the connections to SGS is not successful.

Table 8. Opinions about the financial systems at Makerere. Numbers are mean values of those given to value statements about financial issues (scale 1-10). N=31-35 for each of the sub-alternatives.

Sub-alternative	Mean
Activity planning	5.34a
Budgeting of costs for annual activities	5.41a
Financial follow-ups of costs	5.13a
Re-allocations	5.12a

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

The only thing I know is that they have not been able to use money in time at Makerere, my collaborator is really good here, I have not met any problems here, I do not know anything about this (several comments), finances are working well and re-allocation has worked satisfactorily, very little change in these areas, much has changed in these areas.

Table 9a. Opinions about contributions from Sida. Numbers are mean values of those given to value statements about Sida contributions (scale 1-10). N=34-48 for each of the sub-alternatives.

Sub-alternative	Mean
Creating contacts between Sweden and Uganda	7.65a
Developing research in Uganda	7.44a
Developing research in Sweden	5.71cd
Regulating through its regulation system	5.89bcd
Building Ugandan research capacity	7.63a
Developing a Ugandan university system	6.39bc
Building of research environments	6.76ab
Encouraging innovations	5.32d
Eradicating poverty	5.33d

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

Sida's governance is too weak, Sidas governance is hindering stipends to Ugandan PhD-students and this hinders success of their PhD-education, can not answer, Sida has done a very good job, Sida is hindered through government decisions, poverty eradication is difficult as then we have to change the politics, difficult to answer the questions, have not seen Sida at all during this collaboration, good idea of Sida to let us learn to know Ugandan collaborators before the start of the program, many of the projects valuable for poverty eradication, poverty eradication is short thinking when Ugandans get their salaries from Sweden, the educated PhDs in the project might be better researchers in the future, Swedish collaborators should be more listened to by Sida, Iganga-Mayuge site was an innovation, Sida regulations reminds of new colonialism, difficult to answer – who is Sweden – who is Uganda – poverty eradication has not been an issue in the present project, research developments through build-up of infrastructures can be seen – but quality and continuity are not seen – mostly student-driven project concepts, Sida's support to research is important – although the program structure does not allow research on the Swedish side, I do not understand the question about poverty eradication – the project is about building research capacity, what do you mean with the answering alternatives?, poverty eradication is very difficult.

Table 9b. Opinions about future contributions from Sida. Numbers are mean values of those given to value statements about Sida future contributions to programme like this (scale 1-10). N=42-54 for each of the subalternatives.

Sub-alternative	Mean
Creating contacts between Sweden and other countries	8.42a
Developing research in developing countries	8.94a
Developing research in Sweden	7.26bc
Regulating through its regulation system	6.19d
Building research capacity in developing countries	8.93a
Developing university systems in developing countries	8.42a
Encouraging innovations	6.20d
Building financial and administrative systems and management systems	6.52cd
Eradicating poverty	7.43b

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments:

Very important – a well educated elite is perhaps what can have the highest degree influence the lack of democratic rules and regulations, I am missing the question about equality between gender – that is not pointed out in the program either, what is the difference between research and research capacity, research is extremely important in order to build societies, for poverty eradication with research – the knowledge must be possible to use – this is missing in the Sida program, Sida has done a good job for built-up of research and research capacity – now important the we do not export the full Swedish system to Uganda, increased knowledge increase opportunities for positive development and science leads more often in the right than in the wrong direction, more governance is needed – set the goals and out-comes of the project and the methods to reach the goals and then evaluate of the goals are reached, Sida should aim at long-term collaborations through joint degrees, courses, post-docs etc, - and Swedish PhD-students should be connected to the projects together with long-term support to specific departments, I am hesitating wether research is the best way of

support but it is not wrong either, this collaboration is good as it is on equal part for the collaborating departments and with joint degrees.

Table 10. Opinions about financial issues. Numbers are mean values of those given to value statements about financial issues (scale 1-10). N=28-45 for each of the sub-alternatives.

Sub-alternative	Mean
The follow-up and control methods for the financial part of the program	6.57a
Discussions about activity plans with Swedish coordinators	6.04ab
Consultations about planning and budgeting	5.54bc
Development of the project according to the agreement plan	6.22ab
Use of Sida's budget according to the intentions in the agreement	6.64a
Built-up of budgets in relation to activities and plans	5.93ab
Discussions about changes of activities	5.92ab
Back-up to the units from SGS and Sida in relation to financial issues	6.00ab
Information about financial development in the project	5.91ab
Management Information System (MIS)	4.75c

Numbers followed by the same letter do not differ significantly (LSD0.05).

Type of comments;

Financial issues have not been problems, too much reporting and evaluations too often, cannot answer (many comments), what is MIS?, what is SGS?, have not been involved in financial issues (many comments), this is the Achilles heel of the project – the centralised approaches tested by SGS do not work, Swedish collaborators not involved in budget planning, the financial follow-up is a catastrophe – I am too tired of it to comment on it again, the funding to the Swedish faculty is too low.

Break-throughs from the project

Question number 7 on the questionnaire dealt with if there had been any break-through in the project (innovations, poverty eradications, policies or substantially for the country). 50% of the Swedish coordinators answered yes and 50% no on this question.

Examples of break-through given were:

- Experts at Makerere on degassing of biomasses that are used by the industry
- Standardising room digital data that is now used by the mining industry
- Mapping of HPV types in Uganda, useful for further vaccination
- Have visualised psychological illness as an important problem
- Opportunities to extract and export charcoal of unique quality
- Increased knowledge about epidemiology of tuberculosis
- Improved soil and awareness of crop protection measures
- Knowledge and techniques for defence against resistant tuberculosis
- Opportunities to develop crop systems for biofuel and improved water treatment
- Opportunities for improved malaria treatment
- IT implementation in rural secondary schools
- Knowledge about treatment of waste and take away of dangerous substances so that the waste can be used as fertilisers
- Renovation of rural settlements that can be used in planning processes
- Building of electric power in a durable way
- Change of malaria medicine doses
- Use of Iganga-Mayuge by other researchers as an epidemiological frame
- Created knowledge around waste problems and visualised it
- Safe water etc that will lead to changes in policy
- Abortions as one main reason for early death of women
- Improved system for waste treatment and use
- Community based treatment for malaria and pneumonia –policy change
- Knowledge about influences of changed policies
- Organisation of taking care of displaced children in North Uganda
- Increased knowledge about the physical infrastructure
- Optimization of HIV and Tuberculosis co-treatment
- Competency for highway engineering – already leading to better roads in Uganda.

Further suggestions

- Sida should check better that the program is working
- Ugandan supervisors must be given time to work as supervisors – Sida should pay them salaries
- PhD-students should be paid when in Uganda – it should not be allowed to use the money for building capacity in Sweden
- Better education of Ugandan supervisors
- More engagement in terms of time and dedication of local partners in Uganda, better administration at Makerere
- The budget for Swedish supervisors is too low

Long-time support is important and that there will be no break
 More younger researchers involved
 Better research and educational net-works should be created
 Start a grants office in Uganda for procurements etc
 The knowledge acquired should be implemented
 The sub-projects should be larger and more coordinated
 Use present knowledge and make a conference in which this is discussed for the best of the future
 Not have too much of detailed governance
 The power of the Ugandan supervisors should be increased
 Educate the Ugandan supervisors so that there will be a change in attitude towards the students
 Create a better partnership program between KI and MU with direct cooperation and financial support
 Increase participation from Swedes in the planning of the program
 Check so that the Swedes participating are the most useful ones and not just the ones that happened to be included
 Define roles for those included
 It is better with few involved, but with bigger programs and more money
 More thematic research in groups
 Divide the money similarly as in other programs
 Take views of Ugandan counterparts seriously
 Include post-docs to establish self-going researchers
 Better choice of Ugandan PHD-students
 Explain to Swedish supervisors what it means to train Ugandan supervisors to supervise PhD-students should be given opportunities to visit other countries than Sweden.
 Ugandan and Swedish supervisors should be given opportunities to apply joint money for research from Sida
 Administrative and bureaucratic systems have to be developed for this collaboration
 The research today often has high relevance but low innovation grade and research quality. The goal must be to have high quality and high relevance.
 Change from building on individuals to capacity building
 Connections between university research and health ministry policies has to be improved

Further comments

PhD-examination should be given by Makerere
 More infrastructure in terms of lab at Makerere is needed
 The media influences on poverty eradication are under estimated
 Scholarships are given primarily to students from the central and western parts of Uganda, this issue should be addressed
 The new PhDs should be involved at Makerere development in the future, this will increase the possibilities for changes
 Why is the process so slow for evaluation of theses at Makerere?

Should be organised an evaluation seminar so that the experiences from the Swedish side could be taken into consideration in a systematic way

Use the money in the project to formalise long-term collaborations and institutional built-up

More flexibility is needed from the Swedish universities to make collaborations more easy, such as half-time seminars at Makerere etc.

Many other countries are involved in collaborations with Makerere and PhD-students are sent elsewhere as well. Sweden is not an attractive collaborator since we do not pay stipends to involved students and supervisors. Because of that, this collaboration tends to be an affair between individuals in Sweden and at Makerere that does not lead to institutional collaboration

Part 2. Swedish Coordinator Interviews, summary and data analysis

Johansson conducted interviews with six Swedish coordinators involved in the Swedish-Ugandan collaboration financed by Sida. All had distinct views, all tried to understand what is of most benefit for Uganda and Makerere, and to judge what is best for Sweden and their own home universities as well as for the specific people involved in the collaboration.

- **Coordinator compensation.** All coordinators reported having been paid sufficiently for the job as coordinator during the second half of the second phase, although all reported of too little payment at the beginning of the program.
- **Swedish involvement in the research.** All coordinators report an overall sense of too little involvement in research on the part of the Swedes. Although too little research involvement is reported by all coordinators about all participants.
- **Coordinator workload.** Most find the coordinator workload to be heavy; most list the time consuming aspects to be administrative, handling of plans, reports, budgets, proposals all paperwork necessary to keep track, including email conversations, and handling of lodging for students.
- **Research capacity.** All coordinators see positive developments in the research environment, particularly in terms of infrastructure: labs, ICT, and library. They see much less gain in capacity to raise research questions, and the number of research seminars. For central administrative issues, most of the coordinators find this has improved quite a bit although there are still many procedures that need a great deal more improvement.
- **PhD students.** Most coordinators see the PhD-students as the best part of the program. Although the quality and engagement of the PhD-students varies, most of the coordinators are generally satisfied with the contacts and work with the PhD-students.
- **Ugandan supervisors.** Most coordinators see the Ugandan supervisors and senior researchers with whom they worked as congenial collaborators and friends, with a lot of knowledge, but as being in a problematic situation with workloads that are too heavy, and many different sorts of duties. When prioritizing their work, supervision is too seldom the highest priority.

- **Supporting supervisors to supervise.** In relation to the slogan “to support the supervisor to supervise”, most coordinators believed that it will not be the current generation of older, supervisors who will bring the main change. These supervisors’ training and cultural experience leads them to perform supervision in the more old fashioned way, although most of them are trying to develop new skills and approaches. Also, supervisors are described as already overcommitted with other duties to be able to emphasize change in supervision. Most Swedish coordinators see the newly trained staff as the promise for the future.
- **Opportunities for future supervisors and senior researchers.** Most of the coordinators pointed to overriding importance of providing the newly trained PhDs opportunities to develop into the future supervisors and senior researchers.
- **Improvement over time.** The general feeling from all the coordinators was that Phase II is working much better than Phase 1.
- **Sida’s role.** Most coordinators see Sida as helpful and useful, although they think the shifts in Sida staff have been somewhat problematic. Most coordinators see Sida as an administrative body, mostly involved in budgeting, planning and evaluation, and in trouble shooting when problems arise. Some coordinators would prefer that the program be more collaborative with more joint planning between Makerere with Swedish Universities, with Sida as a funder; not as a collaborative program between Sida and Makerere. Also, some of the coordinators pointed to the need for more and stricter governance from Sida with regard to rules and regulations.
- **Financial issues.** Swedish coordinators had a quite clear picture of the Swedish side, but most had very little insight about financial issues at Makerere.
- **Planning and Reporting.** Most reported they were usually included late in the process, their suggestions were not taken into consideration, and decisions were taken by Makerere and by Sida without informing Swedish collaborators until after the decision was final. This had the effect of making the collaborators feel they were serving Makerere rather than being truly engaged collaborators. Some coordinators reported that this lack of consultation and inclusion of Swedes in planning and reporting had been problem in the beginning of the program (Phase 1) but improved such that discussions and planning between Swedish and Makerere collaborators is now good. Some collaborators reported good contacts between collaborating units, but breakdown in communications at Makerere centrally, or with Sida, making collaboration and planning problematic.
- **Relation of research to poverty eradication.** All coordinators reported that most of the research in the program is on topics closely related to poverty eradication: poverty, illness, food, shelter, waste, environmental threats, etc. However, they all also reported that little of the research that has reached the society and the industry of Uganda, with some important exceptions
- **Meetings among Swedish collaborators.** Several of the coordinators mentioned the need of Swedish coordinators and/or collaborators to meet more regularly to discuss and learn from each other.

#1

Interview with Margareta Espling, Gothenburg University; coordinating program with Faculty of Social Sciences at Makerere University

1. What experiences did you have of coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you should be coordinator, you, Makerere, Sida or your department/university?
 - Did you collaborate with Makerere before you became coordinator?
 - When and how did you decide to collaborate on research with Swedish counterparts?
 - What were your expectations/hopes at the start? Are they fulfilled?

Margareta Espling had no experience in coordinating Sida or other international programmes before she became a coordinator in the Sida programme. She has been involved as a collaborator in the programme since 2002. From the preparatory phase, it was Anders Närman who coordinated the programme. However, he passed away in November 2004. Margareta's trip to Uganda at that time was planned to be in November and therefore she kept to the original plan and went to Uganda four days after Anders died. At that time Edward Kirumira had become the coordinator and the dean. He asked Margareta if she wanted to take over as the coordinator on the Swedish side. Margareta returned to Sweden, thought the situation over, and decided that it was a good solution for her to become the Swedish coordinator. Thus the suggestion came from Makerere, although Margareta made the final decision to take on this responsibility.

For the Swedish collaborators in social sciences there is almost no participation in research with Ugandan colleagues. The Swedish collaborators work as supervisors with subprogram research groups. If there is to be research collaboration in the future, the Swedes have to find funds for salaries from other sources, since that is not paid by Sida. From the beginning, three researchers were involved as collaborators on the Swedish side. Primarily, the selection of involved collaborators should have been from Gothenburg University as the Swedish coordinator was from that university, and they wanted to keep this within the university. However, no suitable collaborator was found at Gothenburg for the HIV/AIDS part and therefore Bertil Egerö was selected. Social work was included in the second phase. For inclusion of this part, Margareta Espling talked with the Department of Social work at Gothenburg University and two researchers agreed to join. However, after two years only one person continued to be actively involved in the particular sub-programme. Those involved have been guided by the research topics and needs at Makerere, but also one has to find Swedish collaborators who are sufficiently interested. All four collaborators involved at present are interested in development work and are or, have been, active in research and teaching about development issues. From the beginning, there were expectations of active collaboration between the senior researchers in Uganda and Sweden. None was properly informed about the principles of the collaboration. (The coordinator who died had his own idea about how to collaborate, but it did not fit with the amount of funding provided by Sida.) As a summary, the contacts and the collaboration have been filled well and have been positive. The contacts with the PhD-students have been very good.

1. What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

Margareta Espling mainly coordinates financial issues. The others involved have been selected based on areas of knowledge and research. The budget is divided in parts for each sub-programme, and funds are transferred from Makerere the units in the various participating universities in Sweden in lump sums. The funds expended are reported by each Swedish unit to the coordinating accountant and Margareta E. who compiled all into one report. All separate parts of the budgets for each involved person in Sweden are based on the same principles, that depend on the number of PhD students in each sub-programme.

Margareta Espling has continuous contact with the Dean and the gender subprogramme at Makerere, especially when she is in Kampala. Contacts are generally quite close when present on campus but not with everyone all the time. Margareta usually has follow-up meetings with all parts of the programme at Social Science when in Uganda but not continuously when she is not there.

All these aspects of coordination mentioned above generally work well. To have the Dean as coordinator at Makerere is a little bit problematic as he is very busy, but it works well and the Dean is always available for the Swedish collaborators when they are present at Makerere.

1. Are you enough granted from the program to cover the time you spend on the program

- What do you spend time on that you are not paid for
- What is your most heavy load?

In the budget, 10% of Margareta's salary is paid for coordination and that is adequate. The heavy load is the supervision. Each Swedish supervisor is paid 7.5% of a mean salary of SEK 37 000 per month for supervision, plus a small amount for additional programme meetings etc. In the beginning of Phase 2 there was too little money set aside to cover Swedish supervision. But then there was a re-allocation in the middle of Phase 2 that solved the problem. The Swedish side was not involved in the budgeting of Phase 2 and the amount of money received was the residual from what the Ugandans received and thought they needed; thus the budget had to be redone. If the money for supervision is not enough for the Swedish collaborators, that has to be brought up and recalculated. The coordination does not amount to a very heavy load. In the start of Phase 2, all Ugandans were brought to Sweden for a gathering, that created a lot of work for the coordinator, but

the results for all were very fruitful. It would be nice to end Phase 2 in a similar way. Periodically coordination duties are time-consuming, for example when completing reports.

1. How do you see the role of Sida in the collaboration?
 - What did you like, find to be helpful?
 - What did you not like, find not to be helpful
 - Any suggestions/recommendations for changes to improve Sida role/relationship?

Sida has generally been helpful, especially for the re-allocation of the budget during Phase 2. In Phase 2 there was an increase in the number of students from 3 to 9 and only an increase in the budget for the Swedish side of 13%. Also in the first suggestion for Phase 3 there was insufficient money budgeted for the Swedish side to cover the expected contribution. That has now been discussed and improved by reducing the number of Ugandan students. All problems raised have been resolved, and Sida has generally been helpful in this regard. Participating in the Sida-organized meetings is very important. There was also a gathering of the Swedish coordinators in October 2008 organized by Sida that was very useful and opened important channels of communication. Such meetings should take place more often.

1. How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

The only comparison Margareta Espling is able to make is with Rwanda, where she is also involved. In Rwanda they do not have their own PhD programs; instead the students enroll in programs in Sweden. The positive aspect at Makerere is that they do have their own PhD programs, although it takes time to build a system for PhD education that was not there before. In Rwanda, the Swedes have more influence over the process. The students are present in Sweden much of the time and do their work there; thus the PhD education takes shorter time. The way of building capacity with Makerere is good. At Makerere the build-up of research capacity will show effects for the next generation. Detailed discussion of the work of all the PhD students is not carried out consistently at present. Important for future gains in capacity will be involvement as co-supervisors with the new PhD students by those who have been supervised and defended their theses. For the Social Science programme it would be useful for students to spend more time in Sweden, especially during the first part of their study—when students need to write their concept papers and during the last part of their PhD education when they need to write-up and finalise.

1. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

The administrative capacity has improved, e.g. SGS, procurements etc. External funding was present at the faculty prior to the start of the programme and is still present, although systems have been created and made more visible and accountable. The PhD students have improved with the progression of the program. The program has had and will have most effects on the PhD students and not so much for the supervisors, and the students are also the future leaders of the University.

1. What main changes/achievements have the program led to in your opinion?
 - research environment in Uganda?
 - supervisors in Uganda?
 - thesis and students in Uganda
 - Swedish collaborators
 - poverty alleviation
 - innovations
 - Ugandan industry

Along with those who have been in South Africa and UK, the people in this program will be capable of contributing to scientific discussions and research seminars. This program and others has created a changed environment that is more research-based. The supervisors discuss more with each other. These discussions with PhD-students often take place when Margareta is on site at Makerere and the PhD-students often turn to her for help. Margareta then often asks the students if they have discussed the issue with the Ugandan supervisor and advises them to do so.

The biggest change has been with the PhD-students—the ones working in Sweden for periods, in another environment. Still it is difficult to get the PhD students free from other duties to do research, and to use each other as sources in discussions in order to understand daily problems. When they get stuck they could help one another to a greater extent than they have so far. It would be valuable to have more, larger collaborative projects. Theoretical research questions could be one set of issues for discussion.

At Makerere it is now possible to defend a thesis consisting of a numbers of papers and a summary, rather than the tradition thesis of chapters.

The program has not led to substantial changes in poverty alleviation yet, although many of the research questions are socio-economic and related to poverty. In Phase 3 it is important to also evaluate how the research should reach policy impacts. A longer research perspective should have an impact on policies. Also for the Ugandan industry, long-term research might have an impact. Basic needs related to present research questions are agriculture, HIV/AIDS, poverty and illness.

1. How have Swedish and Ugandan collaborators benefited from the collaboration?

The budgets for Ugandan senior researchers are quite adequate, including some funding for their own research. All senior researchers have also done some research, presented and written something as the program has been individually oriented. In relation to

collaboration, it has mainly been through supervision of PhD students and thereby it has been focused around the PhD students.

1. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

This slogan has not been realized to a high extent. The area of the PhD students’ research governs the Swedish collaborators’ involvement. The quantity and quality of effort by Ugandan supervisors differs. A suggestion for the next phase is that groups should be created around research themes. Edward Kirumira is thinking institutionally and tries to build an environment. When more people can come in, then the organization of the program will be better in this way.

1. Describe at a general level, changes that has taken place in the research and research environment and how the research cooperation programme between Sweden and Uganda has contributed to that change.

The program has really contributed to the institutional building. It helps to create an environment even if it takes time to build, at least at the Gender Dept., but also within other departments in Social Sciences. The program links together people driving the process of change. There is money for time, travel and for making contacts. The Swedish supervisors have been with students in the field, which develops the contacts.

1. What are your goals, hopes for the future?

Generally, Margareta Espling is satisfied with how things are developing. The Swedish and Makerere group for social sciences had a meeting for discussion of the coming phase in November. They concluded there is a need for increased inter-disciplinary and work conducted in thematic areas. The idea is to go from a program with one subprogram per department towards three research themes;

- Good governance and conflicts
- Livelihood improvement and services
- Health and emerging diseases

The themes should be more integrated and money should be given to groups. Old PhD students who have not completed will be joined with some new ones and some from other institutes and universities. The Swedes are more integrated in the writing and application process this time. Also, the supervisory function will be strengthened. Now it is important that the Swedish side not become too influential. In the problem formulation process, it would be preferable if both Swedes and Makerere would plan and think more precisely.

1. Have risks and assumptions been assessed (external or internal), e.g. have the risks and assumptions been evaluated in relation to paying with check or cash, with the paying advances that are registered as used up funds although the work

has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

Margareta is not involved in this and knows very little about it. If the PhD student is not progressing as expected Margareta asks about that and tries to solve the problem.

1. How do we know that the project has delivered that the project was supposed to deliver?

More clear planning and reporting are needed; also needed is someone to follow up on the issue.

1. Is the detailed budget for the project and its activities realistic and comprehensive? (Big amount of unutilised funds!)

Do not know about this in detail. Some PhD students are quick and use their money, others are slow starters and do not use up the money. For Phase 2 there was a lot of money budgeted to Uganda as 10% that was not expected was added to every item.

1. Has there been sufficient analysis of problems and need?

No, people mostly believe they are going to do more things than they actually manage to carry out. It is good to have plans but they should be somewhat more realistic and the Swedes have generally not been very involved in the planning process.

1. Does the target group (Mak and/or Mak-Sw) want to have this program?

Yes, both partners want to. The program is very good and opens now for other institutions. It creates links and contacts.

1. Has political environment affected the success of the project?

Stability and peace are prerequisites for the program. In Uganda it is partly possible to be critical and ask critical questions. Thus Margareta has not found the political environment to hinder the program.

1. Are changes from planned activities to those carried out noted and explained?

Changes are often noted. Many things are delayed and there are many people involved in the activities. Budgets and activities should be better checked and followed up.

1. In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase

the total funds available for research so the government decreases it with the same amount?

The government does not give any funds to research, only the salaries are paid by governmental money. Margareta does not know very much about this question but does not believe that there are many problems. For the Ugandan government it is difficult enough to keep the university running. Most do some consulting for donors and NGOs but that does not give any substantial funds for research.

1. Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or works it for supporting democratic principles?

Margareta does not agree with the question. No governments in countries being supported by Sida are neutral. The support is also for a small elite at the university. However, this support is needed and in a transparent way it is helping with institutional development. The support drives the development and one such change is the improved administration.

1. In 5 November 2008 the Independent reported: "The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget and was now appealing to the government to avail the promised contribution." Has the financial crisis at the University affected the programme any time 2000 – 2008?

Yes and no. When the university is closed, the students have opportunities to do their research without disturbance. But closing also takes away focus from their main tasks of their work.

Generally, the program works very well now. Initial problems are normal, now the program has been stabilised. The ideas to broaden the program are good. For the students there are always additional problems such as personal problems, sickness in the family, people dying etc. Sometimes the Sida control of the program is too much, but since it is money from Swedish tax payers it is important that they are used in a proper way.

#2

Interview Abraham Joel from SLU, coordinating program with Makerere University Faculty of Agriculture

1. What experiences did you have with coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you should be coordinator, you, Makerere, Sida or your department/university?
 - Did you collaborate with Makerere before you became coordinator?

- When and how did you decide to collaborate on research with Swedish counterparts?
- What were your expectations/hopes at the start? Are they fulfilled?

Abraham Joel had before he started coordinating this program, been a coordinator for Sida programs in Chile and Tunisia. He was asked by Stig Ledin (the previous coordinator) in 2006 if he could take over as a coordinator for this program and started formally in the end 2006. In the beginning, Stig was still active as a coordinator but he had retired and wanted to decrease his activities as a coordinator as well. Stig discussed the change of coordinator with Sida and within the department. Abraham was introduced by Stig to the Makerere team when they visited. The only involvement in the program before becoming the coordinator was the two PhD students who were present at the department. Still Abraham is not involved as a collaborator, although he gives comments and suggestions to the PhD students.

The central goal to develop research capacity has been partly reached. Competence has been built in some areas but now it important for this competence to be used in the best way.

One problem in the collaboration is that the Uganda collaborator does most of the design and planning of the project – there is a lack of involvement of the Swedes in the planning. Some individuals in the collaboration are very successful and if everyone in collaborations had been so good, then everything would have moved fast.

2. What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

Abraham Joel is responsible for the financial issues although he would have preferred if it was better regulated so that there should be no need of negotiate financial issues with Makerere colleagues and other Swedes every year. When Abraham came in as a coordinator, the Swedish side was given 450 000 SEK per year for supervision of four PhD students, and for coordinating the program.

Abraham Joel tries to keep in contact with the Swedish collaborators as much as is possible but there has been a limited budget for salaries for Swedes. Every collaborator has individual direct contact with the Ugandan partner.

Abraham has had good contacts with Sida.

Also the contacts with the Ugandan collaborators have been good. Swedes and Ugandans meet twice a year in Uganda and once a year in Sweden, so they meet altogether three times a year. Abraham would, however, liked to have better contact with the different departments that are involved. Most contacts are with the PhDstudents, both those who have graduated and those who are still in the system. These contacts generally work very well. When Abraham is in Uganda he tries to meet as many as possible and when they are in Sweden he tries to see them every week and in bigger meetings once every second month.

Abraham Joel has inherited the program and he has the feeling that he is not governing the program in the way he would have preferred. He would have liked to do things a little bit differently some formal aspects and some ways supervision is carried out. In the future he hopes to find ways for collaboration that make him feel more confident.

Often the Swedish collaborators feel that they are functioning more as entrepreneurs than as true collaborators. The Swedish collaborators feel that they do often not have enough insight into reports and planning documents. The papers are usually distributed very late, so Swedes are included only late in the process. Now, Abraham tries to start chasing documents early in the process e.g. two months before they should be in, but still he sees them very late.

3. Are you enough granted from the program to cover the time you spend on the program
 - What do you spend time on that you are not paid for
 - What is your most heavy load?

The funding was insufficient in the beginning when Abraham Joel took over as coordinator. He informed all involved that if he were to take over as a coordinator, he wanted a program in balance. Then his department on the Swedish side added some money to cover the costs of the program. Thereafter, Abraham started negotiating with Sida; it was difficult as Sida did not understand how the situation could be so bad. First, nothing happened. Then there was a negotiation with Makerere and it ended with a re-allocation in the middle of 2007. Part of the extra money goes to coordination and part to the Swedish supervisors. Abraham takes care of places to live for the students when they are in Sweden and other such administration issues that consume a lot of time. It is important that the students inform him in time about when they are going to arrive.

The heaviest load is administration of planning and reporting documents. The documents often arrive late and when Abraham gives comments he is not sure whether they are included or not, often he also feels like giving the same comments repeatedly.

4. How do you see the role of Sida in the collaboration?
 - What did you like, find to be helpful?
 - What did you not like, find not to be helpful

--Any suggestions/recommendations for changes to improve Sida role/relationship?

The question is what role Sida has beyond financing the program. Sida behaves differently when relating to Makerere as compared to the Swedish side. (Sida has changed its way of treating the Swedes recently, from being an entrepreneur to becoming a full partner). To the Swedes, Sida says 'this is what you have to do'; that is all. With Makerere, Sida has longer discussions. To Abraham, Sida says, 'this is the contract you have, you have to follow it and get things working'. For Phase 3 the comments from the Swedish side were listened to, but not taken into consideration.

Sida is also the project manager and has to act to solve problems such as re-allocation of funds. It is important to present options to solve the problems, but also to help the implementation. There should be a clear format for how planning and reporting should be done.

Sida should state clearly what parts should be carried out by the Swedish and Ugandan sides. As it is now, the coordinators at Makerere have a stronger position in relation to the Swedish coordinators. Sida should not just ask for changes, they should be clear and decide what formats and regulations are necessary to follow. It is important that Makerere does the prioritizing of what research should be carried out, but thereafter it would be desirable that the Swedes and Ugandans continue together in a true collaboration.

5. How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

In the other programs, in the Nicaragua and Chile collaborations, where Abraham Joel is involved, the Swedes are more true collaborators than Abraham feels that they are in the Ugandan program. In those other programs, plans are discussed and decided jointly more regularly than in the Ugandan collaboration. Abraham believes that it should be possible to generate more projects, more collaborations, and more student exchange in Uganda with increased true collaboration. Abraham is working to realize this.

6. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

The program has not succeeded generally with this issue. There are individuals who have succeeded in this way. The older generation congenial, and has a lot of knowledge, but this capacity cannot be fully utilized for several reasons. Abraham hopes that things will change for and with the coming generation. SGS is doing a good job and tries to develop things, such as guidelines for PhD studies. There is, however, a gap between the planning at SGS and the implementation at faculties and with individual researchers. How can the program help to develop and give the future to the young, new PhDs?

7. What main changes/achievements have the program led to in your opinion?
- research environment in Uganda?
 - supervisors in Uganda?
 - thesis and students in Uganda
 - Swedish collaborators
 - poverty alleviation
 - innovations
 - Ugandan industry

In this regard there have been small positive changes. The biggest problem is that the system does not prioritize or have incentives for doing research. Now there is mainly a focus on the individuals. The way of viewing supervision has been changed quite a lot. However, changing the research culture is a long-term process for reaching a deeper level. In Sweden it is always the supervisor's fault if something goes wrong during PhD education. In Uganda, the professor is the supervisor and the PhD students are doing the work and if anything goes wrong it tends to be the fault of the PhD student. A desirable compromise might be to assume joint responsibility. The PhD students do not want to have formalized supervision as that would limit contact with supervisors to once a month; students feel it is better to see the supervisor when needed. Supervision needs improvement. There has been an improvement in the formalities of the PhD program operates, so that the students in Phase 2 have been able to perform better than those who started in Phase 1. This may be due, at least in part, to better knowledge about the system by the Phase 2 students. They PhD students are now starting to publish papers and the quality of theses has also improved. The Swedish collaborators are key persons. The Ugandan supervisors are also more engaged with their PhD students now as compared to before. It is today difficult to know how much of the increased engagement is due to requests from Sida, although hopefully much of this will persist after the program ends.

8. How have Swedish and Ugandan collaborators benefited from the collaboration?

The main emphasis has been to get the students through and to solve problems. There has also been limited budget. The main interest from the Swedish supervisors has been in the specific PhD projects. For the Ugandan side it has been interest in research but maybe not as much interest as would be desired — for a variety of reasons.

9. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

The program has succeeded in moving the question of supervision onto the agenda and demonstrating the importance of supervision. Also, quite a number of things have been formalized. Nonetheless, it is dangerous to believe that the supervisors continuously have changed in relation to supervision. Changes take time and need time to settle, therefore long-term collaboration is a need in programs like this. Workshops are a good way to improve supervision, one such seminar and one workshop have been given already.

10. Describe at a general level, changes that has taken place in the research and research environment and how the research cooperation programme between Sweden and Uganda has contributed to that change.

The program has helped to change the culture and ways of understand research and post-doctoral education, but the change depends very much on the individual. The program has mostly been building individuals and has not been so successful in institution building.

11. What are your goals, hopes for the future?

Improved collaboration strengthens the research culture. For creating a more substantial change, one has to reach deeply at the departmental level. The collaboration can be seen as a platform for continuous work. Good researchers should be favored. SGS should favor good researchers.

12. Have risks and assumptions been assessed (external or internal), e.g have the risks and assumptions been evaluated in relation to paying with check or cash, with the paying advances that are registered as used up funds although the work has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

Abraham Joel cannot say anything about this. Abraham has no insight in financial issues at Makerere. Swedes do not normally have insight in financial issues at other universities.

13. How do we know that the project has delivered that the project was supposed to deliver?

Abraham Joel cannot say anything about this, the budgets have not been sufficiently detailed. There is a need to compare the final application for a phase and the final report of a phase. There is also a need to compare plans for a certain period with reports of a certain period. That is not possible today.

14. Is the detailed budget for the project and its activities realistic and comprehensive? (Big amount of unutilised funds!)

This problem is a planning and handling problem. The budgets are realistic but there are other problems leading to unutilised funds. Funds that are not used within one year cannot just be transferred to the coming year. All those extra money are not suitable to use during the next year. There are also problems with handling of the money but those problems are not connected to unutilised funds.

15. Has there been sufficient analysis of problems and need?

Most likely not, but Abraham is not sure.

16. Does the target group (Mak and/or Mak-Sw) want to have the project?

Makerere wants the program but Abraham does not know the reasons. There are, however, less good opportunities for the Makerere people to be as engaged in the program as compared to the Swedes.

The Swedes want the program but not at any price. Financial opportunities and quality of the research questions and areas are of main interest and if not sufficient, then the program is of less interest for the Swedes.

17. Has political environment affected the success of the project?

With regard to politics at the governmental level, Abraham had no opinion; he does not know. With regard to politics at the university and at the faculty, it plays a large role.

18. Are changes from planned activities to those carried out noted and explained?

Abraham hopes that this is done properly but has not enough insight to be able to comment. Whether the PhD student actually has been to the field 10 times a year as planned, he has no knowledge. The Swedes have to report every half a year and if they do not report, they get no new money.

19. In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase the total funds available for research so the government decreases it with the same amount?

Abraham has no idea about this.

20. Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or works it for supporting democratic principles?

Abraham has no idea about this.

21. In 5 November 2008 the Independent reported: "The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget

and was now appealing to the government to avail the promised contribution.”
Has the financial crisis at the University affected the programme any time 2000 – 2008?

Abraham has no idea about this.

Interview Stig Arne Nohrstedt, Coordinator from Örebro University/International Journalis, working with Dept of Mass Communication at Makerere University

1. What experiences did you have with coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you should be coordinator, you, Makerere, Sida or your department/university?
 - Did you collaborate with Makerere before you became coordinator?
 - When and how did you decide to collaborate on research with Swedish counterparts?
 - What were your expectations/hopes at the start? Are they fulfilled?

Stig Arne had previous experience in international work. Five to six years ago Örebro University decided that it was important to internationalize the media and communication science at the university. Media science has a very national character in Sweden. So with its own money, the unit decided that Stig Arne would visit a number of universities in Africa to find a university with which to collaborate. They found Makerere to be the most advanced university in this research area after those in South Africa. Before the start of the true collaboration in 2007, there were limited activities although some contacts. The master degree in International Journalism started in 2004 at Örebro University.

The expectations when the collaboration was planned were that it should have gone faster in the beginning but otherwise it has been developed as expected. Until now Stig Arne has been involved as mentor and supervisor for one master student. Also people at Makerere and Örebro travel to see each other for discussion. The program has been started well and is moving on. In the coming phase plans include involvement of more persons from Sweden; 3 senior lecturers and one profession journalist lecturer.

What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

Most important is to keep track of the budget administration in Sweden, so that it functions. It is also important is to contribute to broadening the collaboration, and to include more Swedes. The contacts with Sida have mainly been in relation to the administration of the project and to looking forward. One expected PhD candidate quit the program so now there a master student. He has been in Sweden once. So the expectation of Ugandan PhD students coming to Sweden has not been fulfilled.

3. Are you enough granted from the program to cover the time you spend on the program
 - What do you spend time on that you are not paid for
 - What is your most heavy load?

The financing of the coordination and participation in the program is partly paid by his own salary. The start of the participation was fully financed by Örebro University. Around SEK 20,000 was paid the first year by the program for coordination and working space at the University for visitors from Uganda is paid by that program. Now the budget has expanded to SEK 200,000. Administration of the program creates the heaviest load, as there is a lot of correspondence, especially by email. Often the e-mail does not work at Makerere and that is a problem. The internal organization of Örebro University is not used to international collaborations and exchange with Africa is a logistical problem.

4. How do you see the role of Sida in the collaboration?
 - What did you like, find to be helpful?
 - What did you not like, find not to be helpful
 - Any suggestions/recommendations for changes to improve Sida role/relationship?

Sida is very useful for discussion and to clarify administrative routines etc. It is a desire from Stig Arne that it continue to work well.

5. How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

This collaboration is different compared to other collaborations Stig Arne has been involved in. The previous ones had mostly been with countries in the affluent parts of the world. The differences have mainly to do with infrastructure and with people coming and going, some quitting, and new ones replacing them. The study financing system is bad, most students work at the same time as they study. This is highly likely to be one of the reasons behind students that quit and why it is difficult to recruit new ones.

6. How has the program increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

It is very important for the people at Makerere involved in this program to have someone with whom to discuss projects. Until now, no joint projects have been carried out. The Swedish side has mostly been functioning as mentor, commentator, and discussion partner. It is useful and interesting to have an opportunity to discuss and see Goretti's research. However, it would be even more useful to be an active participant in the coming phase. That is of genuine interest for both parties and therefore that has been included in the proposed budget for the coming phase. Örebro University has its own interest in participation, to deepen and broaden the internationalization, and to get more knowledge about media and communication in that part of the world.

After having seen the priorities made at the central level at Makerere, Stig Arne has understood that there have been cuts in the proposed budget for the Mass Communication Department. Most of the proposed budget has been reserved for the SGS, i.e. at the central level (73 out of 180 million SEK). The consequence is that none of the collaborative projects that were in the joint proposal from the Mass Communication Department and Örebro University will be realized. Therefore, most likely the collaboration project will be cancelled or minimized to some visits and seminars, but no joint research and education cooperation.

7. What main changes/achievements have the program led to in your opinion?
 - research environment in Uganda?
 - supervisors in Uganda?
 - thesis and students in Uganda
 - Swedish collaborators
 - poverty alleviation
 - innovations
 - Ugandan industry

Makerere participants have generally been very positive towards the collaboration, as they are few and needed help in research thinking. Örebro is a bigger environment with more experience. In Örebro, the collaboration has led to seminars at the university that would not have taken place but for this collaboration. Concerning influences on poverty eradication, Stig Arne cannot say anything. In the landing site where the project is carried out, the project has helped developing an understanding of sustainability (of Lake Victoria). People at the local and regional level have been informed in short messages over the radio about what had been done at one landing site and that influenced other villages and landing sites to do the same.

8. How has Swedish and Ugandan collaborators benefited from the collaboration?

No answer given.

9. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

Swedes have given support to Makerere colleagues in their roles as supervisors. Almost none of the Ugandan collaborators had any experience in supervision of post-graduate students. As to changes in supervision, it is too early to say anything.

10. Describe at a general level, changes that have taken place in the research and research environment and how the research cooperation programme between Sweden and Uganda has contributed to that change.

There will be some changes in the coming phase. Seminars will be developed. When more projects are established, the contact spaces will be broaden. New projects have been discussed and Stig Arne hopes that they will be realized. However, at the moment, Stig Arne is uncertain about whether they will be realized or not.

11. What are your goals, hopes for the future?

The goals for the future are that the collaboration will be deepened. At Örebro University the strength is to work with globalization theory internationally and how media influences this. Thus it is important to have knowledge from the developing part of the world. Until now, the researchers have been studying only the Western world medias and journalism. The present collaboration is building a platform for the research and education.

Örebro University has strong competence nationally and internationally in methods. The larger universities in Sweden do not have PhD-courses in the subject, but Örebro has. Örebro also has the international network in the area and an international overview. However, Örebro does not have experience of research in developing countries but has longer, deeper and broader competence compared to Makerere. Thereby all are winners in this collaboration. In the third phase, Stig Arnes hope for joint publications, although there is a need that the project be carried out in collaboration if joint publications are to be developed.

12. Have risks and assumptions been assessed (external or internal), e.g has the risks and assumptions been evaluated in relation to paying with check or cash, with the paying advances that are registered as used up funds although the work has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

The program started for real in 2007 and has just been ongoing for two years; 2008 was the first financed year. Therefore, Stig Arne has very little insight in how the finances

function. The discussion and follow-up so far has worked very well. The Makerere people are doing very well in all aspects in relation to the opportunities they have. At the beginning there were a number of exchanges in staff involved but now those involved seem very satisfactorily and it will work fine.

Due to the limited knowledge and insight in financial issues, Stig Arne did not want to answer further financial questions, from number 12 on. Although, after the latest experiences (see above) Stig Arne expresses some concern about that the priorities at the department level have not been accepted by the central level at MU. It is understandable that control is needed at the managerial level of the university, but it must be balanced with incentives to and trust in the competences at the department level. This seems to be missing in the preliminary proposal from Makerere to Sida.

13. How do we know that the project has delivered that the project was supposed to deliver?
14. Is the detailed budget for the project and its activities realistic and comprehensive? (Big amount of unutilised funds!)
15. Has there been sufficient analysis of problems and need?
16. Does the target group (Mak and/or Mak-Sw) want to have the project?
17. Has political environment affected the success of the project?
18. Are changes from planned activities to those carried out noted and explained?
19. In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase the total funds available for research so the government decreases it with the same amount?
20. Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or works it for supporting democratic principles?

21. In 5 November 2008 the Independent reported: “The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget and was now appealing to the government to avail the promised contribution.” Has the financial crisis at the University affected the programme any time 2000 – 2008?

Interview Stefan Peterson, Coordinator for the Karolinska Institute, working with Faculty of Medicine; School of Public Health

Questions for Swedish coordinators

- 1 What experiences did you have of coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you should be coordinator, you, Makerere, Sida or your department/university?
 - Did you collaborate with Makerere before you became coordinator?
 - When and how did you decide to collaborate on research with Swedish counterparts?
 - What were your expectations/hopes at the start? Are they fulfilled?

Stefan Peterson did his PhD in Tanzania and defended his thesis in Uppsala on a subject of Iodine Deficiency Disorders. After that he was employed by WHO, placed in Uganda, and worked with child health.

Makerere chose Karolinska Institute (KI) for collaboration when Sida came in as a donor for developing research and supervision at Makerere. Hans Rosling was the head of Karolinska International Research and Training Committee at that time and he head-hunted Stefan as a coordinator for the program at the Medical Faculty. Stefan had just received some money from KI to do a post-doc and Stefan started reading applications from Makerere to understand what type of research they wanted to carry out. The quality of the proposals was of very varied quality. In order to understand how proposals should be written, from the epidemiological point of view, Stefan and KI organized a proposal development workshop. One problem was that the proposals were written in the Ugandan collaborators' room in the office of one person not sharing it with anyone. A Swedish expression translated at Makerere-- and thereafter Stefan had to find a suitable collaborator at KI. Important here was to have discussions with Ugandans so that the projects became suitable for the people and country of Uganda and for Makerere. Some suggested projects were omitted and some changed, while some were kept. However, it is difficult when coming in late in the process to make changes when the expectations are that you should just say “OK”.

For the beginning of the third phase, the program has a fairly new coordinator, Ibingira, in Uganda. For this phase, The Faculty of Medicine had an open call, in which everyone who wanted to write concept papers was welcome and the selection would follow. The culture has changed at Makerere, and now everyone wants to do research and therefore everyone wrote proposals. It is nice that everyone gets the opportunity but someone has to take care of the continuity. None of the Swedes were involved in the proposal writing. The Swedes were involved only for matching suitable supervisors to the proposals. By this procedure, the Ugandans do not get any support for processes about how supervisors are chosen, how projects are created, how PhD-students are chosen. It would be better if two universities were to do the work together, building on the work that already has been carried out. With the present procedure it might end up with no post-docs and new PhD-students in successful sub-programs involved in the previous phase of the program and thereby no continuity. In the second phase, there are two sub-programs that have been able to attract external grants, health systems research and the malaria subprogram, and it should be useful to connect new PhD-students to those programs. Strategic research areas should be determined and until now there are no such mechanisms in the program or at Makerere.

In general it would be desirable to find a governance mechanism for the university collaborations so that some senior, wise and not directly involved persons from both universities may decide on strategic directions and have a supervisor and project/research line –driven process to which students are attracted. This rather than the present student-concept driven application, even for the third round, this approach would have been better for building capacity.

For coming phases, including phase 3, Sida should be clearer in its description to collaborators from developing countries about the requirements for their proposals for new phases. The Swedes should get a copy of the invitation for collaboration to the Ugandans. Both for Swedish and Ugandan collaborators, and for the countries and universities involved in any such collaboration, long-term and strategic collaborations are important. This again comes back to University partnership and where the Northern collaborators come in - as subcontractors to deliver supervisors or as partners – who should not prescribe or run the show, but a mechanism should be found to develop strategic research lines and directions that survive for more than 4 years but can reach sustainable level by building on post docs and raising of external resources.

There are a lot of practices that do not work in daily health care in Uganda. The program should lead to development of policies and practices. Many of those working at Makerere are also working part time at the health ministry. In the two previous phases, Stefan has succeeded in getting some of them included as PhD students. Makerere had mixed feeling about including them as they were seen as having money. The integration of these PhD candidates has been partly successful, but begs the general question of how research relates to health care needs/issues in line ministries (in health, but similarly for agriculture, technology etc.).

At Makerere the staff are in a difficult situation, as salaries are very low and the administration does not function well, and it is difficult to do good research. Ugandans question why they are not paid when Swedish supervisors and coordinators are paid. In general, performance would go up if both supervisors and students could afford to do the research, e.g. by getting some kind of stipend (linked to performance and deliverables). For now, raising school fees for kids requires an extra job, pushing research to Sunday afternoon after church.

When the program started, there were no incentives for the Swedes to participate if the students were not registered at KI. As a result, a joint degree was developed. It took two years to develop. The benefit to both partners in a north-south perspective is important. South gives a higher number of patients and more options to test new medical treatments etc, north gives, better supervision capacity (even if not all Swedish supervisors are optimal) and more modern equipment and labs. A strengthened university collaboration will lead to more joint PhD courses, twinned PhD students, joint positions, joint equipping of DSS etc. Post doctoral fellows might work jointly with both universities and become involved as assistant supervisors. A joint grants office could also be established to manage grants. This latter point is crucial for sustainability and capacity to deliver on external grants – e.g. buying reagents in shorter time than 6 months etc. It is also important to visualize external grants in both universities' systems (where both would like full overhead, but obviously need to share). Also to manage joint research infrastructure.

Sida steering committee does not work well for managing grants or governance. As a governance organ it is not sufficiently responsive to field needs and short timelines.

2 What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

The main responsibility for the coordinator is to match supervisors with PhD students and collaborators, mostly at application times and when new phases begin and old ones end. Another task is serving as a writing assistant for concepts and proposals. Stefan found he had to drive processes and be a trouble shooter, taking care of problems when things were not working smoothly e.g. visa applications at times, supervision that did not work, sub coordinators that were not functioning well, etc. Another task is advising current and prospective students on research ideas, and advising supervisors about how to deal with slow-progressing students and other procedural issues. Stefan has also taken a major interest in exchanging university leaders between Karolinska and Makerere, having had

both vice chancellors and all deputy vice chancellors and deans make site visits to the campus of the others in several separate trips.

A function that has been difficult to take hold is strategic advice about what research lines to continue to build on, which new ones to establish, and where to stop. As discussed above, it is an area that should involve the coordinator, and goes beyond the coordinator.

- 3 Are you granted sufficient funds from the program to cover the time you spend on the program?
 - What do you spend time on that you are not paid for
 - What is your most heavy load?

Initially there were no funds for the coordination function and no funds for costs at KI. Those costs had to be taken from all parts of the subprograms on the Swedish side. For the second phase, the Swedish side said the need was for one month of salary and one trip for each Swedish supervisor, and each PhD-student; and for a full-time coordinator and a full-time person to support the DSS. After the first budget, there were cuts and finally there were no funds for a person to support DSS and the funds for a coordinator were 50-70% of a full-time person. For the third phase, there is a price set from Sida for supervision of SEK 250,000 per PhD-student. The coordination role will need to be budgeted separately.

In the middle of Phase 2 there was a re-allocation from the Ugandan to the Swedish side leading to sufficient funds for Stefan to be the coordinator, 3-4% work time per student in the program, which is the norm applied across these types of programs in the Karolinska Institutet (e.g. 25 students equals 75-100% coordinator time)

The heaviest work load comes at the end of an old phase and beginning of a new one when the new program is being developed from the old one and all new proposals need to be brought together for the final proposal for Sida. The role of the Swedish collaborators is very diffuse and the application procedure is very unclear, although it should go in steps. It is very difficult for a coordinator to get the Swedish collaborators to participate in this unorganized process. The ownership in the program is difficult to understand, to be seen as a partner or only a subcontractor delivering supervisors. Is it Sida that is collaborating with Makerere or is it the Swedish universities?

The reporting procedure is also not satisfactory. As a coordinator, Stefan tries to get the Ugandan side to start writing reports two month in ahead of the reporting date, without success. The report is written the night before it should be submitted by the Ugandans and then the same first draft is submitted as there is no incentive or even practical opportunity for the Swedes to participate. Efforts through email, meetings, and phone calls over the years to get Sweden-based supervisors to take a more active part have also largely failed. Stefan attributes this to the Makerere-Sida/SAREC project culture, where it is primarily the Makerere responsibility to report, and Swedes to support. Generally Sweden-supervisors are very ready to do, also for reporting, but that requires a more structured and planned process.

- 4 How do you see the role of Sida in the collaboration?
 - What did you like, find to be helpful?
 - What did you not like, find not to be helpful
 - Any suggestions/recommendations for changes to improve Sida role/relationship?

Sida is sending double messages. They are saying that they do not want to be involved in the decision making or in driving things forward. But at the same time they do participate in this. Is the collaboration between Makerere and Sida or between Makerere and the Swedish Universities with Sida as a funder? The message also says, you, Makerere have the money; please, write the application along these lines—where the invitation for phase 3 application is not even copied to Swedish collaborators, and in the three page letter the Swedish collaborators and partner universities are mentioned in one sentence, along with regional universities.

There is no clear process for how to select students, projects, and supervisors. Where is the quality control? How can the Swedes influence the quality and the development? NUFU is twinning two universities and they also work on match making. Thus two researchers write a joint project that is ranked in both countries. Stefan thinks that it would be useful to evaluate how such a development can be used in Sida programs. Potentially such a model, where two researchers (north-south) write a joint project, that is ranked at home in each of the two universities — and if ranked highly by both — gets funded. This could increase ownership on the Swedish side, and put the research in a strategic long-term direction rather than becoming a project that does not quite fit the strategic profile.

- 5 How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

Stefan can not answer this, he only collaborates with Makerere. However, he imagines that most collaborations involving Sida, a Swedish university, and a university from the developing countries are similar. Certainly the application guidelines and architecture of the collaboration are the same across programs and countries. In Stefan's view, this governs the function to a large extent. He would like to see support delegated to a University Partnership designated to manage the whole collaboration.

- 6 How has the program increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

The development has been positive in the collaborating units. Seminar series have been started twice and died twice in one unit. At School of Public Health, the development of Wednesday lunch seminars has been positive when lunch was included. DSS has been

successful in attracting external grants. Now it is important that this occur in other units. Seminar series are not common at the Faculty of Medicine, nor are project proposal writing courses. However, knowledge about writing and research has increased. It would be better to have governing and strategic overviews for creating proposals and collaborations. This relates to the governance issue, both at Makerere and for the collaboration.

- 7 What main changes/achievements have the program led to in your opinion?
 - research environment in Uganda?
 - supervisors in Uganda?
 - thesis and students in Uganda
 - Swedish collaborators
 - poverty alleviation
 - innovations
 - Ugandan industry

The research environments have become much better and the understanding is much better. PhD courses and publications have improved a great deal. Grants and financial management have not been improving at the same rate. The supervisory capacity has developed although the supervisors are still too few, too occupied with a number of issues, especially with the difficulties of financing their families. The School of Public Health is now good at writing proposals, including for a monthly grant of some few hundred dollars for the salary and overhead to cover administration of the project. With the current system it is difficult to get supervisors to spend time on supervision. The understanding of PhD students has increased. Early in the collaboration, the PhD student wrote a single draft and if you wanted them to rewrite, their opinion was, "why are you disturbing me?" Now they understand that achieving quality in writing means rewriting of the text several times. The joint degree has changed the culture. Only one PhD student has defended in Uganda so far. Most of the students do not trust the Ugandan system, they may be afraid of low quality printing of the Ugandan theses and bad treatment during the defense.

Another problem is that in all these types of projects, the same Swedish collaborators are involved. The current program now involves some new Swedish collaborators. Still it is not clear how to choose Swedish collaborators and guarantee the quality of the supervision. Usually there is an order from the Ugandan side, "we need a supervisor in a certain research area for the project X". This often leads to a less than full fit of the Swedish supervisor. Some of the Swedish collaborators would like to participate in the development of the project. Collaboration should include joint development of project ideas and projects. Also, this way of ordering up new collaborators often leads to restarting the program every fourth year at the start of a new phase in order to engage the new Swedish collaborators.

In relation to poverty alleviation, specific findings have led to changes in treatment with direct influence on the life of poor people. Such findings have also influenced policies in

the country but also in UN organizations. One such example is the treatment of malaria; one can ask if all fever is malaria or if it possibly also can be pneumonia or other sicknesses. Those findings from the Clinical Pharmacology and Health Systems Research clusters have directly influenced WHO/UNICEF policy so that fevers are not recommended for treatment with anti-malarials, but if there is rapid breathing, treatment also with antibiotics is recommended to address pneumonia, an equally large cause of death. Pneumonia had been a neglected disease.

Development of the Ugandan industry has been through production in Uganda of medicine for treatment of malaria. Kampala Pharmaceutical Industry produces the HOMAPAK and is now also involved in preparing antibiotics for pneumonia treatment.

8 How has Swedish and Ugandan collaborators benefited from the collaboration?

The Swedes and Ugandans have come to know each other, are collaborating, are influencing policies, and have developed a group direction for research. If a proposal for the third phase in its final form closes down some of the areas and research directions where capacity has been built over the last 2 periods to start afresh with new explorative studies in new areas, the Swedes will survive but it will be difficult to keep the vision that it is possible to build a research career on this type of collaboration. The research will be more diverse and may not reach levels where post docs are used to reach internationally competitive levels. This is happening in at least three subprograms in medicine now. The implication may be that Makerere will primarily attract supervisors from the north who are ready to do four years of something and then move in another direction.

Stefan and other Swedes have been promoted based on the collaboration, and that is true also for some Ugandan colleagues, although the Makerere promotion system is very slow. Very productive individuals, such as George Pariyo, are still Senior Lecturers, in spite of many, many publications, and students graduated, teaching etc. Similarly Fred Wabwire-Mangen is still only an Associate Professor and not a full professor. This may turn into a disincentive if Makerere cannot speed up promotion reviews.

9 In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

In the subprogram where there has been a Ugandan supervisor present for most of the collaboration, this goal has been realized. In some cases there has been no Ugandan supervisor, or the supervisor has changed jobs, been sick, or been occupied with other duties. In the latter cases, the goal has not been realized. In those subprograms the PhD students have had to take care of themselves and also they have been much more dependent on supervision from the Swedish side. The investment in building research administrative capacity to support the supervisor has also been low- paradoxically the Makerere system for this collaboration is now fully centralized at the SGS, where the

student gets the advance directly and does not involve the supervisor. This has not contributed to increasing cost-awareness and budget management among supervisors.

- 10 Describe at a general level, changes that has taken place in the research and research environment and how the research cooperation programme between Sweden and Uganda has contributed to that change.

Has been mentioned above.

- 11 What are your goals, hopes for the future?

That the university partnerships should be developed by jointly owned research management organization that can handle joint grants visible in both organizations, joint departments and joint infrastructure able to take care of joint grants.

Another goal is that DSS develop into a more self-managed body. Today, it is located under SGS and cannot sign its own contracts. The departments receive the grants, take care of the contracts, sign, decide and get the overhead. DSS should have the right to sign and keep the overhead within DSS. Now SGS and the unit keep the overhead and pass the work to the DSS, which, as a result, is failing to raise sufficient resources to support the core Sida contribution. The DSS dearly needs a consolidated budget and management structure for the many research projects from this collaboration that are funded by other sources. The current setup with governance from a committee of deans is not sufficiently responsive to field needs and evolution of the DSS. This is evident by the fact that the original organogram still has not been revised after more than two years after DSS proposed an alternative, leaving the DSS severely understaffed in managerial posts to handle the vastly increased volume of work.

- 12 Have risks and assumptions been assessed (external or internal), have the risks and assumptions been evaluated in relation to paying with check or cash, with the paying advances that are registered as used up funds although the work has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

Uganda has a cash financing system, therefore, Stefan cannot see much bigger risk with cash than with check. Both are not good enough and salaries should be used to regulate un-accounted advances. The financial systems are generally very slow and such systems together with the heavy controlling systems also leads to increased amount of corruption.

- 13 How do we know that the project has delivered that the project was supposed to deliver?

A fully participating partner should have knowledge of this as well as of other issues. If Swedish collaborators are becoming full partners, insight in financial issues will increase.

- 14 Is the detailed budget for the project and its activities realistic and comprehensive? (Big amount of unutilised funds!)

The budgets are not realistic and comprehensive but the problems with unutilised funds are the problems involved in using the funds. It is very difficult to use funds to pay anything all over and then the PhD students are standing still and money is accumulated.

- 15 Has there been sufficient analysis of problems and need?

Sufficient analysis has been done but action is missing.

- 16 Does the target group (Mak and/or Mak-Sw) want to have the project?

Everyone will have the program.

- 17 Has political environment affected the success of the project?

There is a lot of politics involved at the university. For example, DSS did almost not get started under SGS and former director Opuda. How is it possible to create control at that level so that things are not monopolised?

- 18 Are changes from planned activities to those carried out noted and explained?

Partly. Some issues are not explained or informed about. A student can disappear for a month and no one explains why.

- 19 In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase the total funds available for research so the government decreases it with the same amount?

Stefan does not believe so. The reason is that there has never been a budget line for research. Today there is the Millenium Science Initiative that did not exist before. It has been initiated for research purposes. The Sida program has increased the common understanding of research at the university.

- 20 Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or works it for supporting democratic principles?

Stefan supports democratic principles at the university and when meeting Ugandans. Democratic principles are generally built and developed when the Ugandans are meeting Swedes.

PhD students and supervisors at Makerere reflect political issues. The program has also produced spin-offs in terms of increasing democracy.

- 21 In 5 November 2008 the Independent reported: "The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget and was now appealing to the government to avail the promised contribution." Has the financial crisis at the University affected the programme any time 2000 – 2008?

The Ministry of Finance does not release money promised to Makerere in the budget of Uganda. That is a general and persistent problem.

The main issues Stefan wants to emphasize relate to whether Swedish counterparts are meant to be true collaborators or only to deliver needed supervisors. Ownership and true collaboration will improve quality and relevance for Swedes, Ugandans, and the program. Stefan thinks it is important to start the process to develop a true collaboration instead of changing program direction every fourth year. It is important to create governance mechanisms that allow strategic planning for research directions, investments, and quality assurance to allow long term sustainable collaboration, even after the Sida support has ceased. Sida as a funder certainly affects the nature of research and collaboration that gets done, and we need an open climate to discuss possible reform with all concerned parties. Potentially line ministries in Uganda (e.g. Health) could also have a role on such strategic advisory functions to support relevance of the research being undertaken.

Interview with Dick Urban Vestbro, Coordinator from KTH, working with the Faculty of Technology

1. What experiences did you have with coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you would be coordinator: you, Makerere, Sida or your department/university?

- Did you collaborate with Makerere before you became coordinator?
- When and how did you decide to collaborate on research with Swedish counterparts?
- What were your expectations/hopes at the start? Are they fulfilled?

Dick Urban had coordinated the Tanzania project, and also he had some prior knowledge about Sida as he was one of those discussing Sida in the 1970s. Dick Urban had also followed his former wife when she worked in Angola and Lesotho. And he was involved in starting the Africa groups. Sida asked him to coordinate the Uganda program and he decided that he would. He had little contact at Makerere previously, except for short visits in the 1960s. The program started with a test year so that the Ugandan and Swedish collaborators could get to know one another. That start was very useful. The amount of money for the collaboration was satisfactory and the money arrived as expected. From the Swedish side there was some hesitation about participating, as people were worried about financial issues and if the money actually would come. Dick Urban did not have specific expectations but thought it would be exciting to take up his research in Africa as that had almost disappeared at that time.

2. What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

All the tasks mentioned in the question above are included in the work of the coordinator. There is a lot of administration and paperwork. Dick Urban had quite a lot of experience in administration previously and that helped. It takes a lot of work to keep track of all budgets and Sida rules and regulations. In Phase 1, the number of researchers involved and students were rather limited. Thus Dick Urban knew everyone. Now the program has grown, making it difficult to keep track of everyone. In the beginning of Phase 1, several conferences were carried out in Uganda and almost everyone came from both the Swedish and Ugandan sides. The Ugandans showed from the beginning that they wanted to have control over the program.

At Sida there have been some problems based on changes of person being responsible for the program over the years. At the start Dick Urban had one fight with Sida regarding the budget. There were many discussions about the budget and the funds for coordination were removed entirely. Finally Sida, Makerere, and KTH reached an agreement, and the budget was adjusted after the contract had been signed. Dick Urban said that he was not going to do the coordination without being paid for it. Makerere and Sida blamed each other for the disappearance of the money.

The contacts with the students have generally been very good, even now that the numbers have grown, making it difficult to remember everyone.

There was an incident when Phase 2 planning started: the Ugandan side contacted additional coordinators without informing Dick Urban. When he arrived at Makerere to a meeting he found out that there were parts of the agenda of the meeting he was going to chair about which he had not informed. While it is acceptable for new collaborators to be brought on board, Dick Urban, as the Swedish coordinator, wants to be properly informed.

3. Are you granted sufficient funds from the program to cover the time you spend on the program
 - What do you spend time on that you are not paid for
 - What is your most heavy load?

In Phase 1, Dick Urban was involved in lowering the amount of money for the Swedish side and thereby he did not get paid for all the work. In Phase 2 the amount for coordination was higher and he has been paid for the time spent on coordination. In Phase 2 the workload was substantial, as there are 250 budgets to keep track of (8 budgets for every student, one for each half year for the total time of four years including Sweden for Sweden, Sweden for Uganda, Uganda for Uganda etc).

Keeping track of the stipends (for students to live on in Sweden) is also quite a challenge. Swedish Universities are prohibited from paying stipends to PhD students. In the beginning of the program, the stipends were given to the students before they left Uganda but it was not satisfactory for the students to carry all the money with them when traveling. Also it was a problem in Sweden as Swedish banks did not want to open accounts for students not residing in Sweden and who did not have personal identification numbers. Therefore, a change in policy resulted in stipends being paid by the Swedish Institute. Staff at Swedish Institute were very flexible at the start but later burdensome bureaucratic procedures were introduced. For a student to get a stipend, the papers had to be signed by both the coordinators (Ugandan and Swedish) and by the embassy; and the migration board must be contacted. Now the procedures have been simplified, the travel by the student can be registered directly on the home page.

One very fruitful conference was organized in 2007 at Viking Line, for the the program that Dick Urban is coordinating. That was a very successful event although also lots of work.

4. How do you see the role of Sida in the collaboration?
 - What did you like, find to be helpful?
 - What did you not like, find not to be helpful
 - Any suggestions/recommendations for changes to improve Sida role/relationship?

The connection to Sida is good although individuals at Sida change. The many changes of program officer has been problematic sometimes before everyone becomes accustomed to one another and to the program.

Sida has taken some initiative to gather all the Swedish supervisors. That has been good. There have also been some meetings to restructure the budgets and it is good that Sida participate in those types of meetings.

5. How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

Makerere has shown clearly from the beginning what they want and do not want. That is good and has led not only to education of specific PhD students, but much more. Makerere wanted students to defend their theses at Makerere. A problem with this was that units at KTH get their money, to be used for salaries, by producing PhDs. The Swedes were supposed to supervise on Makerere premises. However, to do this on Ugandan premises and without a defense in Sweden is a problem. KTH staff are paid salaries from funds paid when PhD students defend. If the defenses do not take place in Sweden, Sida will have to pay full salaries for KTH people for supervision. This would make the program much more expensive and remove a strong incentive for supervisors to supervise. Students now enroll for a Licenciante degree at KTH, and the PhD at Makerere. When then the students wanted to defend at KTH, the joint research cooperation diploma was developed. The intent was to create the equivalent of a joint degree and diploma from both universities. Even if it is not a true joint degree, there is documentation that the job has been done jointly at two universities even as the PhD diploma is granted by Makerere. The agreement specified that students should defend their PhD theses at Makerere. Many of the students then thought that if they defended at Makerere, they would get only a Makerere degree. Some Swedes wanted the students to also defend in Sweden. Makerere wanted to build capacity at Makerere.

6. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

Dick Urban feels that he has insufficient insight on this question. The capacity must have increased. All students have seen the research environments in Sweden. They have traveled to research conferences. The students have seen many international environments. Poverty is not a simple research problem, but related issues can be research problems. The students have progressed and understand a lot. However, hierarchies are problematic if good research is to be developed. The students expect to be told what is the correct or not correct direction from their supervisors and lack skills for a more critical way of thinking. A change in this respect cannot take place quickly. Recently, Dick Urban participated in a stakeholders conference and that was a good

experience. Work groups were designated to improve the contacts between the university and the industry. There is a tendency to think that the research in itself should solve everything but that is not possible.

7. What main changes/achievements have the program led to in your opinion?

- research environment in Uganda?
- supervisors in Uganda?
- thesis and students in Uganda
- Swedish collaborators
- poverty alleviation
- innovations
- Ugandan industry

Dick Urban thinks that the research environment has been substantially changed, although the collaboration between the Swedes and the Ugandans needs improvement. Some Swedish supervisors believe that it is sufficient to produce a PhD. In the collaboration with UCLAS (Tanzania), participants developed a policy document to regulate collaboration between supervisors. In Uganda, most of the decisions governing supervision are left to the Swedes. The PhD students complain that they get no supervision from their Ugandan supervisors. One regulation could be that if the manuscript for the final seminar has not been given and read by the Ugandan supervisor, the student should not be allowed to hold the final seminar. In Uganda, both the students and the supervisors have salaries that are too low, requiring too much teaching and too many other duties to have time for the PhD-supervision, and the project is delayed.

Suggestions for improvements have been made— there are more teachers with PhDs in place now, that will lead to improvements for the the third phase.

Research leading to poverty eradication is not easy. Most of the Sida supported projects aim at solving practical problems that would lead to development. One problem is that even if knowledge accumulates, it does not necessarily get shared or used effectively. It is useful if the researchers can explain their research in an understandable and popular way. The clusters that have been developed using program funds sounds useful for innovations, although Dick Urban does not know much about Ugandan industry.

Around Kampala, there have been many of informal settlements and informal economies. Now formalization is taking place, with a potential to positively influence economic development. Formalization means that everyone should have the right to stay where they have settled, rights to water; drainage and flooding protection. The findings in Assumpta's thesis are important—but will they be used? A popular science book is being produced on how informal settlements can be upgraded without costing too much.

8. How has Swedish and Ugandan collaborators benefited from the collaboration?

Swedish supervisors can widen their research fields and their views to include development questions. Sometimes there are cultural differences that play a role in the collaboration. For Swedes, the collaboration might lead to new aspects of their lives and the research can be strengthened within the Swedish universities. Also the idea of what research is can be changed.

9. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

Dick Urban is not sure about how much has been changed in Uganda. He has heard some supervisors say that they learned a lot from the collaboration.

10. Describe at a general level, changes that has taken place in the research and research environment and how the research cooperation programme between Sweden and Uganda has contributed to that change.

Sida’s money that goes into research is good. There was a conference in Kampala in September that was very well organized by the research council and many stakeholders.

11. What are your goals, hopes for the future?

Dick Urban is now retired and will leave as coordinator when the second phase ends. However, he will continue be involved as assistant supervisor for a few PhD students in the third phase. The application for the third phase is good even if it was produced in a very short time. There have been some discussions with the Swedish collaborators. Now the Ugandan side has structured the application skillfully; they also write well. The budgets have been reduced recently.

12. Has risks and assumptions been assessed (external or internal), e.g has the risks and assumptions been evaluated in relation to paying with check or cash, with the paying advances that are registered as used up funds although the work has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

Cannot say anything about the Ugandan side.

13. How do we know that the project has delivered that the project was supposed to deliver?

The Swedes side has not done much. There has not been much effort put into it. Also Dick Urban does not have much knowledge about road building techniques, material techniques, electric techniques etc. He has not tried to understand the finances of the Ugandan side. He has pushed quite a lot to make Swedish supervisors understand that

they should buy books from the 'Consumables' budget for this project on the Swedish side.

14. Is the detailed budget for the project and its activities realistic and comprehensive? (Big amount of unutilised funds!)

As far as Dick Urban knows Equipment budget item has worked fairly well. Field work allowances and consumables may have been a bit high on the Ugandan side. On the Swedish side the budget for travel has been a bit too high. This is partly due to the fact that less travel per PhD student was needed when supervisors had several students. The budget for salaries for Swedes is sometimes too low, when technical staff also has to be involved in assisting PhD students at the labs. The amounts for overhead are also too low in the budget as actual overhead costs are higher than allowed. Some cannot complete the forms financial statements correctly, and if financial statements are not submitted, Sida stops paying money since it means funds have not been accounted for properly. In one case this was solved through a threat of moving PhD students and money.

15. Has there been sufficient analysis of problems and need?

Analysis has been done quite well. Appendices have been added about costs for equipment. However, in the beginning no one reacted when some budget costs were inflated.

16. Does the target group (Mak and/or Mak-Sw) want to have the project?

Swedish departments have been very interested in participating in the collaboration, PhD graduates will be produced, and since the students already have jobs at Makerere they will not demand to be employed on doktorandtjänst at Swedish universities. The amount of money received for the work has been sufficient. The Ugandan side is definitely interested.

17. Has political environment affected the success of the project?

Possibly but Dick Urban does not know. Housing, settlements and city building have generally been of little interest in Uganda, although upgrading of the slum areas will need new policies.

18. Are changes from planned activities to those carried out noted and explained?

This should be possible to do more accurately. Each side should work on its own weaknesses, by defining problems and working on them?

19. In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase the total funds available for research so the government decreases it with the same amount?

Cannot answer. One might believe that the country is supporting less than compared to if there were no donors.

20. Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or works it for supporting democratic principles?

Dick Urban thinks that the promotion of higher education will increase the likelihood of a more free and critical public debate. At conferences he has himself emphasised the importance of independent universities and of a critical attitude to authorities.

21. In 5 November 2008 the Independent reported: "The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget and was now appealing to the government to avail the promised contribution." Has the financial crisis at the University affected the programme any time 2000 – 2008?

Cannot answer this.

Interview Richard Wait Coordinator at Uppsala University; working with the Directorate of ICT and the library.

1. What experiences did you have with coordinating Sida/international programmes before you became coordinator for the Makerere program?
 - How did you decide to become coordinator?
 - Who decided that you should be coordinator, you, Makerere, Sida or your department/university?
 - Did you collaborate with Makerere before you became coordinator?
 - When and how did you decide to collaborate on research with Swedish counterparts?
 - What were your expectations/hopes at the start? Are they fulfilled?

Richard Wait has been the coordinator of the program since 2001. He had no experience of coordination of international programs before that. However, he did have previous contacts with Sida IT programs. When the program was announced, Richard was

identified by the faculty. Richard was at that time in Sri Lanka for another Sida project. When he came back home from Sri Lanka he found himself having been appointed coordinator. It was a faculty and department decision, coordinated through the Virtual IT department. Before his start as a coordinator, Richard had no collaboration at all with Makerere. The first years of the program did not include any research but only development of the ICT and the Library infrastructure. Richard had modest expectations from the beginning and those he had have been fulfilled.

2. What are your main responsibilities as a coordinator?

- take care of financial issues
- contact with Swedish collaborators
- contacts with Sida
- contacts with Ugandan supervisors/collaborators
- contacts with students
- governing the program
- administrative issues

Richard's main responsibilities as a coordinator has been to handle financial issues, to have contacts with the Swedish collaborators, to keep contacts with the Ugandan supervisors and handle administrative issues.

3. Are you enough granted from the program to cover the time you spend on the program

- What do you spend time on that you are not paid for
- What is your most heavy load?

Richard has had sufficient funds from the start for the time he has spent on the program. At first Richard was paid and spent 50% of his working time on the program, now the time he spends is much less and the time paid has been reduced to 20% of his working time. The Makerere people therefore are seeing the role of Sida being reduced.

The heaviest load has been keeping track of finances. Sometimes trying to resolve conflicts between Makerere and Sweden has been rather difficult. There have been well documented 'falling-outs' and these continue to create problems.

4. How do you see the role of Sida in the collaboration?

- What did you like, find to be helpful?
- What did you not like, find not to be helpful
- Any suggestions/recommendations for changes to improve Sida role/relationship?

Richard sees the role of Sida as primarily financial and accounting. It is very difficult for Sida to get involved in the program as it is so big. Sida is useful, they do listen, answer emails and act when needed. Some issues have been difficult to resolve. The

recommendations Richard can give to Sida are that they should be a little bit more involved in technicalities. There should be some more guidance of what is meant by “support supervisors to supervise”. Some Swedes only see themselves as working only with PhD students and are unwilling to take on any other role.

5. How is your collaboration with Makerere similar or different from other collaborations (if there are others)?

Richard sees the role he has in other programs as fairly similar, although he is not the coordinator in those projects, rather a collaborator.

6. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding?

Richard has not been involved in the academic programs, so this question is not applicable.

7. What main changes/achievements have the program led to in your opinion?
 - research environment in Uganda?
 - supervisors in Uganda?
 - thesis and students in Uganda
 - Swedish collaborators
 - poverty alleviation
 - innovations
 - Ugandan industry

The research environment has improved dramatically. There are two key factors in the research environment and these are internet access and access to on-line journals. Before neither of these existed but this program has brought both to Makerere.

Staff have started to think about supervision.

PhD students: until recently it was not possible to carry out PhD-education in Uganda in ICT or Library Science.

As Swedish supervisors became aware of the program it caused them to think internationally. Some had done that already, but for some it was new. Some people are, however, not prepared to think outside the box.

Poverty alleviation is not an immediate consequence of the program. The program is about long-term capacity build-up.

A clear innovation is that Makerere has IT-capacity now.

Questions about Ugandan industry are not applicable.

8. How have Swedish and Ugandan collaborators benefited from the collaboration?

Some have just been involved for the PhD students, while some collaborators have been thinking a bit further. There has been no structural benefit.

9. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

Hardly if ever.

10. Describe at a general level, changes that has taken place in the research and research environment and how the research cooperation program between Sweden and Uganda has contributed to that change.

The overall research environment is the biggest change.

11. What are your goals, hopes for the future?

Richard would hope that the improvements are sustainable. However, some could become white elephants if they are never properly integrated into the Makerere infrastructure.

12. Have risks and assumptions been assessed (external or internal), e.g. have the risks and assumptions been evaluated in relation to paying with cheque or cash, with the paying advances that are registered as used up funds although the work has not been done, the financial issues being only recorded on excel sheets and if there has been costs what are the security that the work has been done?

Sida and auditors spend a lot of time controlling this. Research people often have the attitude that, as professors, it is not their job to keep track of the money. It is not clear how the situation might be improved without drastic action. One option is to continue with the status quo, assuming (hoping!) that most part of the money will go to beneficial issues and only a small fraction will disappear. The finances at Makerere frequently seem to be inadequately managed. One recent example is that in October 2008 the internet connection was switched off due to an 8 month delay in paying the phone bill, it is not the first time this kind of problem has arisen. The university then tried to find some money to pay the phone bill. After about one week they succeeded in paying $\frac{3}{4}$ of the phone bill. There appears to have been a lack of planning, and this is an ongoing problem, as the system seems to operate as crisis management, dealing with only the most urgent problems.

13. How do we know that the project has delivered that the project was supposed to deliver?

This part of the program generally had very specific goals such as putting up an internet connection. They were easy to check, as infrastructure has either been put on place, or not. Sometimes they have been put in place but are not working and that is mainly due to bad planning. The question is though, what happens when Sida stops paying?

14. Is the detailed budget for the project and its activities realistic and comprehensive? (Large amount of unutilised funds!)

The budget is as comprehensive and realistic as it can be. The detailed costing is not clear at the beginning of the project and what is actually needed is not well known at the start. Costs for infrastructure can be irregular. One case is for example the IT support that had a large budget and lots of unutilised funds for almost three years, then all budget was used for one piece of equipment, servers and switchers for power cut-offs.

15. Has there been sufficient analysis of problems and need?

This was one thing that did not happen in the beginning of the second phase. Makerere could not come up with enough details about what they would need. There was insufficient analysis during the previous phases, and of how knowledge from these can be transferred into the coming phase. Many things are solved ad hoc and are not structured within the program.

16. Does the target group (Mak and/or Mak-Sw) want to have the project?

Makerere wants to have the program.

17. Has political environment affected the success of the project?

The project has not been directly affected by the national political environment.

18. Are changes from planned activities to those carried out noted and explained?

Yes they are.

19. In 2007 it was reported in newspapers about the financial crisis dogging the University. Can the government have decreased the funds for research to be substituted by foreign funds? Does the funds income from foreign donors increase the total funds available for research so the government decreases it with the same amount?

There are frequently problems with funding. The government has to make choices within the education budget as there is insufficient funding to satisfy all sectors in full. The government wants to put money into secondary education, then there is a lack of money for the university.

20. Has the research-programme a point in protecting the undemocratic government of Uganda? Is the programme neutral? Or does it work for supporting democratic principles?

This is leading question and as such it is not relevant.

21. In 5 November 2008 the Independent reported: "The University is reportedly facing a financial crisis and could be forced to close earlier than usual. The University Bursar Mr Ben Byembacazi was recently quoted saying the university council had failed to release all the money has budgeted for the 2008/2009 budget and was now appealing to the government to avail the promised contribution." Has the financial crisis at the University affected the programme any time 2000 – 2008?

Financial crises continue to affect the university.

APPENDIX I

Narrative Financial Management Assessment (with 8 attachments)

Makerere University. Report preparation questions/matters.

1. Total overview: funds in agreement.

- From 2006/2007 the planning has been developed to cover sub-activities
- When it comes to resources only the Swedish financial funding has been stated in the agreement and developed during the planning phases.
- However when it comes to execution of activities, the in kind resources from the Makerere University is even more important.
 - It does not matter how much financial funds are available, if researchers, coordinators, administrators and governance resources are limited.
 - From the beginning inadequate resource-planning depends on the approval from Sida with requirement in the agreement on specified achievement from Makerere University of staff resources, Sida should have taken up that undertakings with the Government of Uganda to be included in the Agreement. After the pilot implementation phase it should have been realized that there was a need of specifying the in kind resources expected from the Makerere University. In some cases it seems as coordinators and others have not had time to fulfil the expected governance of the programme.
- That was quite clear already during the phase-I-period, that Makerere does not have enough financial resources available for employing adequate staff for fulfilling the duties expressed in the agreement, especially concerning financial matters, coordination and governance of the program.
 - If Makerere University had realized that they could not afford to have enough staff for the expected matters, it would have been better for Sida to have added funding, even for necessary staff, but not as unspecified overhead!
 - A general Overhead budgeted cost item is not sufficient, instead specify uses.
 - Sida should also have requested how much staff and what kind of staff, Makerere planned to involve. The Agreement (see Article 3) expressed only in general terms what Makerere University was supposed to do to fulfil its duties.
 - Yearly plans should also have indicated budget for participation of staff needed in people-months by categories (coordinators, unit accountants, etc.). Without such a budget of time allotted to agreed responsibilities, it is impossible to follow-up and assess why activities and reports have not been executed.
 - Sida should have developed a clear and complete design of the implementation document, but never prepared one.

- Makerere University should have recognized and articulated that it was impossible to carry out the program with the staff resources available. In my opinion they had not carefully prepared design from the beginning, especially for administration and internal control; thus the program was predisposed to fall short of reaching the expected results of the planned activities.
- Expectations for program performance should have been studied more thoroughly from the beginning, with baseline-studies and development of indicators of success.
- Recommendation: For a new phase it is very important that the availability of staff resources have to be considered, with or without Sida-funding. It will also be very important to specify what is meant by “Major reallocations of the budgets (+ or – 30% on each budget item)” Does each *budget item* mean each cost item for an faculty/unit or for each faculty/unit as whole or for activities or anything else”.

2. Agreement – Follow up of sub-programmes.

- Attached to the agreement is an approved budget for each sub-program. The financial statements only cover the total costs for each faculty/unit.
 - There has never been any breakdown of the costs for each sub-program. It is therefore difficult to ensure whether the funds have been utilized for intended purposes.
 - Annual Activity plans that had no sub- activities have now been supplemented with budgeted costs for each sub-activity. It is important that there is coordination between the annual planning and the financial reporting so they have the same structure in coding of sub-activities for uniform follow-up. Research monitors had planned in February 2007 to help Makerere to align activity planning forms with reporting forms revised in 2006; Sida cancelled the trip, probably without understanding the importance of this issue; and probably missed the importance due to discontinuity in program officers 2005-2008. (Probably due to inconsistency across program officers 2005-2008: Akuffo, de Carvalho, Freudenthal, de Carvalho.)
 - With the present manual accounting system sub- activities can not be followed up, however, with the new computerized system it will become possible.
 - In phase I the follow-up of the Programme Targets and Achievements was made only on a verbal description in the Annual Progress Report and not made in outline easy way.
 - The follow-up of the Programme Targets and Achievements in the original Agreement and Annual Activity Plans was not compared with the budgeted and actual expenditure. In recent years attempts have been taken for this type of follow-up.

3. Organisational structure.

- o Better rules and regulations have been developed through the Financial Management Manual. The organisational structure has to be further developed, as no clear governance roles have been developed for the implementation of the program during the two phases.
- o The planning format for the Annual Activity Plans has been developed during the years evaluated 2000-08. However the participation of students, researchers, sub-coordinators, SGS, the Steering Committee and the council in a bottom-up building process of the various activities accompanied with follow-up, governance and decision-making procedures varies from faculty/unit to faculty/unit and from time to time.
- o The monitoring and continuous follow-up of activities and results in relation to preset targets and objectives could have been more adequate if governance in the program had been better organized. Better monitoring at an earlier stage could have signalled failure to reach targets and made it possible to tackle other problems.
- o Predefined indicators of progress should have been designed from the beginning, lack of that has made it difficult for a continuous monitoring. There has been no focus on intended results, and data has not routinely been collected.
- o Changes in Leadership at various levels from top management to the faculty/unit level and at SGS are needed. Those at SGS and coordinator level have not had sufficient time to devote to governance.
- o Some coordinators (especially smaller units) ask for more streamlined management, as now activities seem ad hoc, rather than planned, and the meetings of the Steering Committees should be more frequent. There is a request for more and better planning ahead of the Steering Committee meetings, and for a pre-planned schedule of meetings.

4. Undertakings by the parties.

Article 3 (see copy, attachment 3)

- o Sida's undertakings are limited to providing financial support to the activities and to contracting with relevant Swedish institutions.
- o Makerere University has much broader undertakings for the execution of the Program.
 - o The undertakings and responsibilities for Makerere University are expressed in general terms, but are comprehensive in nature
- o In my opinion Sida has fulfilled its undertakings expressed in the agreement.
 - o In contrast, Makerere University has not fulfilled its share, for example, to:
 - provide entire professional and administrative support
 - ensure that administrative and internal control of project resources are adequately carried out
 - monitor the use of funds.
- Both parties must know the expectations financially as well as in kind and a good format is the one known as the Logical Framework.
- Makerere University is the owner of the program and responsible for its successful execution.

- o It is, therefore, disappointing that Makerere University has not made better use of the many reports, manuals, and guidelines issued during 2000-2008.
- In 2000 PWC prepared a report, “Assessment of Administrative & financial Capability”, covering the administration of the whole University. Multiple manuals and guidelines intended for use in the collaboration with Sida followed, including:
 - o Guidelines for budgeting, accessing and accounting for research fund at Makerere University”; “Accounting procedures/systems for Sida/SAREC Programme”; “Financial Management Manual”, “Guidelines on Division of Labor”, as well as reports with responses and Action Plans.
 - o It could have been extensively big opportunities to develop better administrative, internal control and monitoring routines during the years for developing it to the better.

5. Planning

- o In the Agreement for Phase II, Swedish funding was budgeted on Sub-Programme.
- o In annual Activity plans the sub-programs were not budgeted on separate cost item lines.
 - o This has now been changed to be budgeted by sub-activities.
- o In Phase I the budget allocations for each sub program were not yet known by the Faculty of Technology (Audit report 2000, 2001, and 2002). The planning was done very late in Phase I, for example for the planning period 2003, the activity plans were not presented before early April 2003, that was more than three months after the start of the implementation year, however, according to the agreement, the program was not requested submit it later than 31st March for the forthcoming year.
- o Progress and upcoming activities were discussed in an Annual Review Workshop in May 2003 (Activity Plans first presented in April 2003). Then planning moved to prior to the start of the activity-year, and Annual Planning Meetings moved to March/April every year. The total funds to come from Sweden were limited to the framework laid down in the Agreement.
- o When issuing the Annual Activity Plans the governance failed to keep the budgets within the total framework, before referring the combined request to Sida.
 - o The Steering committee, SGS, and coordinators could have been more active at this stage; through cooperation they could and should have adjusted the budgets before sending these to Sida.
 - o As Makerere University is the owner of the Program, it is they who must adjust the plans to match funds available in the Agreement, as Sida will not increase the amount.
 - o Sida shall only make decisions about major reallocations, but still within the framework.
 - o The budgets in the activity plans submitted to Sida for the year 2008/2009 exceeded the framework with about 20 %. If the activity plans had been submitted well ahead the time-limit it could have been thoroughly discussed in faculties/units – SGS – Steering Committee.
 - o The same concerns Annual Progress Reports with the financial Statement, the SGS and the Steering Committee must be given enough time to review the reports.

- o It is important that the budget be used as tool for financial management.
- o It is important that the cost codes and cost names in the computerized accounting system be coordinated with the different cost elements in the activity planning for phase III to facilitate follow-up.
- o Planning and budgeting has only covered the Swedish funds.
 - o The in kind input from Makerere is equally important. The contribution from Makerere University, in kind, in manpower should have been specified:
 - Coordinators x person weeks/year
 - Director x person weeks/year
 - Accountants x person weeks/year
 - Financial Manager x person weeks /year
 - Financial Controller x person weeks/year
 - Etc.
- o It seems as many staff-members are so busy with other things that they have insufficient time to carry out responsibilities under the Agreement.
 - o When planning, other obligations should be considered so the plans will be more realistic.
 - o Researchers also need to do more realistic planning.
 - o The drop-out of students needs to be considered in the planning (drop-outs leave behind some funds, but not necessarily enough to support all of the costs of a replacement students).
- o There seem to be many small hierarchies working under the Program, where leadership is based on friendship, small units don't find their voices are heard.
- o The coordination office has to work on a central level and have enough staff members so they can work with full capacity. It will be important for the new Task Force for Administrative and Financial Reform to take up the issues so that SGS either is relieved of some administrative tasks, or gets more help.
 - o If a Grants coordinating office is established it is very important that they have power and that the problems are not moved from one place to another.
- o In some cases there has not been coordinating planning in procurement matters, for example computers and networks are bought by DICTS, while the faculties have to buy printers and ink, printing paper; this is not coordinated. In the worst cases computers have been brought to faculties lacking space to install them, where they are left unpacked.
- o This is an example of bad planning and misuse of funds.
- o There will be continuing need for workshops and seminars about use of Logical Frameworks for planning, monitoring and evaluation, work as this process is still quite new for many, even after the self assessment workshop organized by Sida and SGS in 2008. As this occurred near the end of a phase, not at the start of a new one when it would have been more natural to set performance objectives, it came too late to help for Phase I or II—but provided some orientation for Phase 3.
- o Future budgets should be developed individually, for each student and activity, then consolidated by each unit, and finally by SGS.
 - o All budgets and plans must have the same design for the project to facilitate smooth linked between them on all levels. Budgeting and planning is time-consuming, therefore it has to be started well in advance on faculties/units so

SGS and the Steering Committee will have enough time for review, control, and coordination. When planning the budgets it is important to attach work-plans showing the time when the activities shall be implemented months by months.

- o In budget preparations, planning procedures, and proposal making it is important to involve the accountants at each faculty/unit. If included they will feel they are involved, can input and gain better understanding of coming reporting procedures. It is disappointing that accountants in some faculties/units are not involved in the planning process.
- o Some faculties/units have already declared that they don't have enough staff for carrying out the duties, so they have included costs in proposal-estimates for consultants, as the employment process for employing additional staff-members is very slow. Sometimes consultants can be better, as they can be given tasks linked to the project for a limited time period, and can be specialists for the task required; Gender Mainstreaming Division has done this.

6. DSS Iganga.

- o In DSS Iganga they have multiple studies, sometimes at the same time and making use of the same survey cycles. When payments are delayed due to delayed disbursements, DSS borrows funds from other projects.
 - o It is important that they have enough personnel there for planning ahead and appropriate accounting. A review of the organisation of the management at DSS Iganga is urgent. Delegation of DSS from SGS to School of Public Health (under College of Health Sciences) has to be documented and made clear—so far the College is in a planning, rather than operational stage.
- o DSS's regular operations are now funded by Sida, although some studies have additional funding. Nowhere else in the world is a DSS run by only one donor. The present Steering Committee does not have the time to look into a special issue such restructuring and managing DSS operations. DSS in its current arrangement has difficulties accommodating other funders who indicate interest in the DSS. In other faculties the staff receive salaries from the University. Unlike other units, DSS must have survey and related staff available and on salary as needed to maintain constant survey schedule, and for additional work called for under specific studies. DSS cannot afford to wait until Sida funds are disbursed—if these are late, it threatens the very nature of the DSS as a continuous process; thus DSS must borrow funds from other projects if Sida funding is late.
- o *[Proposal to SGS and Mak U are now being drafted.]* DSS seeks a new structure with an independent board. Makerere University would sit on the board, (possible examples as all is under consideration: from the university secretary's office, from VC's office, from Institute of Statistics, from the College of Health Sciences, from other stakeholders and donors—in order to assemble a group with more diversity, not all of whom have already known one another; it would also help raise funds. A new governing body of DSS would engage with multiple stakeholders; currently only Makerere University has power over DSS through the Steering Committee and SGS.

7. Indicators

- No indicators were introduced either in phase I or phase II, despite explicit advice from the research monitors from 2004 forward. A major deficiency has been the continued lack of indicators to allow the progress and impact to be measured.
- Results-oriented plans and budgets are now being planned (see December 2008 Concept Paper from Makerere University to Sida prior to the application stage for Phase 3) and it will be important to move forward to full implementation of a monitoring and evaluation framework for Phase 3.
 - Indicators should be realistic, measurable, and directly related to objectives.
 - The indicators should be connected to the financial statements and budgets.
 - Performance as well as financial indicators should connect governance and implementation for more effective, efficient program management
- Better frameworks for monitoring and evaluation should help coordinators to understand the indicators.
 - Some coordinators request training in understanding of monitoring and evaluation frameworks, including indicators.

8. Internal Control – Internal audit.

- SGS should have been given more power and time for monitoring of financial matters and administrative matters or routines.
 - The current staff is insufficient for carrying out reasonable control and follow-up. Some faculties/units do not accept the control from SGS (see meeting with the accountants) where SGS is seen more as an enemy.
 - Administrative matters and internal control are well described in the “Financial Management Manual for Sida/SAREC project ” (prepared in 2005, although no date appears on or within it).
 - One of the most important internal control matters is to follow-up of the advances (see more under separate heading below). An internal control should provide reasonable assurance regarding achievement of objectives in the following categories:
 - Effectiveness and efficiency of operations
 - Compliance with applicable laws and regulations
 - Reliability of financial reporting

The primary objectives of internal controls are to ensure:

- Reliability and integrity of information, compliance with policies, plans, procedures, rules and regulations.
- Safeguarding of Assets.
- Economic and efficient use of resources.
- Accomplishment of established objectives and goals for operations or programmes.
- Accounting controls include all routines from transaction to financial follow-up
- A fundamental principle is that the person who executes the internal control does not execute the tasks he or she controls. That principle adhered to completely in this program with the few staff members designated for this purpose.

- For better control, separate Sida bank-accounts were established to avoid comingling with other funds. The earlier problem of co-mingling of funds seems to have been resolved.
- Internal audit exists to a very limited extent.
 - The so called internal auditors are not auditors, as they only pre-check transactions in advance of payment and cannot, therefore, independently audit the same transactions afterwards; they also check the bank reconciliations.
 - The internal auditors have not given any internal audit report with observations, comments, recommendations to draw responsible staff members attention to certain matters--at faculties/units, SGS or to the Steering Committee. The internal auditor has not checked whether the advances given have been settled or not, nor has the internal auditor checked whether any accountability settlement of advances has been booked into the General Ledger; at least there is no documentation.
- Internal audit control shall be conducted continuously and has, during both Phases I and II, been carried out to a very limited extent.

9. Monitoring

- A controller position (a person who controls or directs something in a department of a large organization) should be instituted to follow up findings and recommendations for input to decision making procedures, and to create a dialogue between program staff members on different levels.
- There is a need to add more staff in the SGS for program monitoring; such additional staff resources should also be used for giving advice to the different faculties/units on financial matters.
- See checklist for follow-up of financial matters in connection with the quarterly follow-up between SGS and each faculty/unit (Appendix L).
- Develop a Management Information System to facilitate better governance.
 - Poor reporting in varying formats and level of details (including feedback to coordinators on variances from plans to actual activities and expenditures—to SGS and from SGS to Steering Committee). Some coordinators have said there is a need for more monitoring, both performance and financial.
 - Some faculties/units resist control and monitoring by SGS, although SGS is carrying out important functions, often involving accounting and follow-up. The Planning and Development Department has succeeded to coordinate and control the funds with various faculties/units; at least no problem was expressed.
 - An internal (to Makerere University) Monitoring and Evaluation team might provide a solution.

10. Disbursement of funds.

- Article 4 in the Agreement sets out a prerequisite for disbursement: that the requirements be met and that progress and financial reporting as stipulated in Article 7 be submitted by Makerere University and approved by Sida.

- o The absorption of funds is not similar in all faculties/units, therefore a possibility of reallocation of funds from those research projects moving slowly to those moving faster.
- o Makerere University is responsible for planning, implementation, follow-up and reporting. “An externally audited Annual Financial Report shall be submitted to Sida no later than 31 August each year.” (Changed to 30 September for each year in Phase II)
- o External audited Annual Financial Reports have never been submitted within the time stipulated.
 - Delayed audit reports affect the continuous implementation of the programme.
- o During Phase I, Sida disbursed funds prior to receipt of any audit report. This practice could cause misappropriation of funds.
- o Another prerequisite is that 70% or more of the previous disbursements has been used by Makerere University.
 - As this obligation covers the whole program, it is important that all faculties/units plan to implement their activities during the same period.
 - Slow implementation in one faculty/unit can in the worst case affect the availability of funds for other faculties/units.
 - Continuous strong follow-up of the governance is therefore very important, so actions can be taken as soon as possible to avoid negative effects.
- o The last disbursement, which should have been made in late 2008, was delayed due to delays in submission of the audit-report. These delays have caused problems in the implementation of activities; thus faculties/units have borrowed money from other funds. The unpaid liabilities and commitments is said to amount to about \$1 million USD as of 1 March 2009.

11. Follow-up.

- Little reporting of highlights in terms of result/impact, even though new Annual Reporting Format calls for this; units are beginning to focus here.
- - The present reporting system could not ensure that all funding was used for the intended purpose.
- Management Information System is very weak (also stated by the Steering Committee).

A well developed Management Information System is very important for good governance on all levels. This system should not only inform on the control of money but also all other matters, such as performance and achievements—outputs and ultimately impact.

- Need for clear project conceptualization as a key factor for gauging achievement of intended objectives.
- Documentation is very important

12. Reallocations

- In the Sida project, reallocations can be made with approval of Sida if the changes are + or – 30 %; otherwise the Steering Committee to decide.

- However there are some problems in relying on the current the Steering Committee for this work:
 - they meet infrequently,
 - they do not have the overall view as performance monitoring has not yet been developed and information on which to base decisions is incomplete
 - all the members belong to and represent units with activities in the project, thus objectivity cannot be assured.
- The Norwegian embassy allows reallocations within 10 % + or - , if below 10 % they have no objection. Extent of follow-up unknown to Evaluation Team.

13. Steering Committee.

- Steering Committee is directly involved with planning, execution and monitoring of program activities, acting as a governing board.
 - However, this group has not shown signs of strong leadership. As some members have noted, the Steering Committee has no regular meetings, no plans, does not delve deeply into matters before it, does not coordinate reallocations and follow-ups, has no deep knowledge about special matters (for example, the operation of the DSS) and all deans and coordinators are working for their own interests.
 - The Steering Committee should include external members who can assess real needs across units and should be chaired by an outsider (outside the faculties/units involved in the program). Some argue the evaluation team should make strong recommendations to change steering committee in these ways.
 - There should be a Monitoring and Evaluation Committee with external members
 - The external members can see it with other eyes.
 - If Monitoring and Evaluation Committee makes recommendations, they have to be followed.
 - Sida should not pay before such recommendations are followed through.
 - Sida has been too weak in overcoming the inadequate governance until March 2009 when Sida first made deductions for unaccounted advances with SEK 877 329 and then asked for repayment of \$47 565 USD for Library activities from phase I . (see Annual Review Minutes, November 2008).
 - If compliance with the Agreement or failure to follow agreed rules of the partnership become problems, there should be a dialogue about why.
 - A broader umbrella shall be established for judging disagreement. (A member of the Steering Committee mentioned that the Ministry of Finance has a lot of power over Makerere, implication not clear.) The Monitoring and Evaluation team should be external to faculties receiving funds (or outside university?) or those in friendships with each other. Potential members include: bursar, some from Planning

Development Department, from VC's office or a dean or someone from another school not expecting funds.

- The power of the Steering Committee has to be clearly expressed, **defined**, documented, specific decisions followed-up regularly and overall performance monitored continuously.
- Others have explained that is very difficult for small units to have any say, therefore it is a waste of their time to attend as the main issues are ones of particular interest to the deans.

14. External audit

- External auditing as well as internal auditing are some of the controls put in place to ensure compliance.
- Annual audits are undertaken to ensure compliance with the specified requirements of donors.
 - If a private firm undertakes the audit, it is the Auditor General who appoints the firm.
 - The Auditor General checks the private firm in a review process.
 - A private firm is to audit an organization for no more than 3 years.
 - If the appointment is not for a new firm, the process is simpler; Auditor General's office does not need to ask for three proposals.
 - I recommend asking early in May for the Auditor General to appoint the auditor so the interim audit can start in June. Once the project asks for appointment it will take 3-4 weeks for the Auditor General to make it.

15. Financial accountability.

- Allocation, disbursements, and utilization of funds.
- All payments (including advances) during the year are recorded as expenditure when paid (cash basis), however advances shall not be accounted for as an expenditure until they are accounted for; in the meantime the advance should be recorded on a separate advance line.

16. Performance accountability

- Concerns result
- Follow up of program targets and achievements has been suggested but only partly done. It is very important that budgeted costs and planned targets can be easily compared to actual costs and achievements.

17. Other items not covered elsewhere

- Has the organisation done a good job as possible under the circumstances?
- Achieved intended results?
- Assessment of quality
- Grants office, a good idea, but important that the problem of planning, implementation and follow-up is **not** moved from one office to another office. Organisational structure roles responsibilities are very important.
- Deviations from plans shall be reported and followed-up.

- Consequences of non-compliance to rules and regulations have to be clearly expressed and followed.
- The accountants at each faculty belong to the Finance Dept but they report to the faculty.
- High bank charges and low interest gained on program funds are held on various bank-accounts.

18. Segregation of duties

Segregation of duties has been a problem in Iganga, which must be solved soon.

- o Section 12.6 of the Financial Management Manual stipulates that no one person should have the responsibility of more than one of authorization, custody or recordkeeping.
- o It also states that no one person should handle a transaction from beginning to end.
 - o During the audit of 2007/2008 it was noted that there is lack of segregation of duties in the accounts section at the Demographic Surveillance Site (DSS); and it was mentioned in 2005/2006.
 - o The DSS has one Accounts Assistant doing the following;
 - Writing requisitions,
 - writing cheques,
 - drawing money from the bank,
 - paying staff and other field activities,
 - posting the cash book,
 - preparing the bank reconciliation statement and
 - preparing accountability for the funds advanced to DSS from the Coordination Office.
 - o This matter has to be solved immediately, by using the newly employed accountant at the DSS for separation of duties between the two.
 - o This accountant was employed in May 2008, but he has not been told about the duties at DSS Iganga as he is working with other projects (also at Iganga site) for the moment, but a meeting is to take place in March 2009, when his duties with DSS shall be lined up so he can start this work.
 - o Segregation of duties is important as failure to segregate duties weakens the internal control structure of the project. The management response to the segregation duties was “An accountant was recruited, the duties will be shared between the Site manager, Accountant and administrator”. This must be executed immediately, as it has already been too long before implementing a segregation system.
- o It seems to be necessary to have cash at DSS in Iganga; I recommend an imprest system [See http://en.wikipedia.org/wiki/Imprest_system]; in addition it is important to monitor the cash regularly.
- o Lack of segregation can lead to errors and omissions whether intentional or otherwise to go unnoticed.

19. Lack of self-criticism

- o According to the Agreement is “Makerere University responsible for planning, implementation, follow-up and reporting of the Programme.”
- o Makerere University is the owner of the program and should not wait for actions from Sida. In the agreement the activities are well specified, as well is the funding. Only major reallocations of the budgets shall be agreed by Sida (see Article 4 in Agreement for Phase II) upon (+ or – 30%).
- o All deviations, bottlenecks, irregularities should have been followed-up.
- o Roles and responsibilities are well designed and described—BUT not followed. It is now time for self-examination why roles and responsibilities have not been followed and even more important how it can be avoided in the future.

29. Advances

- o Accountability for advances is missing as the receivers have not regularly been asked to account for these.
 - o The lack of accounting does not give an accurate picture of funds utilized, as advances can not be recorded as expenditure until finally settled and approved. Better governance was expected to be established and documented, but still not done.
 - o Advances have not been adequately followed up for years, one year amounting to as much as \$ 918 360 (as at 30th June 2007), of which \$ 216 151 remained unsettled as of August 31, 2008 and \$ 106 359 had not yet been accounted for 28th February 2009, mainly in Faculty of Technology and Faculty of Agriculture.
 - o The procedures for accounting of advances have been very well described and regulated, for example in the M.U. Handbook Financial Management Control Instructions & Accounting Procedures from 2002, in M.U.Sida/SAREC Financial Management Manual from 2005, in Guidelines Accounting Procedures/Systems for Sida/SAREC Programme updated 2007, and in many audit reports and monitoring reports.
 - o Recently (2008) the accountability problem has been noted again.
 - Delays in presenting accounts should not be tolerated.
 - A contract Form with undertakings has been issued which must be signed when taking an advance.
 - Salary deductions shall be implemented, however not yet seen
 - Rules about deductions of salaries have been issued, designating who is responsible for carrying out decisions about deductions and how decisions are to be communicated.
 - The Handbook states: “that it is the duty of Superiors to ensure that all monies due to the University are recovered from the staff’s salary gratuity or leave pay etc”. The matter has been discussed in the Steering Committee and Annual Review Meetings without any firmer actions have been taken. This is a very grave mismanagement.
 - The coordinators should have talked about the advances within their units; the Steering Committee maintains overall responsibility. There are many risks with long unsettled advances: inaccurate reporting of

expenditures for program activities, utilization of funds for activities other than for the program, embezzlement, etc.

- Unfortunately it seems as all coordinators have not been informed about long outstanding advances.
- Sida has now decided to deduct unsettled advances from 2006 and 2007 from the March 2009 disbursement with SEK 877 329.
- In the Planning and Development Department that coordinates Norwegian funds as well as Carnegie funds, Paul Teffe stated that they have decided to make salary deductions for unsettled advances, but not yet substantiated.

21. Fixed Assets

- In Phase I there was no complete Asset Register and the fixed assets were not adequately marked; the Asset Register did not reconcile with the expenditure on equipment and minor equipment (Action Plan, 30 October 2003, response and action plan regarding audit of Swedish support to the University of Makerere carried out by Ernst & Young and presented to Sida 9 September 2003, and Action plan 2007.)
- For fixed assets in Phase II a Total Fixed Asset Register is kept at SGS and at each faculty, although they are not always up-to-date.
- The largest problem seems to be the engraving stated in the section 13.8. of the Financial Management Manual. In June 2007 135 computers were delivered, they were not controlled by the supplier until October 2007 and in some cases the external auditors report that computers are still not in use, which is explained as due to a lack of space.
- When checked by the supplier on the 29th of October 2007, these computers were either installed or repacked into boxes if space for installation was lacking. This is an example of bad planning and misuse of money. Are the computers engraved?
- Project assets may get lost or misplaced if they are not distinctly identified.

22. Disposal of Fixed Assets

- There is a Disposal Committee that visits units to advise and judge disposals of old, not usable and obsolete assets. The Disposal Committee has not visited the SGS or Sida project.

The Disposal Committee should come although SGS has not yet initiated this process to determine what items (purchased since 2000 start of pilot project) may be ready for disposal.

23. Procurements

- During phase I the procurement process for equipment was considered as very cumbersome and unnecessarily bureaucratic; there were problems with the customs and taxes which remained during the first year of phase II; the burden has eased due to simplified customs and taxes procedures, better knowledge on campus, and above all, by improved planning already in conjuncture with Annual Activity Planning.

- The same procedures apply to all faculties/units in the Makerere University. The officers in the Procurement and Disposals Unit participate in workshops and seminars.
- Procurement methods are different depending on the value of the procurement. For Open Domestic Bidding the minimum tendering time is expected to be 36 working days and for Open International Bidding minimum 51 working days. (*See Attachment 6 a) Minimum statutory tendering time (working days) 6 b) Procurement methods & Thresholds and 6 c) Summary of Procurement Cycle to this appendix*).
- Usually the requirement is for 3 quotations to be attached. If three suppliers are not available, the purchaser must provide an explanation for evaluation by independent staff; then the request can go to the Contracts Committee.
 - Anything above 50 000 000 shs must go to the Solicitor General, who reviews and signs the contract; this takes about a week; the Contracts Committee meets twice a month. In Sida projects, the director SGS must also sign the contracts.
 - For bigger procurement about one week is given to allow suppliers to file complaints.
 - The Planning and Development Department gives advice in procurement matters and takes matters to the Contracts Committee.
 - Various Procurement problems have been solved by them; procurement documents must be complete as missing documents have been typical causes of earlier procurement delays.
 - Procurement plans are essential; problems occur when a unit/faculty sends in a procurement plan for the whole faculty, as requested by the University, but does not make a separate list of the items for procurement using Sida funds, and does not attach this Sida-funded list for procurement to the Annual Activity Plans. This separate listing of items for purchase using Sida funds has been little done, and its absence causes problems. In Phase II there was no general procurement plan. In the yearly annual activity plans, only a few faculties had added a procurement plan. Starting 2006 all faculties were supposed to have procurement plans attached to the yearly activity plans. However, procurement plans were mixed with other projects and not kept separate.
 - It is important that the specific procurement plan for Sida/Makerere research program be attached to the Annual Activity Plan and communicated to all concerned staff-members such as coordinators, sub-coordinators, researchers, students and accountants, etc.
 - In the new Phase III each faculty/unit will need to submit a Master Plan for Procurement, or there will be problems; newly participating units will need to do this as well as units continuing to collaborate with Sida and Swedish universities. It is the responsibility of each coordinator to show it as a separate document.
 - The University expects every faculty to have an overall procurement plan; they should have been done for each project and then consolidated. This offers a good example why accountants should be in planning meetings—so they can help assemble unit procurement plans. The procurement unit has been

strengthened, but it still has too few staff. Many people who complain about procurement have no procurement plan connected to the program. It is also important that the plans are well coordinated the implementation of the project as, for example, faculties have bought computers without having any space to install them.

- o It is important that procurement be made locally as much as possible: to encourage development of a local maker, warranties, services and spare parts.

24. Utilization of funds

- o Inadequate budgeting and planning during phase I with yearly estimates; now estimates appear attached to yearly Activity Plans (format still not suited to doing this by activity—and format revision still needed). Due to inadequate budget and planning procedures as much as 55% of the estimated budget for the period 1 September 2000 to 31 December 2002 was unused (Audit report). During both Phases I and II there was slow absorption of funds. Phase I was prolonged to December 2005, although Phase II started July 1st, 2005. The low absorption of funds during Phase II has been excused because it could not start before Phase I was fully implemented. (Comparisons for more recent times can be calculated, but to do so is time consuming.) The starting date of Phase III has to be carefully considered. Despite better planning procedures the absorption rate for Phase II has been very slow because the annual activity planning did not work well either for 2007/2008 or 2008/2009. This was predicted by the Monitoring Team and was the reason for scheduling the site visit in February 2008 that Sida cancelled, probably without realizing the importance.
- o The total budgeted amount for consolidated budgets may not exceed the original total in agreed budgets, Therefore the budget-planning for the year 2008/2009 only reached some kind of first step—as the total exceeded the framework by 20%.
 - o The first consolidated estimated budget amounted to 50% more than the approved framework.
 - o Most of the faculties/units budgeted for planned activities with amounts exceeding the original agreement.
 - o The budget-process should have continued until a budget within the framework was reached and no budget should have been sent in to Sida until it amounted to no more than the framework ceiling. Anything less exhibits a lack of responsibility and governance-ability among the coordinators and all together as the Steering Committee.
 - o It is especially remarkable that such unrealistic budgeting have been done, with the knowledge of the usual low absorption-rate. To some extent the problem can be explained by having budgeting only financial resources and not the Ugandan in kind resources. It is impossible to carry out all activities with the existing staff.
 - o It is Makerere University which has the undertaking to plan, implement and follow-up the program and it is not up to Sida to check each activity. Only deviation of 30% + or – on any budget item shall be referred to Sida for written approval.

- o The Steering committee is supposed to have the overview and responsibility to judge the requests from faculties/units to approve necessary changes and refer these to Sida for approval when the reallocation request is greater than 30%.
- o Final decision should be taken up in the Annual Review Meeting.
- o Reallocations should be avoided, except where lack of reallocation will delay researchers who are ready to move forward—and maybe delay disbursement). New activities, which diverge from the original agreement, should be rare except when it is the uncertain nature of research itself that necessitates changes.

25. Accrual accounting

- o All expenses have been recorded as expenditures when paid and therefore no reliance can be made on closing balances (cash records).
- o Makerere University was already expected in 2003 to establish and document better procedures at units and central level at Sida to address this.
- o This obligation has not fulfilled in the current recording of transactions. For the last years a separate appendix of summary of commitments has been attached to The Annual Financial Report.

26. Adherence of manuals, guidelines and so on.

- o University's own manual on donor funding (2003) was not known to all concerned staff members in each faculty; it was taken up in the Annual Review Meeting in May 2003 and sections distributed. Now staff members seem to know about the present Financial Management Manual but not all adhere to it (for example concerning advances).

27. Follow-up of administrative costs, consumables and Faculty Research Funds.

- o In most cases Administrative Costs and Consumables are paid on estimation. In phase I, 6% was used to estimate and Administrative Costs were specified in a separate guide.
- o For Phase II the administrative costs have not been specified by Sida as they were for Phase I. In the assessment plan to the agreement for phase II it is suggested that Sida support research administration with a maximum of 6 %.
- o In the Research and Innovations Policy of March 2008, under Section 4.4 Improve funding for research and Innovations:
 - o “4.4.3 Require all research projects to contribute 15% (5% to the SGS, 3 % to the Department, 3 % to the Faculty and 4 % retained for the center) of the research costs as institutional overheads/indirect costs.
 - o This shall be reviewed by the Board of Research and Publications from time to time.”
 - o Such a general clause should not be accepted by Sida; of course administrative costs can be included in the original budget, but each purpose has to be specified.

- o Sida should give clear written instructions as to how it anticipates the administrative costs are to be utilized. In Phase I Sida was very strict that it was essential for the running of the programmes that the 6 % administrative funds remained unchanged and that it could not be utilised for salaries of researchers for doing research.

28. Cash flow-forecasts.

- o By issuing cash-flow-forecasts, for example for 6 months, it should be possible to see how commitments will affect liquidity. By assessing the implementation of various activities, need for reallocations can be predicted. Forecasts can also help in the procurement process. Forecasting is a good tool for improving governance. Cash flow forecasts are not among the program requirements, but will be useful.

28. Risk level in the financial transactions.

- The present manual on accounting of costs as well as of advances implied high risks in handling the transactions. The already procured computerized accounting system is highly needed and should be in full effect from July 1, 2009.
- Other risks Include big variations in the conversion rate between SEK and US\$, which has varied from about 1 \$ to 10 SEK in 2000 to 1\$ to an average rate of 6,44 SEK in 2006/2007. In March 2009 the rate is about 1\$ to 9 SEK. These variations very much effect the funding.
 - Sida requires that 70% of the total disbursed funds be utilized before another disbursement takes place (Article 8 in the agreement). Units, which are very slow in absorption of funds, can delay the progress in units performing faster. Long delays in accounting for advances can indicate embezzlement.
- If students drop out after that carrying out some activities can it affect the original budget. Funds thought to be committed may be left over, but maybe not enough to support another student, as some of the funds will have been used.
- Slow absorption for longer time than expected can cause higher administrative costs for the implementation of the program.
- Insufficient analysis of problems and needs.
- Bad governance can affect a proper implementation of the program.
- Segregation of duties, especially in Iganga, weakens the internal control structure of the program.
- Fluctuation in exchange rates.
- Sustainability
- It has to be assessed what kind of measures can be taken in order to avoid or minimize a likely risk situation—see further explanation in report.

30. Training.

- There is a constant need for seminars, workshops and other trainings for planning, use of indicators, accounting of sub-activities, procurement, disposal of assets, accountability of advances, follow-up of targets and achievements as compared to actual expenditure, and so on. This needs to be planned.
- Planning and Development Department has run workshops and seminars, but continuous training is needed, especially in doing procurement plan.

- Training is needed for using a new monitoring framework including development of indicators. Most staff-members will need training for and in phase III.
 - To understand of indicators.
 - To understand and use the new computerized accounting-system. Success will very much depend on the units.

31. Audit of old advances from Phase I \$ 415 184.

- Lack of accountability of advances is not new. The Audit report “Summarized accounts for the period September 2000 to June 2005 together with the report and opinion, thereon by Auditor General” mentioned under: The status of previous year’s audit findings is shown below:
- Under point 1. “Outstanding advances amounting to US\$ 415,184. Year of reporting 2005. Remarks: *Outstanding*”.
 - On May 2008 the University Secretary sent a letter to The Inspector General of Government about queries raised.
 - For the outstanding advances the present status was described, most of them were said to have been accounted for, but still some had only been partially accounted for, one advance was still on the Medicine account for maintenance of the equipment, one in Medicine committed on Repairs, another the first letter of credit failed in Medicine but it now awaiting installation of equipment, new amount not known (it is said to have been accepted by Sida Nov 2007)
 - another balance is carried forward now awaiting audit clearance and another has partially been accounted for now (2008) ready for verification.
 - It is serious that all old balances have not yet been settled for phase I (2008), and secondly the accountability has not been audited by an external auditor; and it remains unclear how these expenses have been accounted for in the final financial report for the phase I.
- Even if Sida has pointed this out before and also taken it up already Nov 2007, Sida should have taken firmer steps much earlier, as the longer matters are unsettled the more difficult it is to get a true picture.
- I have visited the Auditor General and the matter of outstanding advances has not been cleared in any audit report. They suggest that the project (through the bursar) write a letter to the Auditor General asking him to draw a matrix of all outstanding matters to explain the present status. The Auditor General can give an answer within three weeks at the earliest.

32. Computerized accounting.

- The system Navision has now been installed, implementation has started, and it is expected to work entirely from July 1, 2009.
- It is very important that cost codes in the accounting system are coordinated with the cost elements in the Activity Planning for phase III to facilitate follow-up.
- The system will very much depend on the faculties. The new system will give information about the cost of each sub-activity; therefore the costs have to be coded on faculty level. Coordinators, researchers, students, accountants must have

a good knowledge about the system and how the reporting shall be executed. The coordination has to be taken as a matter of urgency.

- It is also important that all staff-members with responsibility for the follow-up of actual expenditure compared to budgets and for follow-up of advances be able to enter into the systems and look on their accounts; they should not have access to post or change anything, just to read.
- The system is built so this can be done, but it is not installed. There are networks connected to almost all the faculties/units in the programme, so the basic tools are there; perhaps DICTS can assist.

33. Sustainability

Some coordinators are concerned about the sustainability when Sida leaves the project. It is very, very important to maintain research continuity from the project. Norway is now ending the funding to Gender in June 2009, and has made it clear that there will not be anything more, except a 6 month or one year extension.

34. Grants Management Office.

Grants Management Office for the whole Makerere University (and a Grants Management Office for the New College of Health Sciences) are recommendations to take up as part of the newly reconstituted Task Force on Administrative and Financial Reform for further consideration.

35. Environmental impact.

The environmental impact was enforced in the phase II agreement and an assessment has been done, but I do not know if it has been followed.

36. Political environment

Political environment has to be assessed.

**Appendix I Attachment #1
Makerere University, evaluation 2009.**

Relationship between funding and financial management to programme achievements,

1. The organisational structure should be very clear.
 - Participation of all concerned staff-members, researchers and students in the planning, analysis, break-down and compilation of the plans and budgets and discussions before final submission for approval and/or adjustments.
 - To have a clear organisation structure showing responsibilities and authorities on all different levels concerning financial and accounting management matters (there have been so many reports but little has happened since 2000 up to now)
 - Expected participation (DVC-Adm, Council, Steering Committee, SGS, faculties/units and so on-
 - Are there conflicting interests between the faculties/units, SGS and the Steering Committee?

2. Planning, budgeting and implementation of the program
 - Formalize the importance of baseline data and performance indicators at the inception of the plan against which the actual performance should be compared at the end to establish the success or failure. The indicators shall be clearly and well defined.
 - Importance of procurement plans in advance, Better discipline in procurement planning and adherence to procurement plans
 - The roles of the Steering Committee and SGS.

3. Implementation of a firmer management system as well as a management information system for achieving better governance of the program.
 - Evaluate the financial management (including advance system)
 - Follow-up of Program Targets and achievements compared to budget costs and actual expenditure
 - Computerized system for project accounting to unanimous with the budget plans in an integrated financial management system covering all sub-activities and having a separate cost-item line for each sub-activity within the faculty/unit.
 - Swedish collaborators role.

4. Follow-up of the program
 - How has the budget been used for implementation of activities and how has the budget been used for governing and control of the program?

- How are the financial matters and follow-ups communicated between the coordinators in each faculty/unit and the sub-program-groups? Any decisions taken in relation to these coordination's?
- Is the program concept understood at all levels and communication efforts adequate?
- Timely and responsive reporting to various stakeholders.
- Which are the main bottlenecks recognized to a harmonized development in respect of planning and implementation (over-budgeting, reallocations of funds and so on)?
- Is the project accounting and management information system adequate for proper governance and follow-up of all activities? How have the planned sub-activities been implemented and have the planned sub-activities been compared to the achievements?
- Decisions to be taken in connection to deviations from the original agreement. Procedures for reallocations,
- Describe coordination with the Swedish collaborators in connection with follow-up matters.
- Evaluate variance analysis report from coordinators about difference between actual expenditure and the budget as well as SGS reports to the Steering Committee about the same.
 - Periodical reviewing with comparison budget plans and actual expenditure against the work carried out
 - Work accomplished in comparison to the plans
 - The problem that have acted as a hindrance to the implementation of the program. Any justifications?
 - Cash flow forecast.

5. Internal control, monitoring and internal audit.

- Special emphasis shall be given to development of a better internal control system.
- Introduce comptroller and monitoring positions to a strengthened and firmer control of the program, including advice and recommendations to coordinators and accountants and monitoring of progress indicators in the program.
- The coordinating office shall have a more active role
- Introduce adequate internal audit system for control and recommendations for the future to a more adequate and good governance. (the present pre-checking is not an audit procedure)
- Segregation of duties.

6. External auditing and Sida's follow-up

- Timely external auditing with management audit reports.
- Evaluate if Sida's follow-up of audit reports and other reports are sufficient for their consideration if funds have been used for intended purpose as per agreements.

- How can the follow-up of introduced performance indicators of the program highlight strengths and weaknesses?
- Utilization of audit reports for good governance.

Appendix I attachment 2 a.

Research cooperation between Sida and Makerere University, Uganda
Summary of the prephase September 2000 – December 2001, phase I January 2002 -December
2005 and phase II July 2005- June 2009.

(Audited figures are used from September 2000 – June 2008, for 2008/2009 has only preliminary figures for the period July-December 2008 been used. For 2009 are so far no actual received funds or Actual expenditure available.

Period	Balance brought forward US \$	Funds allocated SEK	Funds received SEK	Funds received US \$ incl interest	Expenditure US \$	Balance carried forward US \$
Sept 2000- Dec 2001	0	17 477 500	17 477 500	1 663 893	786 860	877 033
January – December 2002	877 033	27 978 839	37 628 839	3 959 891	1 716 258	3 120 662
January – December 2003	3 122 138	25 192 874	18 942 874	2 461 614	1 918 445	3 665 307
January – December 2004	3 665 307	27 075 588	11 787 794	1 551 469	2 159 117	3 057 659
January – June 2005	3 057 659	12 784 398	9 533 034	1 240 724	2 932 103	1 366 280
Summary phase I	0	110 509 199	95 370 041	10 883 073	9 516 792	1 366 280
Extension of Phase I	0	0	0	0	1 366 280	0
Summary phase I	0	110 509 199	95 370 041	10 883 073	10 883 073	0
Period	Balance brought	Funds allocated SEK	Fund Received SEK	Funds received US \$ incl	Expenditure US \$	Balance carried forward US \$

	forward US \$			interest		
July 2005 – June 2006	0	29 536 145	29 536 145	3 890 191	1750 872	2 139 319
July 2006 – June 2007	2 139 319	29 159 834	14 792 747	2 166 286	2 877 227	1 428 378
July 2007 – June 2008	1 428 378	28 139 519	x) 28 617 563	4 458 471	3 552 487	2 334 362
July 2008 – December 2008	2 334 362	26 039 908	0	1 414	2 297 269	38 504
Summary July 2005 – Dec 2008		112 875 406	72 946 455	10 516 362	10 477 855	38 504
Less reallocations		- 4 378 590 + 101 600				
Summary phase II		108 598 416	72 946 455	10 516 362	10 477 855	38 504

x) 2006/2007 II
2007/2008 I

**Summary
Phase I & II**

219 107 615 168 316 496 21 399 435 21 360 928 38 504

	Interest	Bank charges
	0	0
2002	0	0
2003	1 669	1 730
2004	2 319	4 205
1/1 – 30/6 2005	0	4 306
200507-200606	545	1 196
200607-200706	4 652	2 523
200707-200806	2 178	4 240
200807-200812	<u>1 414</u> \$ 12 777	<u>1 266</u> \$ 19 466

Appendix I Attachment 2b.

Funds not disbursed from Sida in SEK 10/3 2009, for the period 2008/I.

Faculty/unit	2008/I	Reallocated	Unpaid from previous period	2008/II	2009	Total SEK
Coordinating unit	2 212 750	--	--	2 212 750	2 217 500	6 643 000
Fac of Agriculture	724 000	- 600 000	--	724 000	688 000	1 536 000
Fac of Social Sciences	1 511 262	- 850 000	--	1 511 262	1 255 741	3 428 265
Fac of Technology + Reg Dev	3 117 134	--	--	3 117 133	2 657 815	8 892 082
Fac of Medicine	2 243 874	- 2 928 590	--	2 243 873	1 979 822	3 538 979
Library Activities	497 930	--	--	497 930	415 000	1 410 860
ICT	2 445 000	--	--	2 445 000	2 125 000	7 015 000
School of Public Health	162 737	--	--	162 736	146 737	472 210
Mass Communication	409 050	--	+ 101 600	409 050	230 800	1 150 500
	500 000	--	--	500 000	500 000	1 500 000
Grand Total	13 823 737	- 4 378 590	+ 101 600	13 823 734	12 216 415	35 586 896
From older Sida projects to Science					To be covered by reallocations from other faculties/units	
Liabilities and	Commitments	1 st March 2009	About 1 miljon \$			

Appendix I, Attachment 3.

EXCERPT from Specific Agreement on Research Cooperation between Sida and Makerere University on support of Research activities during 1 July 2005 to 30 June 2009.

ARTICLE 3 UNDERTAKINGS BY THE PARTIES

Undertakings by Sida

Sida shall provide financial support to the activities covered by this Agreement,

Sida undertakes to contract relevant co-operating Swedish institutions in accordance with Sida's Assessment and Approved Budget (Enclosure 1)

Undertakings by Makerere University

Makerere University is responsible for the execution of the Programme. In fulfilling its responsibility, Makerere University shall provide the necessary professional and administrative support, personnel services, and any other resources necessary for the successful execution of the Programme. Furthermore, Makerere University shall ensure that administration and internal control of project resources are adequately carried out.

Makerere University is responsible for monitoring the use of funds and shall ensure that cooperating institutions use them only in accordance with Sida's Assessment (Enclosure 1).

Makerere University undertakes to contract the relevant cooperating external institutions in accordance with the outlined programme and budgets in Sida's Assessment (Enclosure 1). The draft contract between the parties shall be submitted by Makerere University to Sida for no-objection and the institutions shall endorsed by the Central Administration of the institutions.

Appendix I, Attachment 4
STUDENT ANNUAL ACTIVITY PLANNING

[Proposed by Apolo Kyeune for consideration by Steering Committee. Offered as a way
to consolidate planning by each student in Annual Activity Plans by units, to result in a common format for all vital information for SGS
and Sida; another to be propose for Senior Researchers]

Reporting Period:			
PhD Candidate:			
Title of Research:			
Goal/impact of Research:			
Objective(s): 1. 2. 3.			
Supervisors			
Mak: 1. 2.		Sweden: 1. 2.	
PLANNING			
Activity	Timeline <i>(highlight as necessary)</i> July – June	Budget (SEK)	Planned Output(s) <i>(Conference papers, publications etc).</i>

	J	A	S	O	N	D	J	F	M	A	M	J		
1.														
2.														
3.														
4.														
5.														
6.														

Appendix I, Attachment 5
STUDENT ANNUAL PROGRESS REPORT

[Proposed by Apolo Kyeune for consideration by Steering Committee. Offered as a way to consolidate 'institutional profile' information with Annual Progress Reports by units, to result in a common format for all vital information for SGS and Sida; another to be propose for Senior Researchers]

Reporting Period:						
PhD Candidate:						
Title of Research:						
Goal/impact of Research:						
Objective(s): 1. 2. 3.						
SUPERVISORS						
Mak: 1. 2.				Sweden: 1. 2.		
PLANNING		PROGRESS				
Activity	Budget (SEK)	Status	Actual exp. (SEK)	Committ ed (SEK)	Output(s) <i>(Conference papers, publications etc. = Achievements)</i>	Remarks <i>(e.g changes)</i>

1.						
2.						
3.						
4.						
5.						
6.						
Implemented activities not in initial plan (indicate expenditure <i>if</i> Sida funded and relevant remarks regarding budgetary implications)						
1.						
2.						
3.						

Narrative (*Any other comments*)

Notes on Outputs:

For Publications/papers, indicate the following: -

- Title of Publication/paper
- Co-authors (if applicable)
- Name, venue, ISBN and date of Journal/conference (any others so that SGS can track?????)
- Role played at conference(s) attended
-

For courses attended:

- *List name of courses*

Appendix I, Attachment 6 a. Materials from the Procurement and Disposal Unit

Minimum statutory tendering time (working days)

Method of Procurement	Advert Period	Bidding Period	Contract award Display period
Open Domestic Bidding	4	22	10
Open Int'l Bidding	8	33	10
Restricted Domestic Bidding	NA	15	10
Restricted Int'l Bidding	NA	20	10
Request For Quotation & Proposal	NA	5	5
Direct Procurement	NA	-	NA
Micro Procurement	NA	NA	NA

9

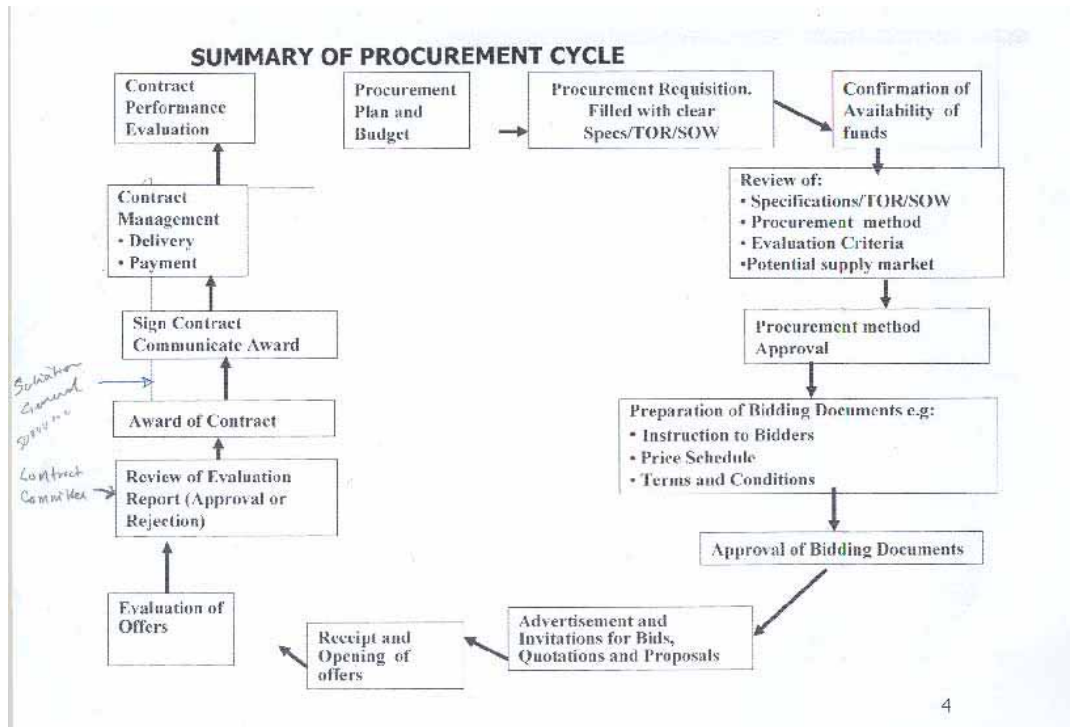
10 days for completion by other

Appendix I, Attachment 6 b)

Procurement methods & Thresholds

SUPPLIES (GOODS)	SERVICES	WORKS	PROCUREMENT METHOD
Above US\$ 35,000 or Shs. 70m.	Above US\$25,000 or Shs. 50m	Above US\$50,000 or Shs. 100m	Open Domestic Bidding or Open International Bidding (Advertising + public bid opening)
Value not exceeding US\$35,000 or Shs. 70m	Value not exceeding US\$25,000 or Shs. 50m	Value not exceeding US\$50,000 or Shs. 100m	Restricted Domestic Bidding or Restricted International Bidding (Shortlist + public bid opening)
Value not exceeding US\$15,000 or Shs. 30m	Value not exceeding US\$15,000 or Shs. 30m	Value not exceeding US\$40,000 or Shs. 80m	Quotations or Proposals Procurement (Shortlist + internal bid opening)
Not exceeding Shs. 2m	Not exceeding Shs. 2m	Not exceeding Shs. 2m	Micro procurement (Internal bid opening and NO Contracts Committee approval)

Appendix I, Attachment 6 c)



Appendix I, Attachment 7.

August 21, 2008

Cristina de Carvalho Nicacio PhD
 Division for University Support and National Research Development, UNI
 Department for Research Cooperation, SAREC
 Swedish International Development Cooperation Agency, Sida
 SE-105 25 Stockholm
 Sweden
 Tel +46 (0) 8 698 4020

Email: cristina.de.carvalho@sida.se

Dear Cristina

Re: Allocation of funds for 2007/2008 funds

It has come to my notice that the following units need to re-allocate some funds from their respective budgets. This is in respect of activities for the period 2007/2008.
 The re-allocation needed is as per the schedule below:

Summary of Re-allocations

Unit	Amount to Re-allocate	Item to Re-allocate from	Item to reallocate to	Comment
Faculty of Medicine	USD 55,500	Field Work: 45,500 Travel : 10,000	Consumables: 55,500USD	These are funds to cater for the analysis of Dr. Orem Jackson's Samples in the Netherlands.
Faculty of Technology	USD 254,511	-Equipment: 52,950 -Minor Equipment: 73,590 -Consumables: 32,105 -Travel 66,951 -Subsistence Grant: 12,565 -Unforeseen; 16,350	-Regional collaboration: 73,549 -Field work activities; 180,962.	Funds from Equipment, Minor Equipment and Consumables will be re-allocated to Field work. Funds from Travel, Subsistence and Unforeseen will be re-allocated to Regional Cooperation.
ICT and Infrastructure(DICTS)	USD 20,000	Equipment: 20,000	Field work: 20,000	These funds will be used by Moses Niwe to finalize his field work in Sweden.
Gender Mainstreaming	USD 29,785	Consumables: 29,785	Consumables: 29,785	These are funds re-allocated from

			As follows: -Gender Policy 12,000 -Gender Leadership Training 13,000 -Research on structural changes that hinder women from attaining leadership positions 4,785	an activity of paying external examiners which can be catered by the University Council funds. The money will be used to contribute to the formulation of the Gender Policy
Coordinating office	USD 65,000	-Research grant funds 40,000 -Travel 25,000	Consumables 65,000.	The funds are to cover the following activities which were not unforeseen by the time of budgeting. -Dissemination workshop 10,000. -Self-evaluation workshop 15,000. Increase on costs for holding the Genes and genomes Cross-cutting Course 10,000. -Installation of a financial system, 10,000. -Hire of External Auditors 20,000.

This is therefore to request you authorize the re-allocations as indicated above.

Yours faithfully,

Prof. Eli Katunguka-Rwakishaya
Director

August 21, 2008

The Director,
School of Graduate School,
Makerere University

Dear Sir,

Re: Verification of Assets

This is to inform you that the asset verification exercise which is carried on every end of a financial year is due.

This is therefore to request you to authorize Ms. Wandera Clare, the Assistant Bursar Stores to head a group of four Vacationers to carry out the exercise.

At the end of the exercise the group will be paid from the research account.

Thanks

Ms. Nakyewa Mary
Administrator – Sida/SAREC

August 22, 2008

The procurement manager,
Makerere University

Dear Sir,

Re: Purchase of a Financial System Soft Ware

Following a recommendation by the auditors to use a Financial System Soft Ware to ease the preparation of Sida/SAREC financial activities, the school of graduate studies went a head to solicit for a viable vender.

Several meetings were held in respect of the above issue. An evaluation meeting was held on 15th May 2008 (Minutes attached) and it recommended Dynamics NAV to supply the software.

This is therefore to request you authorize the purchase of the software as per the evaluation meeting recommendation.

Thank you,

Prof. E. Katunguka-Rwakishaya
Director

August 22, 2008

The University Secretary,
Makerere University

Dear Sir,

Re: Wiring of Funds to suppliers for Microbiology Subprogram Equipment.

The University Contracts committee in a meeting held on 30th August 2007 approved the purchase of Microbiology Equipment from the various suppliers (Documents Attached).

However these suppliers require an advance payment before they can ship the equipment as per the attached terms.

This is therefore to request you authorize transfer of funds to these firms. These are reputable firms which the Department of Microbiology has been using for most of their supplies.

Thank you

Prof. E. Katunguka-Rwakishaya
Director

Appendix I, Attachment 8.

New budget allocation of Funds 2009 for IPICS, IPPS and ISP.

Period: Jan-Dec 2009

Period	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009	
	Uga for Uga	Uga for Uga	Swe for Swe	Swe for Swe	Swe for Uga	Swe for Uga	Total
IPICS UGA:01	288 233	216 633	112 500	112 500	39 000	39 000	807 866
IPICS UGA:02	236 000	114 000	465 000	0	114 000	0	929 000
IPPS UGA:01	0	0	0	0	0	0	0
Workshop	39 134	0					39 134
ISP Coord			60 000	0			60 000
Total	563 367	330 633	637 500	112 500	153 000	39 000	1 836 000

IPICS UGA:01								
	Period	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009	
Budget Item		Uga for Uga	Uga for Uga	Swe for Swe	Swe for Swe	Swe for Uga	Swe for Uga	Total SEK
Equipment		80 000	16 000	0	0	0	0	96 000
Minor equipment		0	25 600	0	0	0	0	25 600
Consumables		71 600	41 600	0	0	0	0	113 200
Travel		24 000	56 800	0	0	0	0	80 800
Fieldwork (incl transport, travel, assistance)		38 233	38 233	0	0	0	0	76 466
Subsistence grants/Tuition fees		74 400	38 400	0	0	39 000	39 000	190 800
Salaries				112 500	112 500			225 000
GRAND TOTAL SEK		288 233	216 633	112 500	112 500	39 000	39 000	807 866

IPICS UGA:02							
	Period	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009	Jan-June 2009	July-Dec 2009

Budget Item	Uga for Uga	Uga for Uga	Swe for Swe	Swe for Swe	Swe for Uga	Swe for Uga	Total SEK
Equipment	80 000	25 000	0	0	0	0	105 000
Minor equipment	6 000	4 000	0	0	0	0	10 000
Consumables	85 000		0	0	0	0	85 000
Travel	20 000	50 000	0	0	36 000	0	106 000
Fieldwork (incl transport, travel, assistance)	10 000		0	0	0	0	10 000
Subsistence grants/Tuition fees	35 000	35 000	0	0	78 000	0	148 000
Salaries			465 000	0			465 000
GRAND TOTAL SEK	236 000	114 000	465 000	0	114 000	0	929 000

Appendix I, Attachment 9.**Minutes from meetings in the Steering Committee in the file 2007, 2008, 2009.**

12th Meeting 14th March 2007

13th Meeting 6th August 2007

14th Meeting 21st September 2007

15th Meeting 22nd February 2008

16th Meeting 18th March 2008

17th Meeting 23rd June 2008

? August 2008

Meeting 17th November 2008 (not complete)

Appendix I.Attachment 10.

MAKERERE UNIVERSITY, evaluation 2009.

Remarks in audit reports.

Period covered	General standards of accounting and internal control, comments on	Audit report issued
Sept 2000 – Dec 2001	Fixed assets Delayed accountability, \$ 11 988:-- Segregation of duties	15/7 2003
Jan 2002 – Dec 2002	Fixed assets management Delayed accountability, \$ 31 899 Comingling of Funds (Fac of Medicine Reporting requirements: According to article 15 and 16 of the financing agreement, the following reports were expected to be submitted to Sida by the 30 th September 2003: • A final scientific report covering the support to “Integrated Information and Communication Technology in the University Functions at Makerere University” for the period 1st January 2001 to 31st December 2002. • An audited financial report covering the support for “Integrating Information and Communication Technology in the University Functions at Makerere University” for the same period. However, at the time of audit in October 2003 the above reports were not submitted to Sida. Management has admitted the above shortcoming and has promised to ensure adherence to the reporting requirements in future.	29/1 2004
Jan 2003 - Dec 2003	Fixed assets management Payment vouchers Delayed accountability, \$ 31 143	26/10 2004

Jan 2004 – Dec 2004	Taxes Fixed Assets Management, register Fixed Assets Management, engraving Fixed Assets Management, delay in clearing Project Equipment Delays in accounting of Advances Bank reconciliation Statements	21/3 2005
Jan 2005 – Dec 2005	Accountability system, delayed \$ 415 184 Engraving of assets Bank Reconciliation Statements	16/8 2006
September 2000 – June 2005. Summary phase I	Outstanding advances, \$ 415 184 Fixed assets not engraved Bank reconciliation Failure to remit withholding tax deducted Absence of fixed assets register Failure to stamp vouchers with “Paid” Comingling of funds	8/2 2007
July 2005- June 2006 Phase II	Accountability (\$ 163 219, still \$ 46 740 unaccounted Feb 2007 + phase I) Bank Reconciliation Statements Votebook	4/5 2007
July 2006 – June 2007	Delayed accountability, \$ 918 360 as at 30/6 2007 Systems of Payments. Large sums of money are advanced in their personal names. Fixed assets register Lack of segregation of duties at the DSS Low utilization of funds.	16/11 2007
July 2007 – June 2008	Delays in accounting of funds (August 31, 2008, was still \$ 339 293 unaccounted for) Large sums of money are advanced to researchers which may be risky Projects assets are not engraved Lack of segregation of duties Low absorption of funds	20/1 2009

Makerere University is responsible for planning, implementing, follow up and reporting of the Programme related activities.

APPENDIX J

Financial Management Assessment: Table of Sources of Evidence for each finding and conclusion

CATEGORIES	EVIDENCE ON WHICH BASED (identify document, person, place, date found—or make appendix to attach as evidence)	FINDINGS, CONCLUSIONS, LESSONS and RECOMMENDATIONS
1. Makerere University's expected in kind resources are not in the Agreement.	Text Agreement, JT's reports	Makerere University could not afford enough available staff/time to fulfill the undertakings in the Agreement
2. Agreement- Follow-up of sub-programs	Text Agreement Financial statement	No follow-up in financial statements of sub-programs budgeted in the Agreement. Difficult to ensure if Sida funds used for intended purposes. Follow-up of targets and achievements not made in an outlined easy way
3. No clear governance roles have been developed for the implementation of the program during the two phases.	Text Agreement, Financial and annual reports	No clear follow-up of financial matters, no adequate coordination, lack of proper monitoring and internal control
4. Organizational structure	Text JT's reports	The monitoring and follow-up of activities and results could have been more adequate with a better organizational governance set-up in the program.
5. Organizational structure	Text Minutes from Steering Committee meetings. Interviews with Steering Committee members (from outside major academic	Steering Committee did not govern the project properly. (See below)

	units).	
6. Organizational structure	Text The same as above.	Propose an independent body. All deans worked and advocated for their own interests. Coordinators very much occupied therefore few meetings.
7. Organizational structure	Text Agreement: Approved budget Financial statements.	No continuous follow-up of cost items for sub-activities in the financial statements.
8. Organizational structure	Interviews with Steering Committee members (from outside major academic units). Agreed minutes from Annual Review Meeting	Evaluation team is asked to make strong recommendations to force the change of the Steering Committee to be chaired by someone on staff at Makerere but who is not receiving Sida funds. That the SGS finish the Standard Operating Procedures (SOP) and distribute it to Coordinators and PI's; but SOP not available until mid March 2009, but done in April 2009.
9. Undertakings by Makerere University	Text JT's report Various reports Agreements	Makerere University has not fulfilled undertakings specified in Agreements for Phases I & II. Administrative support - Internal control - Monitoring the use of funds - Makerere University is responsible for administrative support, administrative follow-up and monitoring.
10. Undertakings by Makerere University	Text	Makerere did not fully utilize the reports, manuals

	Various reports, manuals and guidelines	and guidelines issued and therefore did not provide all necessary administrative support and monitoring for securing the correct utilization of Sida funds.
11. Undertakings by Makerere University	Text	Makerere University is the owner of the program and responsible for its successful execution.
12. Planning - Approved budget in agreement on sub-programme level - budgeted costs in Annual Activity Plans on sub-activity level - Follow-up of actual expenditure on sub-activity level.	Text Agreement Financial statements	In the agreement there is a budget for each sub-program. Until late (2006/2007) this was not reflected in Annual Activity Plans. During neither Phase I nor II was it possible to get cost item information for each sub-program from the Financial statements. Totals appear only for faculty/unit level, thus difficult to ensure if funds were used for intended purposes.
13. Planning	Text Activity Plans	The Ugandan in kind resources not specified in the plans; many staff-members seem very busy with other things.
14. Planning	Text Guidelines on Division of Labor Interviews	Too many small hierarchies are establish within program made coordination more difficult.
15. Planning	Text Interviews JT's previous reports	A strong Coordination Office must work on a central level and be staffed with enough staff-members for executing Financial Control and Advices. Monitoring and Evaluation. If a Grant Coordinating Office is established, it must have power, so the problems are not moved

		from one place to another.
16. Planning	Text Annual activity plans Guidelines for budgeting, accessing and accounting of Research Funds at Makerere University Interviews	Budget shall be developed individually, students shall participate and have their own budget. It is also important that the accountants take part in the basic budgeting and planning
17. Planning	Text Annual activity plans Interviews	The planning at faculty/unit level must be done in time so SGS and the Steering Committee has time to coordinate within the available framework of the Agreement.
18. DSS Iganga	Text Financial Management Manual. Interviews with DSS staff-members.	Segregation of duties in the accounts section at Iganga has to be solved soonest. The employed accountant shall get his job description soonest showing his duties in DSS.
19. DSS Iganga	Text JT	The cash shall be managed under an imprest cash system.
20. Indicators	Text Agreement.	Almost now predefined and measureable indicators of progress available, that make it difficult to have a continuous monitoring.
21. Indicators	Text Interviews	There is a need of better frameworks for indicators so it can be understood by coordinators.
22 Internal control	Text Financial Management Manual Audit reports JT Reports	No adequate internal control procedures have fully been implemented.
23. Internal control	Text Audit reports JT's reports	SGS should have been given more power, time and staffs assigned for a closer and more detailed internal control.

24. Internal Control	Text Audit reports JT's report Financial Management Manual	Accounting controls include all routines from transaction to financial follow-up
25. Internal Control	Financial Management Manual	A fundamental principle is that the person who executes the internal control does not execute the tasks he or she controls.
26. Internal Audit	Text JT's reports	The internal audit system should be developed for a more continuous internal audit, as it for the moment exists to a very limited extent.
27. Internal Audit	JT's reports	The present "Internal auditors" are pre-checking payments and controlling bank-reconciliations. A form of control but not audit.
28. Internal Audit	JT's report	The internal auditors should give reports about their findings to the Steering Committee, SGS, unit Coordinators and accountants in the program.
29. Monitoring	Text JT's reports	A controller/monitoring position shall be introduced at SGS. More staff is needed.
30. Monitoring	Text JT's reports	Develop a Management Information System for getting a better input in the decisions making procedures.
31. Monitoring	Agreed Minutes from Annual Review Meetings- JT's reports	Financial matters should be followed up quarterly with separate meetings between SGS and concerned

		Faculties/units.
32. Monitoring by budget	Financial Management Manual Accounting Procedures/Systems for Sida/SAREC Program	Budget implementation as a control mechanism refers to the constant comparison of actual activities and achievements against set targets and timing within the annual work plan. The budget variances are indicators that demand prompt investigation by the programme management.
33. Disbursements of funds	Text Financial statements JT's reports	Slow utilization (below 70%) has affected the continuous and timely implementation of the program.
34. Disbursements of funds	Text Audit reports	Delayed issued audit reports can/has delayed disbursement of funds.
35. Disbursement of funds	External audit report. Disbursement of funds from Sida JT's report	During phase I Sida disbursed funds without having got any audit report as stipulated in the agreement. This stipulation has been followed strictly in phase II.
36. Follow-up	Financial statements	The present Management Information System is very weak. It is at least, not during the current 2008/09 fiscal year difficult to ensure that all funding is used for the intended purposes.
37. Reallocations	Text Financial statements External audit reports JT's reports	The absorption of funds is not similar in all faculties/units, therefore it should be a possibility of assignment to others if researchers are slow.
38. Steering Committee	Financial Management Manual	The Steering Committee, which is directly involved

		with planning, execution and monitoring of program activities should have been more active in the coordination and follow-up of the program.
39. Steering Committee	Report synchronizing previous audit	The Steering Committee is charged with governance of the project. It has the overall knowledge and responsibility to review the progress of the program in terms of the planned activities under the budgets.
40. Steering Committee	Interviews with Steering committee representatives of some smaller units. Agreed minutes from Annual Review Meetings.	No regular meetings, no planning ahead, not deep in special matters, not coordinating reallocations and follow-up. The implementation of decisions and action plans are not followed-up. Better planning of Steering Committee meetings is requested. More streamlined management. A Schedule for Steering Committee meetings should be drawn up for 2009 together with a workplan.
41. Steering Committee	The same as above	It is difficult for small units to have any say, therefore wasting of time going there.
42. External Audit	External audit reports JT's report	External audit is put in place to ensure compliance with the specified requirements in case of donors. Audit reports have been late and never ready for the Annual Review Meetings.
43. External Audit	JT's report	Early audit reports are

		essential for better implementation in the future. External Auditors' comments shall also be communicated to concerned Accounts officers for observance and for future advice.
44. Financial accountability	Financial statements	All payments are recorded as expenditure during the year, advances should be recorded in the statements on a separate cost item line.
45 Financial accountability	Agreed minutes from Annual Review Meetings	The responsibility of monitoring the progress and accountability of funds received remains with the respective coordinators.
46 Performance accountability	Guidelines for Division of Labor. Financial Management manual Annual Progress Reports	Follow-up of program targets and achievements was not done from the beginning but has during last years been done partly in some units.
47 Interest Exchange rate gains	Agreed Minutes from Annual Review Meeting “	Use of interest needs to be approved by Sida, not done. That gains and loses should be indicated and accounted for in the financial statements, not done so far.
48 Comptroller position at SGS	Financial Management Manual JT's reports	SGS should control that the budgets and outputs are in conformity with the agreements, rules and laws
49 Comptroller position of SGS	Agreed minutes from Annual Review Meetings	The coordination office should draw plans to visit the various units. That this will help to solve the issue on delayed reports, communication gaps, inadequate budget monitoring.

50. Segregation of duties	Financial Management Manual Report Synchronizing previous audit	Segregation of duties between: I. Recording of payments and receipts II. Preparation of vouchers and updating of advance registers III. Reconciliation of Bank Accounts and so on. Among others these can expose transactions to risk of errors, irregularities and fraud. This can lead to posted errors going undetected.
51. Advances.	A lot of Audit reports. M U: Financial Management Control, Instructions and & Accounting Procedures, Financial Management Manual Accounting Procedures/Systems for Sida/SAREC Programme and so on Agreed Minutes from Annual Review Meetings and Annual Planning Meetings	Advances has not been adequately followed up, which has caused big amounts of advances not accounted for. Payments are then not shown as expenditure in the Annual Financial Report, the correct year, and it also leaves rooms for misappropriations.
52. Utilization of funds [same point made under 2. Agreement- Follow-up of sub-programs and 46 Performance accountability]	Annual Progress Reports JT-s reports External Audit Reports	From the beginning there has been no follow-up of performance and achievements compared to budgeted costs and actual expenditure it has been very difficult to judge whether funds are utilized in accordance with the agreement. During the last years attempts have started for such a follow-up.
53. Fixed Assets	Audit reports	The control over the use of

Kommentar [J1]: To me it is not the same!. No 2 was follow-up of sub-programs, here in 52 it is about utilization of funds and in 46 my main point is performance accountability,

Kommentar [J2]: I wanted to specify the observations as:
 • Follow-up matters
 • Performance of program targets and achievements
 • Utilization of funds
 But maybe it could be done under one point.

		Fixed Assets has improved during the years, Fixed Assets Register are kept and engraving has been done. For the moment can only delays in up-dating be noted. Projects assets can get lost or misplaced if they are not distinctively identified. Vehicle Journal/Log-books are kept. There seems to be obsolete or old fixed assets kept, the Disposal Committee could be initiated to look at this matter.
54. Procurement	Financial Management Manual. Annual Progress Reports Reports from workshop on procurement matters Agreed Minutes from Annual Review Meetings. JT's report	During phase I there were a lot of procurement problems, custom, taxes, lack of knowledge. The program has worked hard on this matter. The procurement unit has been strengthened. Workshops have been arranged. Still some problems have been reported. Each faculty/unit is expected to issue a Procurement Plan to the Annual Activity Plan for easier carrying out the procurement during the year. It seems as some of the problems now depend on inadequate planning and sometimes maybe used as an excuse for delays.
55. Utilization of funds	External audit reports Financial statements Annual progress Reports JT's reports.	An increasing amount of funds according to the Agreement has not been utilized either in phase I or phase II.
56. Utilization of funds	External audit report	The Steering Committee

Kommentar [J3]: Why blue?

		could have worked harder with the follow-up. Activities not implemented may necessitate extension of the project duration leading to unnecessary administrative costs.
57. Adherence of manuals, guidelines and so on		From 2000 up to know a lot of assessments, manuals, guidelines, various reports have been issued. So many that it is difficult for all concerned staff members to know them all. The best known seems to be the Financial Management Manual for Sida/SAREC Project issued 2005.
58. Follow-up of administrative costs, consumables and Faculty Research Funds.	Administrative costs 03-03-05 Agreed minutes from Annual Review Meeting Agreement Research and Innovation Policy March 2008	For phase I it was issued examples of Administrative costs. For phase II not very much specified about that. In November 2008 the SGS was asked to: "Instructions for the use of funds for Administrative cost should be developed." In the Research and Innovation Policy it is stated that all Research projects are required to contribute 15% of the research costs as institutional overheads indirect costs. Such a general clause should not be accepted by Sida, if included the purpose has to be specified and exemplified.
59. Cash flow forecast	Recommendation	Realistic cash flow forecast is recommended for the coming year, to make it possible to predict

		reallocations
60. Risk Analysis	Recommendation	Analysis of the risk level in financial transactions is advisable.
61. Training	Recommendation	Constant need of regular seminars, workshops and other trainings
62 Audit of old advances from phase I US\$ 415 184 shall be done.	Audit reports JT's reports Agreed minutes from Annual Review Meetings	The bursar has March 13, 2009 requested the Auditor General for an audit of advances still outstanding since 2005.
63 Sustainability and donor exit strategy		For administration, development and implementation of Management Information System. Increased access for optimal use of ICT-resources.
64. Sustainability of the program.	Text Interviews.	Good governance in program is a must for sustainability. There are concerns about sustainability when Sida is leaving. Very important to see continuity in the program
65. Spin-Off Benefits		These offer the appropriate space and facilities to develop and promote transfer of R&D results from the universities and other institutions to the market.
66. Synergies with other university programmes		Co-funding ICT, Research capacity etc between Sida and Norway. Co-funding DSS with other donors- <i>especially if they share more administrative systems.</i>
67. Planning and reporting formats-relationship to budgeting	Research monitors' reports 2006, 2007, 2008	In 2006-07, Makerere University revised its format for reporting to Sida in order to link budgets to

		activities and to encourage researchers to use budgets as tools to manage their own research. Research monitors promoted this transition and had planned a Feb 2007 site visit to help align the Annual Activity Plan format to the new Annual Report format, to integrate budget planning with activity planning. Sida called off the visit in December (despite available funds in monitors' budgets), probably without realizing the importance of this step, and probably because of the discontinuity in Sida program officers in this period (Akuffo-de Carvalho-Freudenthal- de Carvalho).

APPENDIX K

Administrative Costs: Comparison of Sida Requirements: Phases I & II

Part 1. Administrative Costs

Social Scienc

With regard to your query concerning 6% administrative costs provided in the proposal, the following are the details:

- (1) University administrative accounting and auditing. We do this centrally. The Department of Finance carries out this task, for accountability and transparency purposes. So it involves expenses.
- (2) Utilities and space (electricity, etc).
- (3) Project Personnel time – the time taken off from institutional work to carry out the project.

This charge is usually 15%. However, because of the equipment required to start off, we reduced it in order to juggle around the amount of money available.

Technology

The 6% administrative costs:

1. co-ordination (meeting) costs
2. Stationary
3. Computer support services (maintenance)
4. Transport costs (fuel, taxis, etc)
5. Miscellaneous costs
5. Utilities (telephone, taxes)

Agriculture

This is a percentage charged by the Faculty from all projects to meet administrative costs related to the project

- bank charges
- setting up books of accounts
- auditing costs
- supplementing dean's office and departments where the research is based.

Medicine

1. Co-ordination expenses – i.e. costs related to co-ordination activities.
2. Stationery and secretarial support.
3. Support services for computers and other equipment.
4. Transport – vehicle service, fuel, etc.

5. Communication costs – telephone, tax, courier services etc.

Part 2: Makerere University, evaluation, administrative costs, consumables etc. 1 July 2005 to 30 June 2008. Extract from Budget Monitor/Analysis Phase II. (Excel sheet)

Honorarium/Incentive/Load Allowances etc.

(In most faculties/units it was not specified, and for whose specified it is not sure if it is all)

Coordinating Office (booked under Consumables)

9/11/05	Honorarium	US\$ 20 550
19/6/06	Incentive	14 100
8/12/06	Coordination allowance to SGS staff	15 700
7/6/07	Incentive	16 500
7/12/07	Incentive	16 500
19/6/08	Sida Coordinating office adm pay	<u>16 500</u>
		99 850

Library (booked under administrative costs)

25/11/06	Extra work load	4 500
12/6/06	Administration allowance to staff	4 876
20/12/06	Staff Honorarium	4 800
19/9/07	Honorarium to staff	5 100
14/1/08	Incentive to lib staff	<u>4 400</u>
		23 675

Gender (booked under administrative costs)

30/1/06	Extra load Allowance	2 404
12/10/06	Allowance to staff	1 832
13/3/07	Staff adm allow	2 598
22/8/07	Adm allowance	2 471
13/2/08	Administration fees	<u>2 575</u>
		11 880

Mass Communication

18/7/07	Honorarium	<u>2 160</u>
		2 160

Public health

No administrative costs

ICT/DICTS

Have under Subsistence grants paid fees \$ 11 084, which I don't know what it is.

No Administrative Costs

Medicine

Administrative funds transferred to Medicine in lump sum with no specification

Technology

Both paid minor expenses as well as lump sums called Administrative funds.

Agriculture

(No detailed specification in the analysis sheet)

All administrative costs

21/2/06	Administrative transfer	6 402
2/6/06	Regn fees for Matele	593
31/10/06	Administrative funds	6 514
15/3/07	Administr & Coordin. funds	7 672
		21 181

All consumables

10/1/06	Katongale, consumables	700
13/4/96	Field work Mugisha	1 300
	Field work Walwkhwa	500
10/10/06	Consumables	6 000
8/12/06	Consumables to J Mugisha	2 417
15/3/07	Consumables to prof Sabitii	4 000
12/4/07	Consumables to Sabitii	2 200
13/11/07	Consumables to Temywa	2 500
9/5/08	Transfer of samples for Tumuharew	870
		20 487

Social SciencesAll administrative costs

2/12/05	Transfer to Adm funds	31 895
31/7/06	Transfer to Adm funds	18 284
21/5/07	Administrative Costs	19 740
6/5/08	Adm funds	16 546
		86 465

(no detailed specification in the excel sheet)

The amounts are the same as Sida has transferred, however Sida's transfer 18/4/08 \$ 19 398 was not yet transferred on 30 June 2008.

All consumables

25/11/05	Consumables for various staff	20 644
25/11/05	“ “ “ “	13 322
1/3/06	Fees	14 269
19/7/06	Research funds to students	16 502
19/7/06	“ “ “ “	18 507
27/4/07	R/grant to Kyomuhendo	4 025
27/4/07	R/grant to Madanda	4 746

21/5/07	Students Research	16 268
24/5/07	“ “	20 722
2/7/07	R/G to Nuwagaba	2 393
5/7/07	R/G to Murindwa & Kyomuhendo	6 599
6/8/07	Stendt Fees	16 199
14/1/08	Kyomuhendo & Bantebya	767
4/4/08	Madanda	4 330
4/4/08	Kirumira	3 971
4/4/08	Lubanga	4 874
4/4/08	Anena	3 415
4/4/08	Bwana, Charles	2 047
16/5/08	Rwabukwali	3 555
		177 155

All unforeseen

		Received	Balance
4/5/05		19 249	19 249
7/2/06	Kirumira unforeseen for travel	- 1 934	17 315
23/06/06	Received	13 665	30 980
31/10/06	Transfer of unforeseen	-30 980	0
7/12/06	Fees for Mbaaga	- 4 338	- 4 338
29/12/06	Received	14 754	10 416
24/5/07	Students research	- 2 617	7 799
10/9/07	Received	14 356	22 155
18/4/08	Received	16 830	38 985

APPENDIX L

Check list for Follow-up of Financial Matters: a Proposal

CHECKLIST FOR FOLLOW-UP OF FINANCIAL MATTERS in connection with the continuous quarterly follow-up meetings between SGS and each faculty/unit

FACULTY/UNIT:.....

Financial statement as at	30/9 200..	31/12 200..	31/3 200..	31/5 200..
Follow-up date Received feed-back on financial statement (comments on variances) Discussed the actual expenditure compared to budgeted expenditure Unutilized funds in \$ Achievements compared to targets set Unaccounted advances \$ Bookkeeping up to date Accounting for sub-program- activities up to date Advance register up-to-date Asset Register up to date Justification for unutilized funds Future effects of not utilizing funds as per budget Reallocations of funds necessary Formalities with reallocations: Decisions – minutes. Steering Committee and so on Information flow within the faculty/unit about the project				

Procurement plans available Committed expenditure \$				

Comments:.....
.....

Present at the follow-up
meeting:.....

APPENDIX M

Summary of Administrative Assistant Activities

- I keep track of individual students budgets so that I am able to tell who is about to over or under spend.
- I call upon students to submit their Annual and Activity Reports whenever they are due and then I compile them into one report.
- Facilitate Faculty Sida/SAREC meetings whenever the Coordinator calls for them.
- Remind Researchers of their Accountability obligations.
- Generally handle all matters concerning the Sida/SAREC project in the Faculty.
 - However, a number of Students rarely follow instructions especially when it comes to reporting formats.
 - Students never bother to keep track of what they are spending, they always like me to keep track for them and yet they would be in the best position to do this as I have to wait for feedback from SGS before I can do this.
 - Students do not strictly follow what they proposed to do in their Activity Plans.
 - Management of the repair of Research vehicles is such a big challenge because we are required to have LPO's and yet most of the time there is no enough time for this exercise.
 - I think that for better control and proper reporting and accountabilities, student funds should be controlled by the Faculty and not SGS.
 - Framework contracts should be entered into with the garages and suppliers of the most commonly used goods.
 - Students need more sensitization especially about how this project is ran and may be they will get to appreciate what is required of them.
 - I have taken a course to become a Certified Project Manager, I hope to bring some professionalism into this project especially in aspects concerning Scheduling and the Project Scope so that each researcher is able to deliver the scope of the project.
 - There are also good things about this project that should be upheld;-
 - There is good and effective communication from SGS.
 - This project has taught some us a number of things, it has extended our exposure to different regions, cultures and scenarios.
 - A number of us have benefited from Refresher courses organized under this project.

APPENDIX N

Financial Management: List of Assessments, Guidelines, Manuals 2000-2008

- 2000** PriceWaterhouseCoopers. Makerere University Assessment of Administrative and Financial Capability.
- Procedures on Donor Funding. University of Makerere
- Chapter 4. Procedures on Donor Funding, University of Makerere, checklist from the Auditor General's Office. undated.
- 2002** Makerere University, Financial Management Control Instructions & Accounting Procedures. Handbook. January 2002.
- 2003** Administrative Costs. 5 March 2003. Sida.
- The public Finance and Accountability Regulations 2003.
- Makerere University. Tender Board Regulations. (2003?)
- The Public Procurement and Disposal Assets Act, 2003.
- The Republic of Uganda. Treasury Accounting Instructions Draft 2003. Part I – Finance. June 2003.
- 2004** Makerere University International Procurement and Disposal Procedures Manual.
- 2005** General Agreement on Research Cooperation between Uganda and Sweden for the period 1st July 2005 – 30th June 2009, dated 11 April 2005
- Annual project cycle – Uganda 1 July 2005 – 30 June 2009. Appendix to the Agreement.
- Report on Sida/SAREC funded Procurement Capacity Building & Training Workshop held at Imperial Resort Beach Hotel, Entebbe, on Friday 30th Sept – Sunday 2nd October 2005
- The proceeding /Report on The Sida/SAREC Financial Management Training Workshop at Jinja Nile Resort Hotel, October 14 – 16, 2005.
- Procurement Guidelines and Procedures to be followed when requisitioning for requirements. Makerere University Intranet, by Rhoda B. Mugamaba. Contracts

Committee Secretariat.

Makerere University. Sida/SAREC Program. Financial Management Manual.
(not dated but probably 2005)

- 2006** Report, Workshop on procurement of science related goods and services for researchers, held at Speke Resort Hotel, Munyonyo, 28th – 30th April, 2006.

Terms of Reference for the External Audit of Sida/SAREC Makerere University
Bilateral Research Collaborative Project 2005/2006 sent to The Auditor General
July 28, 2006.

2006 brief on harmonized reporting system for Stakeholders meeting April
2006.

- 2007** Report on Training Workshop on Capacity Building in Project Financial
Planning, Mobilization and Control in Makerere University, Uganda January 8th-
12th, 2007. (Organized by SGS).

Draft Guidelines for budgeting, accessing and accounting for Research fund at
Makerere University, 2007 (not yet through the Council?)

Guidelines on Division of Labor, SGS, draft 2007.

Accounting Procedures System for Sida/SAREC Programme. Updated 2007.

- 2008** Terms of Reference for “Capacity Assessment and Advisory Support to develop
the administration of the Makerere University including handling of external
research grants. Sida 2008.

9th July: Mary Nakyewa distributed new reporting format template + example
from Faculty of Technology, Jun 06 – Jul 07 (versions showing budget lines, no
guidance attached).

Minimum statutory tendering time (working days). Contract’s Committee.
Procurement methods & Thresholds
Summary of Procurement Cycle.

Standard Operating Procedures, draft distributed by E Katunguka, July 2008. In
February 2009, discussed for final review, in March 2009 ready for presentation
for approval, but not yet approved and not yet implemented.

Capacity Assessment and Advisory Support to Makerere University in Uganda.
Final report 24 November 2008. KPMG.

- 2009** Makerere University, School of Graduate Studies: Report synchronizing previous Audit reports' recommendations for the Sida/SAREC collaboration Programme. January 2009.

In addition:

Audit reports,
 Minutes from Steering Committee,
 Agreed Minutes from Annual Planning Meetings,
 Agreed Minutes from Annual Review Meetings,
 Monitoring Team's different reports and comments,
 Annual Progress Reports,
 Financial Statements,
 Budget Monitor/Analysis phase II, July 2005 – 21 August 2008. SGS 2008.
 Action Plans concerning financial matters,
 Letters to The Inspector General of Government re Auditor General's audit reports.

APPENDIX O

Perspectives at Makerere University: Group meetings with graduate students, supervisor/senior scientists, and with unit accountants

Summary by group and topic

In this appendix we summarize views of **1) graduate students** (both master and doctoral levels), of **2) supervisor/senior scientists**, and **3) of unit accountants**, based on 2 hour, semi-structured focus group meetings. First we list the participants, then we follow with the summary by topic, for each of the three groups (students, supervisor/senior scientists, and accountants).

Part 1.

GRADUATE STUDENTS:

Master students, two focus group discussions on 24 February 2009:

1.a. Academic stream (registered through Gender Mainstreaming) with Phyllis Freeman & Eva Johansson (Evaluation Team)

Wanzala Sylvia

Nakamya Mary Frances

Rita Nabachwa

Nalubega Rebecca

Syedde Sarah Tegule

Tindyebwa Teddy Mary

Mutiibwa Nankya Lois

1.b. Administrative stream master students and one PhD student (registered through Gender Mainstreaming) with Phyllis Freeman & Eva Johansson (Evaluation Team)

Kabanda Dorothy Nanozi

Hayoko Joyce

Mukama Proscovia

Helen Musanabera (PhD candidate)

Naigaga Milly Irene

Naggayi Eva

Nalubowa Norah

Nabirye Harriet

Summary of Master students views by topic:

2.c Focus Group Discussion with Students who completed PhD on Sida Support with Phyllis Freeman & Eva Johansson (Evaluation Team)

25 February 2009

Dr. Justine Nambi-Kasozi

Dr. Bagampadde Umaru

Dr. Hakim Sendagire
 Dr. Williston Winstons Muhwezi
 Dr. Lynn Atuyambe
 Dr. Dan K. Kaye
 Dr. Joshua Tugumisirize
 Dr. Josaphat Byamugisha K.
 Dr. John Baptist Kirabira
 Dr. Assumpta Nnagenda –Musana
 Dr. William Ekere

1.d Phd students: two groups, by gender

26 February 2009

1. Women students (with Phyllis Freeman, Evaluation Team)

Ms. Sarah Kamya
 Ms. Solome Kweyunga
 Ms. Lillian Namuganyi
 Ms. Rose Namubiru Kirumira
 Ms. Sylvia Katende Nabiteko
 Ms. Tumuboine Rwere Mary
 Dr. Beyeza Jolly Kashesya
 Dr. Noeline Nakasujja

26 February 2009

2. Men students (with Eva Johansson and Nelson Kakande, Evaluation Team)

Mr. Swizen Kyomuhendo
 Mr. Bateganya Fred
 Mr. Frank Kizito
 Mr. Kizza Michael
 Mr. Kalibbala Herbert Mpagi
 Mr. Peter Walekhwa
 Mr. Katongole Constantine Bakysa

Graduate Students: Summary of points by topic

1.0 Perspectives of Graduate Students and PhD graduates.

Results of semi-structured interviews with 40 participants (from the pool of the 94 PhD students and 19 Masters students with Sida scholarships) offer a window on the graduate educational experience. Two members of the Evaluation Team interviewed: two groups of Master's students (in 'administrative' and 'academic streams' supported by the Gender Mainstreaming Division, all women), one group where all had successfully defended their theses or completed their degrees (2 women, 8 men "completers"), and two groups of PhD students (pre-thesis defense, one group all men, one all women). We did not have representatives of graduate students in either of the service units, DICTS or the library, as they participated in meetings of the Steering Committee, and we did not want to burden them by asking them to participate in individual interviews and two sets of group meetings.

1.1 Family educational history.

Very few participants had a parent with any higher education, fewer still with graduate degrees. More had siblings with graduate education, most commonly among the younger, 'academic' stream of Master's students. (This contrasts markedly with universities in more affluent countries where the environment is dominated by students who have grown up in households, schools, and communities where higher education is part of their cultural experience since childhood.)

1.2 Positions prior to pursuing PhD degrees.

All participants held full time academic, administrative, or professional positions at Makerere University or at Mulago hospital. Most of those who had completed their theses began Ph.D study (in order of frequency) as Lectures, Assistant Lecturers, or Teaching Assistants; and all in Phase I. All of the male PhD students but one (a Lecturer) held the position of Assistant Lecturer; the distribution for women [a mixture of those supported through Faculties (5 participants) and through Gender Mainstreaming Division (4 participants)] included (in order of frequency) Assistant Lecturers and Lecturers; two medical officers at Mulago Hospital employed by the Ministry of Health, one Senior Lecturer and one Honorary Lecturer.

1.3 Reasons for pursuing graduate study—and in this program.

1.3.1 Masters level.

Masters' students in the 'administrative stream' (having enrolled at 30-40 years of age by design of the program) all voiced desire to advance professionally from their current university administrative positions to leadership positions as a basis for improving university policy and operation generally, including the environment for women to thrive at all levels. Masters' students of the academic stream voiced the need to complete this degree before losing their short term contracts as Teaching Assistants (termination is automatic after of six years if no Masters degree). In addition to the impetus of the PhD requirement for advancing through academic positions at Makerere, most evinced great appetite for research and desires to continue into doctoral studies and careers in academia, government service, or industry. Most had not been eligible for Sida support when this program was open only to staff in permanent positions, as their teaching assistantship contracts are short term. Almost all Masters' enrolled on their own initiative, although a boss was influential in a few instances.

1.3.2 Doctoral level.

As participants having completed their theses had started in Phase I, most had immediately confronted the newly instituted PhD requirement as a bar to academic promotion. Two would have become exempt under the subsequent modification of policy for clinicians at the Faculty of Medicine, but remained eager to pursue PhDs. Several had looked into PhD programs abroad, but favored the opportunity to study in Uganda, or in this collaborative program between Makerere and Swedish universities. One would have preferred going abroad full time, but lacked funds to do so. The male continuing PhD students, all of whom started PhD work in Phase II, described continuation into PhD studies to be 'natural' after their Masters' research, and a faculty committee encouraged them. All continuing PhD students shared interest in prospects for promotion, for higher salaries and consultancy fees, greater responsibility, and better working conditions. Women also talked about their anticipation of greater recognition for their ideas, and doing more work 'on their own terms'. Those in administrative positions noted desire for

greater respect from their academic colleagues, and for opportunities outside the university, encouraged by a World Bank observation that many institutions are looking for administrators with high qualifications.

1.4 Registration.

1.4.1 Institution and place for defense.

Of those having completed degree work, seven were jointly registered at the Karolinska Institute (for medicine or public health) or at KTH. Of those remaining, one would have preferred joint registration but there was no institutional arrangement with the Swedish University. Of the male continuing PhD students, four were fully registered at Makerere and will defend in Makerere; two registered for licentiates in Sweden and for PhDs at Makerere, and will defend at Makerere; one registered for a joint degree and will defend at Makerere. Two PhD-students would prefer to defend in Sweden and to have Swedish degrees, four wanted joint degrees, and one wanted to defend at Makerere to have a Ugandan degree (as previous degrees had been taken outside Uganda). Among the women, four registered jointly, and five at Makerere. Among those having completed, seven were jointly registered; three registered at Makerere only, one of whom would have liked joint registration, but no institutional arrangement existed at the Swedish university.

1.4.2 About Registration.

Even those who started in Phase II found the process to full registration at Makerere University to take much too long. Several had completed the Swedish Licentiate thesis defense before becoming fully registered at Makerere for the PhD; their research had moved forward without comparable advance of the proposal for registration at Makerere. They found themselves defending a proposal for which half of the work was already done, and the other half was outdated.

1.5 About Swedish licentiate degrees.

Several questioned why they were required to complete a licentiate degree (at KTH), suggesting that the benefit was to the Swedish university, not for the student.

1.6 Coursework

1.6.1 Masters' level.

Administrative stream students expressed high satisfaction with their courses and exams. Academic stream students were similarly enthusiastic, with the caveat that curricula were not always updated, leaving at least one with a requirement for which there was no teacher, and where no one took responsibility for the required but unavailable course.

1.6.2 Doctoral level: Cross cutting courses at Makerere

All urged rapid completion of a predictable, semester schedule by SGS, as they found the courses they were able to take to be useful, especially research methods, and expressed great frustration that courses they had needed were taught too late for them, or scheduled abruptly with too little notice for them change their schedules to attend. Women also emphasized the importance of Makerere-based courses, as traveling abroad for courses added to stress from too much time away from family. Several completers praised the importance of input into the courses from Swedish contributors, especially at the Faculty of Medicine and School of Public Health (epidemiology).

1.6.3 Courses in Sweden or elsewhere.

Earlier registrants had most course experiences abroad, and some described the courses in Sweden as 'motivating', some as 'challenging', especially upon first arriving in Sweden.

Those seeking credit for courses taken at Makerere for use in Sweden described great difficulty, as no system of credit has been approved by Makerere.

1.7 Supervision.

1.7.1 Masters level.

Masters' students uniformly complained about a shortage of supervisors at Makerere; assessment of quality varied from excellent to poor. Given that all these students work full days, they found it difficult to match schedules with supervisors. Slow responses to student work (often weeks or months, not days) by one if not both supervisors was common, delaying timely completion of research proposals, then research for theses. Delay by supervisors on Masters' research proposals meant no release of funds to start research on time, forcing students to borrow money to surreptitiously begin fieldwork prior to approval, or to be certain they would owe tuition and fees for a term beyond that which scholarships covered. They explained why it was problematic to push the slow supervisor, pointing to risks of repercussions: approval for scholarships, limiting access to equipment, sabotage of PhD opportunities, or promotions.

1.7.2 Doctoral level.

Satisfaction with supervision varied, with many quite satisfied, both with their Swedish and Ugandan supervisors. Delay by over-committed Ugandan supervisors was overwhelmingly the most frequent complaint, followed by lack of sufficiently specialized knowledge or difficulties in coordinating multiple specialist supervisors, Swedes and Ugandans. Empathy was commonly expressed for Ugandan supervisors who were learning new research methods along with their students. For learning how to supervise, the majority felt they were learning most from their Swedish supervisors, who generally had more experience. Doctoral students and completers talked about many Swedish supervisors in highly positive terms, but they also catalogued instances of non-responsiveness to email, overly terse guidance, unavailability in Sweden, and a few long delays in feedback. Almost none thought they could have survived without their supervisors. Especially those who were less satisfied reported having turned to informal supervisors for timely feedback, usually a friend or fellow student. Some who had only Ugandan supervisors wished they had benefited from an outside perspective. Many found Swedish supervisors to have been particularly helpful with research methods and data analysis. Among the continuing PhD students, the males characterized supervision relationships as either one student with members of a research group, or as individual relationships between student and each supervisor; about half had each experience.

1.7.3 Changing Supervisors.

Most believed changing a supervisor to be difficult, especially at Makerere, where the supply is small and made up of one's close colleagues. Worries about repercussions, or delay through change of advice from a new supervisor, pertained to Swedish as well as Ugandan supervisors. PhD candidates viewed international circles in their areas to be small, thus dissatisfaction implied by change of a Swedish supervisor could be threateningly visible. Some perceived change to be easier where research groups had more funds. The few who had changed supervisors reported significant benefits and few problems (perhaps because those who requested changes did so because they were relatively more confident of the outcome in their particular circumstances).

1.8 Research seminars.

Most expressed enthusiasm about research seminars at Makerere and in Sweden, albeit with large variations in frequency of seminars across research groups, departments, and faculties. No one said there were too many! Some studying outside the more structured environments in the 5 academic units with Sida research funds reported having to organize the seminars themselves, one at personal cost for providing refreshments as a means of rewarding participation. Some expressed serious reservations about presenting their work, out of concern that colleagues could appropriate their ideas, citing little tradition of protection for intellectual property at Makerere. Some credited research seminars as the way they learned how to give and take positive criticism. Some conducting research with human subjects noted that seminars provided the best preparation for submissions to the Institutional Review Board. Participants from different settings noted that research seminars have improved over time, as participants begin to interact more openly in an academic culture where holding information closely had been common.

1.9 Co-authorship with, and author order among supervisors.

Some reported tension based on insistence of a Swedish supervisor to always be listed in the final place on scientific publications (KI), even when the student perceived that this supervisor had contributed less than the Ugandan supervisor(s). Others reported similar discomfort when Ugandan supervisors insisted they be listed first on presentations to Sida, even when the Swedish colleague had contributed more.

1.10 Vetting, Defense of thesis, and Delay.

All complained vociferously of delays at Makerere, at both Master and doctoral levels. Treatment of thesis defense within the faculties and by SGS is very tedious and time consuming.

1.10.1 Masters level.

As all have full time day jobs, completing fieldwork, analysis, and thesis drafting just did not fit in the one semester allotted (especially where proposal approval was delayed by supervisors). The one exception was for a student not required to have vetters outside the Faculty, meaning no delay at SGS. Academic stream students found that supervisors' ambitions that they publish exacerbated delay in student completion of the research element of their programs. Students found delays to be unmanageably costly because these students have no scholarship support for extra terms.

1.10.2 PhD level.

PhD students complained less of delay during supervision, especially those with supervision involving Swedes, but more during vetting, reporting delays of up to five months. Unlike Masters students, their tuition, fees, and research support do not end so abruptly. Several of the PhD-students reported problems with defending using the Swedish system at Makerere, because the thesis examiners were given guidelines from the earlier Makerere system, and the students guidelines for the new, Swedish-style public defense. Students discussed benefits and the potential for delay for achieving acceptance of 3-4 papers, with long times for review, then publication. Some pointed to the advantage of publication over the traditional thesis if the defense is to be public: Makerere examiners will know that work has already been vetted by journal reviewers, making students much less vulnerable.

1.11 Financial Incentives for Supervisors.

All who discussed it agreed that the current Makerere maximum³⁰ amounted to vastly inadequate compensation for increasing availability and quality of local supervision. They believed that the superior remuneration for consultancies inevitably drew senior academic staff away from supervision, as did teaching, travel, administrative, and clinical obligations at Makerere.

1.12 Research incentives for Supervisors.

Doctoral students supervised as part of active research groups with Sida funding (or who had observed this), reported that these research funds served as a major enhancement for supervision, even in the absence of greater compensation from Makerere.

1.13 Individual, not institutional arrangements with Swedish universities.

Several participants pointed to difficulties arising from the nature of arrangements between Makerere and Swedish universities. When a problem arose with supervision in Sweden (or with any other aspect of work or life there), there was often no one else at the Swedish university to whom to turn for help, except when students were jointly registered at KI or KTH. Aside from these joint registration programs, Makerere students are guests at universities where they go to work with in labs, libraries, and with supervisors. This poses problems on both sides, as there is no institutional home for the students who are not jointly registered, Swedish hosts can only act in their personal capacities; support Ugandan students may need and seek, Swedish universities may not be permitted to offer.

1.14 Workload, finance, and logistics of studying for degree.

Complaints about the academic program requirements were minor compared to those about the stresses of balancing study with meeting job and family obligations, most of all, contributing to family financial support. Everyone expressed distress that Sida, unlike other external funders, offered no stipend to defray any regular living expenses. Many had previously had time to compensate the very low Makerere salaries by taking on additional paid work. Masters' students added that their scholarships did not cover books, copying costs, or software; and that those who had Sida-purchased laptops onto which they had loaded specialized software and entered data, must be returned to the university at completion of the MA, even if this loss will disable continuing research. Most of the Masters' students in the administrative group tried to do field work during their annual leaves, twice a year, two weeks each time. This meant no vacation or rest for two years, plus financial burdens to pay for an extra term.

1.15 Location and competing pressures.

Many men and women described significant conflict about studying away from home, especially with regard to young children. Women reported more than men that they prefer to stay at Makerere to minimize absence from family. Women and men who did study in Sweden for periods believed they were vastly more productive away from their jobs, particularly for analytic and drafting tasks. Many described very frequent communication with family. Women described particular hardship in their first stay in Sweden, as they had no local friends initially to help them find lodging.

1.16 Study leave, and time devoted to research prior and since PhD study.

Most male PhD students still in process benefited from study leave and were able to devote 100% to research, although a few reported 20-30% of time on teaching or consultancy. Five of the women continuing PhD students had study leave, two for two

³⁰ This group mentioned an amount of 500,000 UGS (or \$250-300USD) paid by SGS to supervisors from student fees, after PhD students complete.

years; three for three years. They described it as essential, as it released them from teaching duties, although most reported having been called upon to help in 'a crunch' in their departments. As women holding administrative positions supported by Gender Mainstreaming did not have study leave, they had the least time for research. Those having defended theses also reported dramatic increases in time devoted to research. All but one PhD completer reported substantial increase in time devoted to research, typically from little or none prior to starting PhD work, to 25-50% after.

1.17 Gender-related experience.

Women Masters students and men at the doctoral level reported that they had been treated similarly for the most part in their academic program studies. Women Masters' students complained that opportunities for grants to attend conferences were offered more often to men than to women. They were aware of instances of sexual harassment, but believed the victims were usually younger undergraduates. Male doctoral students noted that in order to improve institutional gender imbalances, women were first offered the opportunity to pursue PhDs in some units, or positions, but most viewed this difference to be an institutional necessity rather than a problem. Women PhD students pointed to more disadvantages, including disrespect from committees with few or no women members, instances of condescension from male colleagues who had taken their degrees abroad, or lack of support from some of the few women in senior positions (who were seen as liking too much their unique standing). Exceptions to this were named and lauded. The women PhD students who had experienced these disadvantages were most often those whose support flows through the Gender Mainstreaming Division, who study at faculties without Sida-funded research activities.

1.18 Family Expectations.

Male PhD-students thought that expectations of their families had expanded since they started their PhD education, mostly with regard to extended family rather than those in the household. Many found it necessary to actively limit commitments of time for family events and expectations for financial support. Women at both master and doctoral levels reported much more difficulty at the household level, in freeing time to study from spouses, children, and housework. Many Masters' students reported having study time only when others slept. Some women reported that husbands offered significant practical support; others had partners who complained and inhibited study. One example was a husband's interference through prohibiting use of extra electricity (to read or use a computer while others slept).

1.19 Research Environment and Culture: Positive Change viewed from doctoral level.

Completers emphasized the growing pool of young PhDs (from Sida and other programs), who assisted them through their studies; the increasing availability of coursework; increasing visibility of Makerere university on the web (reported as up from 69th to 33 ranking in Africa. Women continuing PhD students described the "opening of the research community" to new participants and to more approaches to education and methods for research, including less self protection by researchers who now see more benefit to sharing. They also listed as welcome changes: more opportunities to do research, crediting small grants from faculty research funds as well as scholarships; a better "mood" for research, citing the increased activity levels at laboratories and engagement of colleagues in their research; positive, forward-looking attitudes about

always incorporating research in their routines, emergence of many new ideas for research, and more ease for “thinking outside the academic box”. Many credit exposure to Swedish universities for increased confidence to contribute as researchers, teachers and supervisors. Male continuing students saw a great deal of positive change at Makerere, especially in added equipment and friendlier supervision. One group of PhD students (male) reported that “Sida has changed Makerere”: the importance of doing a PhD has become more obvious; wider exposure through travel to Sweden has opened many opportunities, transformed relationships among faculty at Makerere who have become more collegial, and supervision is more friendly. All of the students in this group emphasized the great benefit of working mostly or partly at Makerere, traveling with their supervisors, and jointly developing projects to address problems of interest to their own society.

1.20 Research Environment and Culture: Continuing challenges at Makerere.

A portion of the students described substantial support from research groups, others had weak or no research group support as part of supervision. Many found the research environments to be small in Uganda with few students in each topic area; thus, the connection to other universities was very important. Many pointed to infrastructure limitations: power failures, slow internet, and limited journal accessibility, needs for more equipment, and uncomfortable office space. Others emphasized a lack of “space” in groups to absorb new PhDs to share in applications for new funds and to begin supervision, saying that some senior people manipulate supervision lists to remain primary, taking on more than 3 PhDs or 5 Masters students, while appearing to stay within those limits. Some emphasize limited post-doctoral opportunities.

1.21 Expectations for impact of PhD degree on life opportunities.

Women PhD students characterized their expectations as follows, hoping for: recognition for their ideas and expertise, to become authoritative in their fields, and to make visible contributions to society; credibility when writing grant applications; opportunities for promotion at Makerere or marketability elsewhere; more independence. Many agreed with the statement of a colleague that “women can have brilliant ideas, but they don’t count until you have a PhD; then they count.” Male students mentioned benefits including prestige, promotions and salary increases, higher paid consultancies, opportunity to supervise graduate students—and to get credit for doing so, as informal supervision is common and but formally unrecognized, and better supervision skills by learning from Swedish supervisors.

1.22 Significant Contribution of research group.

The observation was made both by completers and ongoing PhD students that where supervision took place within a research group driven by a principal investigator whose incentive was getting money for his or her own research, that everything worked better. Some students in these groups found going to Sweden to be a burden or distraction, as there needs could be met at Makerere. It appears that in these situations, the Swedish supervisors were frequent visitors to Makerere (and the students did not need laboratories or specialized equipment).

1.23 Future prospects for supervision.

Completers reported that as their group had learned how to be a good supervisor as part of PhD work, they are better prepared than some of their predecessors to supervise research.

1.24 Promotions.

Among completers, some promotions have been granted: two Lecturers to Senior Lecturer; one Assistant Lecturer to Lecturer; two have become department heads; and others are ready for, or under consideration for promotion: one Lecturer to Senior Lecturer; one Teaching Assistant to Lecturer (with publications already sufficient for promotion to Senior Lecturer), and Assistant Lecturer to Lecturer.

1.25 Requests and recommendations to Makerere University or to Sida (organized by categories of participants who voice each item)

- **All students** want stipends to substitute at least for time transferred from income generation to study and research, and all want study leave, or, at least clearer rights to time off to prepare for examinations, etc. Those who study only in Uganda especially need study leave, as they have no other ‘escape’. All want greater emphasis on support for exposure at conferences, interaction with colleagues in their fields internationally, opportunities to become members of the international research community in their fields. And many mentioned wanting continuation of pools of research funds to seed Masters’ students and others to initiate new research. Some asked for follow-up on complaints about supervisors, or fear they will never finish their degrees.
- **All PhD students** want a complete and timely plan of ‘cross-cutting’ courses.
- **Women PhD students** want help finding accommodation for the first visit to Sweden.
- **Gender Mainstreaming students** would like SGS to invite them to dissemination conferences, so they too have the opportunity to present their work. They want the option of “dead time”, or time during family emergencies or at the birth of a child to take a break without it counting against their scholarship or other time limits. (Unclear if this pertains to other groups of students.)
- **Gender Mainstreaming PhD students** want clarification about the terms of Sida support for PhD students studying in disparate faculties, expectations for supervision, and program rules. By comparing experiences these students realized they do not understand much of what seemed clear to the PhD students in units with research support. They were unsure what their scholarships were to cover (half or full tuition and fees?); one was told by a letter from SGS to pay her supervisor 30% of 1.8 million UGS for supervision upon completion. This group also asked for greater clarity on expectations for dissertations from PhD work through research, or research along with course-based programs, where the time for research is reduced by the time in coursework, yet examiners seemed to expect the same time to be devoted to research. They also ask for more help from GMD in managing supervisors (all at Makerere). They would like more help from GMD in workshops (unclear to us if they participate in the workshops so appreciated by Masters’ students).
- **PhD completers:** Want more courses to help them prepare to be research supervisors; some want post doctoral opportunities (continuing students also said this).

Part 2.c Supervisors/senior scientists

27 February 2009 (with Phyllis Freeman and Eva Johansson, Evaluation Team)

Prof. Samuel Kyamanywa

Prof. Felix Bareeba

Dr. Charles Bwana

Prof. Grace Bantebya K

Dr. E. Lugujjo

Prof. Sandy's Tockodru-Togboa

Dr. Nassanga Goretti Linda

2.0 Perspectives of Supervisor/Senior Researchers

A group interview allowed us to supplement information gleaned from other senior academic participants whom we interviewed individually (see below). Neither the Faculty of Medicine nor the School of Public Health was not represented in this group, but their perspectives are elsewhere.

2.1 Changes in time dedicated to research 2000-2008.

Only the **Faculty of Agriculture** participants had substantial engagement in research at Makerere University prior to 2000 (with funds from Rockefeller Foundation, NUFU, Carnegie Corporation, and USAID from 1993), thus time invested in this faculty did not change from 2000-2008 as it did in other units (one estimated a constant 30% research along with significant administrative responsibilities and teaching). New to this Faculty, and to every unit, was the capacity building focus, including the new opportunity to collaborate intensively with Swedish universities, or in most cases, with any university outside Uganda.

The **Faculty of Technology** had little external research support previously, and the two participants had increased their time devoted to research from 10-85% and from 2-50%. At the **Faculty of Social Sciences**, researchers carry heavy teaching loads, thus even with research projects they prize and Sida funds, the one able to estimate change indicated a smaller increase, from 5% to 25 or 30%; the other was on sabbatical, temporarily devoting 100%.

The **Department of Mass Communication in the Faculty of Arts**, also a unit with heavy teaching loads, joined this program over time in a complicated transition starting in 2005—from a regional environmental journalism collaboration with Sida that produced a baseline study. (Too early to estimate change.)

2.2 Experience as graduate students, and with supervision

Three completed their PhDs in Europe (France, UK, former USSR), two in North America (Canada, United States), one in a regional program headquartered in Nairobi, and one at Makerere University (after completing a Masters in the UK). The models of education and of supervision involved were vastly different; several far broader in scope than the historic UK/Uganda approach (Canada, US, USSR), with grounding in Philosophy of Science and other disciplines viewed as very positive. The USSR professors were paid by how many PhD's each 'churned out', so supervision was highly structured and aggressive, almost military in style, and completion uniformly rapid (3-4 years). The regional African program was rigorous, making use of an international

selection of top professors, but research support from 2 official supervisors was almost non-existent, and completion times long (7-8 years). The UK graduate benefited from a UK supervisor with a project in Uganda, but without any other projects or travel, and Sida-funding. Response time from this UK supervisor averaged 2 weeks; comparable feedback at Makerere would be likely to take 6-8 months. One did a Masters', a PhD (1969), and a Fellowship on a campus with more resident professors than students (Caltech). The Makerere University PhD was "lucky", with two very good supervisors who responded unusually rapidly to submissions every two months. The French graduate could meet the supervisor any time, although the old-school professor rigidly demanded adherence to the student's initial schedule predictions for submissions.

2.3 Contrast of experience as students versus as supervisors today

These experiences contrast markedly with what the same individuals find is possible at Makerere today. In this collaboration, they supervise colleagues who may have fewer—or more years teaching than their supervisors—in their shared departments. They cannot devote the same time their supervisors did, they cannot make similarly authoritative demands of the peers who are their students, nor when faced with excuses for delay, can they follow them about to verify if a child is really in the hospital; they must honor colleague's words. Some had supervised students where they were paid monthly for supervision; or incentive payments (\$2500USD per completed student from Rockefeller Foundation) and found all so compensated met students regularly without excuses or otherwise typical delays at Makerere.

2.4 Choice to join program, selection of Swedish Collaborators.

Participants saw university advertisements or heard about them from colleagues, and submitted concept notes to the coordinating office (now SGS) as a first connection to this program. To find collaborators, project originators reached out for suggestions, then teams went to Sweden. The process was challenging (see one version from the Faculty of Medicine in the Appendix entitled "Genesis of a Research Group"). Some met Swedish collaborators who first made contact with top administrators at Makerere. A large portion of this group found the Swedish collaborators to have been selected by their predecessors, but found those links still to be very useful. Some had changed individual collaborators, some changed to different universities. When Mass Communication came in, the first set of collaborators at one university approached declined, saying they had too little time; they found very willing collaborators with a more international focus at another Swedish university.

2.5 Collaboration on research and publication-discipline variations

Substantial discussion focused on what are most likely discipline differences between sciences and social sciences, at least in Sweden, thus in this collaboration. Participants discussed how in the science disciplines (and Makerere academic units including agriculture, medicine, public health, and technology), Ugandans and Swedes typically collaborate on research, writing protocols, publishing jointly, and co-supervising students. In the Social Sciences, and, it appeared also in Mass Communication (in the Faculty of Arts), Ugandans have found many of their Swedish colleagues to be generous co-supervisors, but to want to design their own, individual research projects, and to conduct their fieldwork separately from their Ugandan senior researcher counterparts, even as they willingly went to the field to supervise students. Thus, they do not publish together so often, if ever. Senior researchers in Mass Communication found their

Swedish counterparts' comments on study design and making publications of interest to international audiences to be more useful than did those present from the Faculty of Social Sciences (from 2 sub-programs). FSS participants noted appreciation for new publications regularly sent to them by Swedish collaborators. Instances of different forms of collaboration at FSS were cited, notably one that is partly a spin-off of Sida support: a grant jointly to the Faculties of Medicine and Social Sciences with Case Western Reserve University (US), supported by a research training grant from US National Institutes of Health (See Research Impact Summary Appendix).

2.6 Supervision of Students.

Supervisors highlighted differences in today's students, many of whom they say read few books and articles, instead taking content from more generic web sources, 'regurgitating', cutting and pasting to assemble papers, rather than engaging in more rigorous analysis preferable to the 'old timers'—unless guided, and pushed, by supervisors. Others agreed, raising concerns about how much this "google" approach can contribute to knowledge, and how to encourage more critical thinking. They explained how in their own supervisory approaches, they try not to reproduce problems they experienced, but to produce 'a better future' through the opportunities for their students. One commented that the university has been too rigid, not encouraging innovation in teaching and learning, thus it is up to supervisors to insist on more depth in theory, more original thinking. One noted having stopped putting detailed comments on student papers, as these had a way of reappearing, close to verbatim, incorporated into the students' manuscripts; without these comments it takes students longer to finish. Another described inviting students to bring their computers to supervision, where they projected the student's work on a LCD screen and follow it together. Where the logic "breaks down", they edited together, and students finished more quickly. Most seemed to supervise individuals, with some supervision group meetings for tracking student progress, or for encouraging students to critique one another's work. At FSS students routinely present to non-supervisors, to get feedback from a larger group, and group supervision is more common.

Supervisors described asking students about literature searches using library databases, and finding that students did not know the databases, or how to get the articles. Some teach their students how to get articles, so they won't come back to supervision without having read them. Other supervisors were unfamiliar with what databases students are able to access (all reinforcing need for continuing training by library staff).

The Faculty of Technology described its handbook, "How to get a PhD" in which they address personal chemistry between student and supervisor; what to do if there is conflict. Others expressed interest in seeing it.

Discussion about co-supervision with Swedish counterparts was generally positive, but not detailed (as time ran out before pursuing this topic). Greater detail on co-supervision emerged in research impact discussions and summaries, and in discussion with another senior researcher who was unable to attend this group interview (see Genesis of a Research Group)

2.7 Innovation.

When asked about innovation, the principle comments came from the Faculty of Technology, where they find innovation springing from undergraduate students projects, not from the more academic forms of research common among the older PhD students (the older ones who would need PhDs for promotion after 2000 having been the first admitted to study in this collaboration); and from Agriculture where innovation is most common among Masters students who go to the field with fresh perspectives.

2.8 Disparities in compensation for supervision Sweden and Uganda.

Supervisors were very concerned about disparities in rewards for supervision between Swedish supervisors and themselves, especially given the new guidelines for budgeting Swedish supervision per student (whether registered in Sweden or not, 250,000SEK, or more than \$30,000USD per student, about three times the entire salary of many Ugandan supervisors; see Sida Application Guidelines).

2.9 Supervisors' Conclusions and Recommendations for Makerere University and Sida

- **Rewards for supervision are inadequate.**

If the university is going to attract senior staff to supervision (instead of consultancy to raise funds for children's school fees, and other essentials not covered by Makerere salaries) something needs to change.

- **Experience in Swedish laboratories builds confidence.**

Continue international exposure for students in other settings to overcome 'inbreeding' from pursuing all one's education in one institution.

- **Collaboration needs more institutional character on Swedish side.**

Both students and senior scientists need more institutional connections, not just personal ones. If the Swedish coordinator is not there, or is not helpful, it is difficult even for senior scientists to make other contacts (and some described having had to circumvent the coordinator's attempts to keep them from meeting with others beyond colleagues already involved, despite Ugandan's strongly expressed interest in others' expertise). If our students don't find their supervisors, there is no one to whom to turn.

Part 3. Accountants

2 March 2009 Group meeting with Unit accountants (and SGS & Finance Office)

Evaluation Team: Phyllis Freeman & Jerker Thorvaldsson

Units represented: Agriculture, Library, DSS, Technology, DICTS, FSS, (missing Faculty of Medicine or Arts, Mass Communication)

Mr. Sam Kwesiga

Ms. Christine Nandugga

Mr. Henry Amany

Mr. Paul Kiggundu

Ms. Mirembe Jane

Mr. Kalungi James

Ms. Sajjabi Enid

Ms. Susan Sekasi

Mr. Peter Mubiru-Finance Office

Ms. Nakyewa Mary-SGS Coordinating Office

1. Asked each unit accountant to describe the process, who participates in what.
2. Similarities & differences: All get monthly statements from Mary, sent by email to everyone in unit group that works on budgets or follow up; look for discrepancies, take up with Mary if find any (usually in person, not written). All have same process for pursuing release of funds, for accountability, etc.
Process similar in units—except:
 - a. Tech has an assistant who works with coordinator and assistant (Alexis) goes to meetings with coordinator, follows up with individuals—accountant does not attend meetings on program or have chance to learn content of research, how activities planned or carried out
 - b. Library works in group of 6 with Director, Liz State writes up meeting notes—distributes
 - c. Gender: Sits with Director and program officers while they discuss all (one of two units where accountant involved in all discussions of planning, implementation, follow up—other FSS)
 - d. DSS site manager and 2 accountants on ground in Iganga; Do budget at SPH in Kampala, not in field; procedures vary by study
 - e. FSS: Accountant sits with team that does planning, also in retreats with all researchers in subprograms—as part of the team. This was NOT true in Phase I; works better now that she is part of the team, aware of much more program activity.
 - f. DICTS: budget for Sida from DICTS done by Apolo rather than accountant as highly technical—Sida pays for procurement major equipment, not recurring costs
 - g. Agriculture: Accountant meets with Coord/Dean but rarely with senior researchers and never with students.
3. Finance officer notes that Maria Nakyewa pays a personal price for her dedication to following up accountability; called “that woman” by researchers who take her role to be something of a personal insult. Finance Office deals with all requirements of banking; organizes training on procurement, accountability, budgeting for accountants; M&E missing
4. Bulk of activity so far aimed
 - a. Retrospective: follow-up of money spent/advances;
 - b. accountants are given proposals to “cost” activities (e.g. fuel to field sites, price for hiring transportation; nights trigger per diem—university rates pre-set—waiting for a change, hoping for an increase in rates to match what government employees get; university has not yet done)
 - c. No focus yet on forecasting—trying to link proposals and budgets to actual activities and rate of expenditure—in order to forecast relationship of spending to activity plan--projections of changing timelines and financial implications
5. Mary Nakyewa: Look at Phase 2 proposals and don’t see any M&E—logical framework incorporated; Phase 3 will have; Want to do continuous self-

evaluation—NEED specific people to do this, as everyone involved is already too busy.

6. Job satisfaction seems higher where accountants involved as part of team planning activities; otherwise feel more like 'tools' than teammates.
7. REC to units: INVOLVE accountants in discussions of planning, implementation to increase familiarity with all, enhance ability to contribute to work of teams/unit.

1. Pharmacokinetics and safety of new therapies for the two major infectious diseases in Uganda: Malaria and HIV/AIDS

³¹ By Sida-sponsored PhD student, Jesca Nsungwa
³² By Sida-sponsored PhD student, Winnifred Tumwikirize
³³ By Sida-sponsored PhD student, Celestino Obuya

<i>Networks Involved</i>	<i>Research collaborators:</i> Karolinska Institute, Division of Clinical Pharmacology (principal partner/Sida funded); World Health Organization (country office and Geneva—bioequivalence task force support from Geneva—funded 2 studies and short courses) as part of network; Management Sciences for Health (USA), (organizing team to respond to RFA on Essential medicines supply chain in Uganda-March 2009 deadline); University Muhimbili College of Health Sciences, Tanzania (also Sida funded) came for a week to learn how to operate drug information service and Pharmacokinetics Laboratory; University of Edinburgh, UK and University of Ghent in Belgium (partners for EU grant application Framework Program7-Under review); University of Capetown-joint application for Wellcome Trust grant-not successful-but can apply together for other funding.	
<i>Main Research product/outputs</i>	<i>Journal Articles:</i> 1. Ntale M, Mahindi M, Ogwal-Okeng JW, Gustafsson LL, Beck O A field-adapted HPLC method for determination of amodiaquine and its metabolite in whole blood dried on filter paper. <i>J Chromatogr B Analyt Technol Biomed Life Sci.</i> 2007. 2. Obua C, Ntale M, Lundblad M.S, Mahindi M, Gustafsson L.L Ogwal-Okeng J.W, Anokbonggo W.W and Hellgren U. Pharmacokinetic interactions between chloroquine, sulfadoxine and pyrimethamine and their bioequivalence in a generic fixed-dose combination in healthy volunteers in Uganda. <i>Afr Health Sci.</i> 2006; 6: 86-92. 3. Obua C, Gustafsson L.L, Aguttu C, Anokbonggo W.W, Ogwal-Okeng J.W, Chiria J, Hellgren U. Improved efficacy with amodiaquine instead of chloroquine in sulfadoxine / pyrimethamine combination treatment of falciparum malaria in Uganda: experience with fixed-dose formulation. <i>Acta Tropica</i> 2006; 100: 142 – 50. 4. Obua C, Hellgren U, Ntale M, Gustafsson LL, Ogwal-Okeng JW, Gordi T, Jerling M. Population pharmacokinetics of chloroquine and sulfadoxine and treatment response in children with malaria: suggestions for an improved dose regimen. <i>Br J Clin Pharmacol</i> 2008; 65: 493 – 501. 5. Musoke D, Obua C, Waako PJ. Assessment of the Drug Storage Facilities and Quality of Generic Co-Formulation Tablets (Stavudine, Lamivudine, Niverapine) at HIV/AIDS Treatment Centres in Uganda. <i>Res J Med Sci</i> 2008; 2(3): 159-162. 6. Obua C, Ntale M, Ogwal-Okeng JW, Gustafsson LL, Hellgren U, Petzold MG. Impact of nutritional status on fixed-dose chloroquine and sulfadoxine/pyrimethamine combination treatment of malaria in Ugandan children. <i>Int J Trop Med</i> 2008; 3(3): 53-59. 7. Malm, S. Römsing, C. Obua, Y. Bergqvist. Determination of lamivudine, zidovudine and nevirapine, in capillary blood sampled on filter paper, by liquid chromatography. <i>Journal of Chromatographic Science</i> (Accepted August 2008, in press). 8. Jun Miura, Celestino Obua, Catherine Abbo, Sunao Kaneko, Tomonori Tateishi. Cytochrome P450 2C19 Genetic Polymorphisms in Ugandans. <i>European Journal of Clinical</i>	

	Pharmacology, 2008; DOI 10.1007/s00228-008-0583-6 9. Jayne Byakika-Tusiime, Leslie W. Chinn, Jessica H. Oyugi, Celestino Obua, David R. Bangsberg and Deanna L. Kroetz. Steady State Bioequivalence of Generic and Innovator Formulations of Stavudine, Lamivudine, and Nevirapine in HIV-Infected Ugandan Adults. PlosOne, 2008; 3(12): e3981. 10. Paul J Waako, Richard Odoi-Adome, Celestino Obua, Erisa Owino, Winnie Tumwikirize, Jasper Ogwal-Okeng, Willy W Anokbonggo, Lloyd Matowe and Onesky Aupont. Existing capacity to manage pharmaceuticals and related commodities in East Africa: an assessment with specific reference to antiretroviral therapy. Human Resources for Health (Accepted Jan 2009) <i>Conferences/workshops:</i> Annual scientific conference organized every year Dr. Paul Waako attended the world pharmacology Congress in Beijing, 2007 Dr. Paul Waako and Jackson Mukonzo (PhD) student attended the Clinical Pharmacology conference in Quebec, 2008 Held a short course on biomedical research training 2005, 2006, 2007. (Course was attended by participants from academia and industry.) Dr. Celestino Obua held dissemination meeting in Jinja.	
<i>Research-related impact</i>	Establishment of Laboratory for future research, and Information Service as basis for adverse events surveillance for malaria and HIV/AIDS treatment.	
<i>Policy Impacts</i>	Members of this research group asked to sit on key national policy formulation bodies. Example: National Drug Authority Technical Committees: National Pharmacovigilance Committee (Paul Waako and Jasper Ogwal-Okeng) and Traditional Medicines Committee (Paul) (to consider which substances and how to register traditional medicines)	2006
<i>Service Impacts</i>	<i>Laboratory:</i> Government of Uganda required bioequivalence studies but no laboratory to do these existed in Uganda. Government set up a national task force to develop bioequivalence services in Uganda. Industry sent an evaluator from German Technical Corporation who recommended that this group participate—create laboratory at Makerere University, Department of Pharmacology/Medical School. The new lab is being used by biochemistry department in studies of carotenoids in different food substances; by the National Agricultural Research Organization to study Vitamin A in food products. Establishment of Drug Information Service for Ugandan clinical providers; Expansion of service to include poisons. A master of science student under the medicines information centre is carrying out research on types and outcomes of poisoning in children at Mulago Hospital.	
<i>Societal Impacts</i>	Reducing burden of drug resistance to malaria drugs through rational drug use work with clinicians; and increase awareness and reporting of drug adverse events in society.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Grown from 4 (all men) in 2000 to 12 in 2008 (3 women, 9 men) <i>Supervisory capacity:</i> Growth of PhD supervisory capacity from 2 to 4	2000-2008

	people through training and promotions. <i>Research seminars:</i> Every Tuesday, 2-5 p.m. with attendance of at least 20, even if senior researcher away—great enthusiasm. <i>Publication:</i> from 0/year in 2000 to 10 per year 2008 for group <i>Promotions:</i> Waako and Obua to Associate Professor <i>Infrastructure:</i> Pharmacokinetics laboratory-for Makerere University (medical school facility also used by Biochemistry Department in Faculty of Sciences) and other users (who pay bench fee—demand for laboratory time already greater than availability) <i>Development of Team:</i> Research group regularly includes senior researchers, PhD students, and Masters' students aided by PhD students—creates pool for future PhD candidates and academic staff. <i>Funding:</i> Attracting new competitive research funds and generating bench fees for lab (see above) <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> ICT, Library <i>Research Award:</i> Assoc. Prof. Celestino Obua was awarded the British Journal of Clinical Pharmacology (BJCP) prize for BEST PAPER in the YEAR 2008, by an author in training. This award also came along with some cash prize of 1000 pounds and a One Year honorary membership of the British Pharmacological Society.	

2. Rapid detection of Multi-drug resistant tuberculosis (MDRTB) and Molecular Epidemiology of Tuberculosis

	Molecular Biology, Faculty of Medicine	
	Key Informant: Moses Joloba	
Analysis Areas	KeyTopics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> TB Subprogram: 1. Rapid detection of Multi drug resistant tuberculosis (MDRTB)³⁴ <i>Funders and Funding Process:</i> Sida, WHO TDR, PEPFAR for referral system; Kampala Drug Survey, EU Dissemination in labs—Foundation Innovative New Drugs (FIND)—developing 4 labs (did Hain first at Mulago—now in National Lab, and at point of care in Mulago Hospital, Mbarara and Mbale; Italian building lab—345,000Euros over 3 years--Gulu <i>Budget:</i> Sida \$6,200,000 (Uganda 4.4mil SEK, rest to Swedish counterparts),WHO/TDR \$32,000 over 3 years; EU: 70,000 Euros; CDC-PEPFAR \$100,000USD annually for 3 years 2. Molecular Epidemiology of tuberculosis³⁵ <i>Geopolitical context:</i> both in Uganda, first in Kampala <i>Funders and Funding Process:</i> Sida; also, student partly funded by WHO grant until employed by Makerere University (would not have worked without these WHO funds). <i>Budget:</i> Sida- SEK for both projects above WHO: \$6000USD for 2 years NIH: \$400USD/mo for 2 years	2005 Phase 2—actual start 2006 as student away
<i>Research Project Evolution</i>	<i>How it started:</i> 1. Rapid detection: MDRTB had been detected by conventional methods—but required a minimum of 3 months before diagnosis was ready, unacceptably long—the longer you wait, shorten survival and spread to MDRTB increased—so needed rapid method to do both reduce transmission, increase survival—so,wrote a proposal for Sida—recruited Phd student— <i>Research methods used:</i> 1. <i>Rapid detection:</i> Knew from literature other methods existed, but rapid ones had never been evaluated in developing country, and even WHO skeptical about whether they could be used successfully--so needed to evaluate. Meta-analysis: Reviewed experience with all rapid methods, scales, grading; identified15 methods for a close look, selected 4 most promising for Ugandan setting. 2. Molecular epidemiology: Joloba finished his Masters, wanted to know what species of TB in Uganda; first study conducted with biochemical methods. New	2006—sent for publication 2008

³⁴ Sida supported PhD student: Freddie Bwanga

³⁵ Sida supported PhD student: Benon Asimwe

	techniques came: molecular approach likely to give clearer results. Went to one division of Kampala to conduct a cross sectional study. Shipped isolates back to Germany where had done Masters work with biochemical methods; found biochemical approach gave inaccurate results; then showed correct species in Kampala using molecular epidemiologic methods. <i>Key project events/concerns:</i> 1. Rapid detection: Ethical concerns about detecting MDRTB before Uganda had any means to treat individuals and manage programs to reduce transmission and prolong life. Results of detection method in Uganda were so positive that investigators had to stop the evaluation and implement right away. -Dr. Joloba is simultaneously head of the research lab at the medical school, and the National Reference Laboratory—both advantages and challenge to heading both labs. 2. Molecular epidemiology: The study was planned to be prospective and to include smear negative TB suspects it would answer many questions regarding role of MDRTB species and genotypes in response to therapy. Role of vaccine in protection and transmission potential. However, the budget was reduced and had to change the budget to across sectional study design. <i>Main findings/recommendations:</i> 1. Hain test can detect MDRTB in one day, results for clinicians and patients out in 2 days with paperwork; sensitivity and specificity very good, about 98%;— <i>Result:</i> WHO moved from doubting if test could be done in developing country to recommending use of Hain test by the end of 2008. 2. Study #1: 70% in one district in Kampala all shared one genotype MTB; then studied with regard to HIV, markers.	2007
<i>Networks Involved</i>	<i>Research collaborators:</i> London School Hygiene and Tropical Medicine (a post doctoral fellow came to Uganda); Hain came to certify quality of work (bringing worldwide credibility); WHO/TDR, NIH: NIAID+ TB research unit (helped to build microbiology lab—still doesn't have Sida funded equipment--\$ there since 2005; Ministry of Health; IAULTD, CDC PEPFAR	
<i>Main Research product/outputs</i>	<i>Publications</i> 1. Early Detection MDRTB: 1. Freddie Bwanga, Sven Hoffner, Melles Hailes, Moses Joloba. Comparison of direct with conventional indirect susceptibility testing for multi-drug resistant tuberculosis: A meta analysis 2. Molecular Epidemiology: 1. Asiimwe BB, Joloba ML, Ghebremichael S, Koivula T, Kateete DP, Katabazi FA, Pennhag A, Petersson R, Kallenius (2009). DNA restriction fragment length polymorphism analysis of Mycobacterium tuberculosis	

	isolates from HIV-seropositive and HIV-seronegative patients in Kampala, Uganda. BMC Infect Dis. 9:12 2. Asiimwe, B.B., J. Asiimwe, G. Kallenius, S. Ghebremichael, M. L. Joloba and T. Koivula (2008). Molecular characterization of Mycobacterium bovis isolates from cattle carcasses at a city slaughterhouse in Uganda. The Veterinary Record, in press. 3. Asiimwe BB, Ghebremichael S, Kallenius G, Koivula T, Joloba ML (2008). Mycobacterium tuberculosis spoligotypes and drug susceptibility pattern of isolates from tuberculosis patients in peri-urban Kampala, Uganda. BMC Infect Dis. 28; 8: 101. 4. Asiimwe BB, Koivula T, Kallenius G, Huard RC, Ghebremichael S, Asiimwe J, Joloba ML. Mycobacterium tuberculosis Uganda Genotype is the predominant cause of TB in Kampala, Uganda. Int J Tuberc Lung Dis 2008; 12(3): 1- 6. Conferences/workshops:	
Research-related impact	1. Rapid Detection: Research next steps in process: Survey in Kampala (20km radius), collected samples, analyzing these. Preliminary findings: 13% of all TB patients in retreatment have MDRTB+1% of new cases are MDRTB (not all data in). 2. Molecular epidemiology: Predominance of one genotype in Kampala raises questions: What explains why one pregenotype dominant for 70% of the population when so many other genotypes are available? Is it the organism itself? The host? The environment? A combination? How would it impact efficacy of the vaccine? Directly Observed Therapy (DOTS-first line treatment)—most respond, but those that don't—is it related to genotype? What about other parts of country? -How to test efficacy of a new TB vaccine at Mayuge/Iganga? DSS had not considered the relationship of the vaccine to specific genotypes. Now the two lines of work will converge at DSS in with Gates team at DSS and with Swedish collaborator in European and Developing country Clinical Trial Program and AERAS-Vaccine Trial Group.	
Policy Impacts	1. National Policy change to detect, treat, manage MDRTB: Wrote guidelines for MDRTB detection and treatment; now preparing training manual. 2. Not yet—could influence vaccine policy.	2008
Service Impacts	1. Rapid detection. Lab capacity in Kampala, so begin there; 25% coverage so far in 2 of 9 zones of Kampala; by end 2009 plan for 100% cover in Uganda. A second proposal to start Rapid MDR-TB detection laboratories in: Gulu (N), Mbarara (SW), Mbale (East). May use Global Fund to secure second line drugs but no treatment facility available; so working with National TB and Leprosy Program (Ministry of Health) to expand treatment facility. Centralize first in Kampala as that is where the expertise is—pilot sites will refer patients to Mulago—(remains unclear how to transport). Medical school research lab partnered with National TB and Leprosy Reference Laboratory to strengthen National lab: now recognized as national	

	facility. 2, Molecular Epidemiology: MTB genotypes in Uganda being considered to be included in TB vaccines to be tested in Uganda. Information being used to design TB studies that will include the MTB genotype as a variable.	
<i>Societal Impacts</i>	1. Anticipated: reduce transmission and decrease transmission of MDRTB. 2. Might explain why BCG vaccine not so efficacious, and lead to a more effective vaccine to reduce transmission of tuberculosis, which would save many lives in a very cost-effective way.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> <i>Benon Asiimwe started with Masters now has PhD</i> <i>Freddie Bwanga started with Masters soon to have PhD</i> <i>Publication:</i> Benon previously had one publication in 2003. But achieved 5 publications in four years. Out of the 10 publications the PI (Moses Joloba) had in 2008, 5 were from work supported by Sida. <i>Promotions:</i> Benon has been Assistant Lecturer recommended to become Lecturer. <i>Infrastructure:</i> Created conditions for partner to build new research lab in 6 weeks on Mulago campus (operating outside constraints of Makerere University building and procurement requirements—lab up in 6 weeks; begins operation March 2009). <i>Development of Team:</i> By encouraging participation of all team members in all the affairs of the project including, workplans, budgeting, implementation (including expenditure), monitoring and corrective actions there is a strong sense of ownership and motivation. Transparency has been a key to sustaining the team. <i>Funding:</i> Attracted funding from several new sources, including clinical trial groups (EDCTP and AERAS) in DSS vaccine study, the Tuberculosis Research Unit (TBRU), Wellcome Trust and US NIH. <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> ICT, Library, equipment finally arriving for original medical school tuberculosis lab.	2000-2008

3. Mental Health Problems of Conflict and HIV/AIDS: Depression

	Department of Psychiatry, Faculty of Medicine	
	Key Informant: Prof. Seggane Musisi	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> Mental health problems of conflict and HIV/AIDS. Earlier studies had found depression, post traumatic stress disorder and psychotic illnesses to be prominent in war-traumatized and HIV-infected populations. Phase I: Depressive Illness In Lake Victoria Basin Phase II: Psychotic disorders in the N-W crescent region of Lake Victoria basin. <i>Geopolitical context:</i> Lake Victoria basin and other water basins in Uganda; comparisons in Malawi <i>Funders and Funding Process:</i> Mainly Sida/SAREC. Also grants from Fulbright, NIH, collaborations with Johns Hopkins through Infectious Disease Institute, Boston School of Public Health ("ARCH" Applied Research for Child Health). <i>Budget:</i> Sida: Phase I 700,000SEK, Phase II 400,000SEK (so far); Fulbright grant \$200,000USD NIH: \$ 2 million USD—with Rand Corporation: Makerere University portion for 2008/9 \$60,000USD Boston University: \$20,000USD	2000-2004 2005-2008
<i>Research Project Evolution</i>	<i>How it started:</i> Department of Psychiatry had worked on war conflict – related mental health prior to 2000, mainly war related trauma. This led to studies on causes, treatments, and outcomes depressive illness. Realization of extent of HIV/AIDS among depressed groups added another dimension to this research. This led to four studies. <i>Research methods used</i> (for each of the 4 studies): 1. Conceptualisation of Depression: How do people conceptualize and present depressive symptomatology and hence help-seeking behavior?³⁶ Methods used: Participatory and qualitative research methods: focus group discussions, key informant interviews 2. Measuring depression: What culturally sensitive instruments could be used to assess depression in Uganda settings?³⁷ Methods: Devising, developing and validating of culturally sensitive research instrument based on comparing to 'gold standard' instruments (e.g BDI) that were developed in west 3. Life events: What events in peoples lives (especially in families) influence the onset and progression of depression, and how do families cope?³⁸ Method: Cross sectional surveys of population groups in primary health care centers; comparing life events among those who had developed	Pre 2000 2000-08

³⁶ Sida-supported PhD student, ES Okello

³⁷ Sida-supported PhD student, EBL Ovuga

³⁸ Sida-supported PhD student, WW Muhwezi

	depression and those who had not developed depression 4. Women & Depression: What factors explain high prevalence of depression among women?³⁹ Method: Comparison of matrilineal societies in S. Malawi to patrilineal societies in N Malawi and in Uganda <i>Key project events/concerns:</i> Uganda Ministry of Health strategized a new policy of decentralized health care (in 5 year health strategic plans (2000-05; 2005-10) with minimum health care package which included mental health care. The findings in these studies should impact delivery of health care in these primary care settings <i>Main findings/recommendations/results:</i> 1. Conceptualisation of Depression. People in Uganda express depressive symptomology as mainly somatic (physical) complaints, as diseases of 'troublesome thoughts', and when severe (psychotic), as diseases of ancestral spirits. (Clan spirits). If or when associated with physical illness, then the physical illness is blamed for the depression, e.g. HIV/AIDS.) These factors should be considered in the training of health care providers to recognize and diagnose depression in primary health care settings, and to respond, taking into account these culturally specific issues. 2. Measuring depression: Response Inventory to Stressful Life Events (RISLE) is a valid instrument to detect depression and suicidal ideation in a culturally sensitive way in Uganda. Recommendation: Use a simpler version of RISLE as a screening depression in primary health care 3. Life events: The extended family system in Africa system is stretched beyond limits by HIV/AIDS and is no longer capable of supporting individuals in times of stressful life events. Patients presenting numerous physical complains in primary care are more likely to be depressed than simply physically ill. Recommendation: Change policy so as to train mental health workers in/for all settings from village level up to recognize and treat depression. 4. Women & Depression: Higher prevalence of depression in women in patrilineal as compared to matrilineal societies. Gender specific programs needed to protect women in highly patriarchal societies such as those in Uganda e.g limit impact of family problems, domestic violence, and spread of HIV/AIDS.	
<i>Networks Involved</i>	<i>Research collaborators:</i> KI and Goteborg, Lund, Johns Hopkins Hospital, Norwegian University of Science and Technology; Uganda: IDI, Mild May Center for Treatment HIV, district health services	
<i>Main Research product/outputs</i>	<i>Publications:</i> 1. Concepts. - Okello, E., Ekbalad, S. Lay concepts of Depression among the Baganda of Uganda: A pilot study. Published in J Transcultural Psychiatry, 2006:43(2):287-313	

³⁹ Sida-supported PhD student, JM Tugumisirize

	-Okello, E., Musisi S. Depression as a clan illness (eByekika): An Indigenous Model of Psychotic Depression Among the Baganda of Uganda. Published in J World Cultural Psychiatry Research Review, 2006:1(2):60-73 2. Measuring Depression: -E. Ovuga, J. Boardman & D. Wasserman. Prevalence of suicide ideation in two districts of Uganda. <i>Archives of Suicide Research</i> -E. Ovuga, J. Boardman & D. Wasserman. The prevalence of depression in two districts of Uganda. <i>Social Psychiatry and Psychiatric Epidemiology</i> -E. Ovuga, J. Boardman & D. Wasserman. Student mental health at Makerere University. -E. Ovuga, J. Boardman & D. Wasserman. The Response Inventory for Stressful Life Events (RISLE) I: Refinement of the 100-item Version. <i>African Health Sciences</i> -E. Ovuga, J. Boardman & D. Wasserman. The Response Inventory for Stressful Life Events (RISLE) II: Validation of the 36-item Version. <i>African Health Sciences</i> 3. Life events: -Muhwezi, W. W., Agren, H., & Musisi, S. Detection of major depression in Ugandan primary health care settings using simple questions from a subjective well-being (SWB) subscale. <i>Soc Psychiatry Psychiatr Epidemiol</i>, 2007: 42(1), 61-69. -Muhwezi, W. W., Agren, H., Neema, S., Maganda, A.K., & Musisi, S. Life events associated with major depression in Ugandan Primary Health Care (PHC) Patients: Issues of cultural specificity. Accepted in June 2007 for publication by <i>International Journal of Social Psychiatry</i>. -Muhwezi, W. W., Agren, H., Neema, S., Musisi, S., & Maganda, A. K. Life events and depression in the context of the changing African family: The case of Uganda. <i>World Cultural Psychiatry Research Review</i> (Official Journal of the World Association of Cultural Psychiatry), 2007 Jan: 10-26. -Muhwezi W. W., Okello E.S., Neema S., and Musisi S., Caregivers' Experiences With Major Depression Concealed by Physical Illness in Patients Recruited From Central Ugandan Primary Health Care Centers. <i>Qualitative Health Research</i>, Volume 18 Number 8 August 2008. <i>"Publications from Sida/SAREC supported short grants"</i> - Nakimuli-Mpungu E, Musisi S, Katabira E et al (2006) Primary Mania Vs HIV-Related Secondary Mania in Uganda. <i>Am J. Psychiatry</i> 163: 8 August 2006. [Won the best APA award for a young researcher for that year; later Nakimuli-Mpungu was awarded a Fulbright grant leading to a PhD at Johns Hopkins Hospital. It is important to show this article.] <i>Submitted Manuscripts: Under review by African Health Sciences Journal:</i> --Turiho A., Okello E.S., Musisi S., : The Emotional And Behavioral Responses To Sexual Harassment Among Female Students At Makerere University. -Nakku J., Okello E S., Tugumisirize J., Musisi S., : Validating the Beck Depression Inventory (BDI) In The Ugandan Setting. - Okello, E., Ekblad, S., Neema, S. Beliefs and practices of alternative healers	

	regarding non-psychotic depression: Health policy implications for effective use of scarce health resources in Uganda. -Okello, E., Neema, S. Explanatory models and help seeking behaviour: pathways to psychiatric care among patients admitted for depression in Mulago hospital, Kampala, Uganda.	
<i>Research-related impact</i>	1. Concepts. Basis for training of all primary health care providers to this in culturally sensitive way	
<i>Policy Impacts</i>	3. Life Events: Second strategic plan of Ministry of Health, 2005- called for more training of personnel for mental health in primary health care	2006
<i>Service Impacts</i>	1. Concepts. As national policy calls for mental health is to be part of primary care, district practice needs training for staff to recognize depression and be prepared to treat. 2. Measuring Depression. Screening tool being used routinely in North West Uganda in Adjumani district. 4. Some family oriented programs advised to alleviate gender-specific problems, especially domestic violence against women and spread of HIV/AIDS.	new Ministry of Health strategic five year plan – 2005/6 – 2010/11
<i>Societal Impacts</i>	2. Measuring Depression. Able to influence treatment of mental health care to detect suicide risk; population data in North Western districts of Uganda show rates of completed suicides as going down	2007/8
<i>Gains in research capacity</i>	<i>Research activity:</i> No active department-wide research projects at start Now, almost every member of academic staff active in research Collaborations: Sida, NIH, Trauma, Millennium Research Project, Children and Women. Department ready to extend studies to more vulnerable populations (women, children, elderly, refugees and displaced people). <i>Teaching staff:</i> Started with 1 associate professor, 1 Senior lecturer, 1 lecturer, 3 Teaching Assistants (2 of 6 were women) Now: 1 Full Professor, 3 Senior lecturers, 4 Lecturers, 1 Assistant lecturer, 1 Teaching Assistant, (4 of 10 are women —and at higher ranks than in 2000) <i>Promotions:</i> Prof Musisi – to full professor Dr Okello to Senior Lecturer DR Nakasujja – to Senior Lecturer Dr. Abbo – to full lecturer Dr Akena, - to Teaching Assistant <i>Supervisors:</i> Started with none—recruited one into program at start; now 2 senior researchers; 4 PhD holding, potential PhD supervisors; 2 recent PhDs who can start after 2 years post degree years, can assist now as Assistant supervisors. <i>Approach to supervision:</i> Changed from adversarial to more friendly, mentoring approach. <i>Regular research seminars:</i> Department (monthly) and faculty wide (2 per semester)	Pre 2000 2008- 2000 2008 2007 - 2008

	<i>Development of Team:</i> A comprehensive research team known as the Mental Health Research Club has been launched in the Dept of Psychiatry. It has a regular paid up membership, a patron, and is in the process of registering to become an NGO so that its activities can spread out nationally and beyond peoples trainings <i>Infrastructure (Sida supported):</i> Started without any internet/ICT, computers; electricity and water to building were intermittent only; now 2 desktop and 10 laptop computers, ICT, water and electricity regular service; also refrigerator, furniture (80 chairs); electronic resources of library. <i>Awards:</i> Fulbright, Sanofi/ Aventis, Best research papers and poster presentations at conferences	

4. Domestic Violence in Pregnant Women: Understanding for Prevention and Response

	Human Reproduction/Faculty of Medicine	
	Key Informants: Prof Florence Mirembe and Dr. Dan K Kaye, PhD ⁴⁰	
Analysis Areas	Key Topics	Key Dates
Research Project Focus and Funding	<i>Topics/Research Area:</i> Domestic Violence in pregnant women <i>Geopolitical context:</i> Uganda <i>Funders and Funding Process:</i> Sida <i>Budget:</i> Estimate \$60,000 year USD (field work, travel KI etc.)	2000-2006
	<i>How it started:</i> Were seeing battering of pregnant women in hospital; asking ourselves, what is the effect on pregnancy, pregnancy outcomes? Initiated small study (before student in PhD training) to learn prevalence. Found very common: 30% of women in study had some degree of domestic violence, physical or mental, during pregnancy. Sida scholarship opportunity came, Dr. Dan Kaye decided to take on domestic violence and social context as his topic. <i>Research methods used:</i> -Cross sectional, descriptive study -Cohort comparison of pregnancy outcome in women for those who experienced domestic violence, and those who did not. -Case control study of women who induced abortion and those with spontaneous abortions—To assess exposure to domestic violence in pregnancy and before. -In depth interviews and focus groups in community among general population to learn what factors related to domestic violence and what community resources exist to support women; did community associate domestic violence with negative consequences in pregnancy: low birth weight, trauma, induced abortions, pregnancy complications (rupture of membranes)? -What entry points exist for talking to men and communities around them? <i>Key project events/concerns:</i> 1. National discussions began about domestic relations bill in Parliament 2001. Bill did not pass but discussions to mobilize communities, judicial system took place. 2. "Sexual offences" bill passed was enacted in this time period (2002-3). <i>Main findings/recommendations:</i> -Prevalence much higher than anticipated, especially common in first pregnancy and adolescents. -Domestic violence associated with premature and low birth weight (small for dates) delivery; -Women with induced abortions had higher prior exposure to domestic violence (many of those who chose abortion gave this reason)	2001 2001 2004-1005 2003-2004 2002-2003 2001 2002/03

⁴⁰ Sida-supported PhD graduate: Dan K Kaye

	-Social context: many interviewed thought domestic violence increases in pregnancy as women become temperamental (men tend to go out with other women, creating circumstances for domestic arguments and violence during pregnancy). -Many thought women's support groups were empowering women and supporting them; we found instead that women became empowered, but if they became 'rebellious' as a result, there were no structures of support, no protection or services. -Some men realize they should be more understanding, some willing to behave better.	
<i>Networks Involved</i>	<i>Research collaborators:</i> Department of Women and Gender Studies Makerere University main campus; Hope after Rape (NGO-Uganda); Center for Domestic Violence Prevention (1 km from Mulago Hospital), Raising Voices (International NGO)	
<i>Main Research product/outputs</i>	<i>Publications:</i> 1. Kaye D, Mirembe F, Bantebya G. Risk factors, nature and severity of domestic violence among women attending antenatal clinic in Mulago hospital, Kampala, Uganda. <i>Cent Afr J Med</i> 2002; 48 (5/6): 64-68 2. Kaye D. Gender inequality and domestic violence: Implications for human immunodeficiency virus (HIV) prevention efforts. <i>Africa Health Sciences Journal</i> 2004 April; 4(1):38-42 3. Kaye D, Mirembe F, Bantebya G. Health provider' perceptions and practices regarding management of domestic violence in Mulago hospital, Uganda. <i>African Health Sciences</i> 2005; 5 (4): 315-318 4. Kaye DK, Mirembe FM, Bantebya G, Johansson A, Ekstrom AM. Implications of bride price for domestic violence and reproductive health in Wakiso District, Uganda. <i>African Health Sciences</i> 2005; 5: 300-303 5. Kaye DK, Mirembe FM, Bantebya G, Johansson A, Ekstrom AM. The social construction and context of domestic violence in Wakiso District, Uganda. <i>Culture, Health and Sexuality</i> 2005; 7(6): 625-635 6. Kaye DK, Bantebya G, Johansson A, Ekstrom AM, Mirembe FM. Escaping the triple trap: Coping strategies of pregnant adolescent domestic violence survivors in Mulago Hospital, Kampala, Uganda. <i>Scandinavian Journal of Public Health</i>, 2007;35(2):180-186. 7. Kaye DK, Mirembe FM, Bantebya G, Johansson A, Ekstrom AM. Domestic violence as a risk factor for unwanted pregnancy and induced abortion in Mulago hospital, Kampala, Uganda <i>Trop Med Int Health</i> 2006; 11: 90-101 8. Kaye DK, Mirembe FM, Bantebya G, Johansson A, Ekstrom AM. Reasons, methods used and decision-making for pregnancy termination among adolescents and older women in Mulago hospital, Uganda. <i>East Afr Med J</i> 2005; 82: 579-585 9. Kaye DK. Community perception and experience of domestic violence and induced abortion in Wakiso district, Uganda. <i>Qualitative Health Research</i> 2006, 7: 507-512 10. Kaye DK, Mirembe FM, Bantebya G, Johansson A, Ekstrom AM. Domestic violence during pregnancy and risk of low birth weight and maternal complications: a prospective cohort study at Mulago Hospital, Uganda. <i>Trop Med Int Health</i>. 2006 Oct;11(10):1576-1584	

	<i>Conferences/workshops:</i> 1. SAMOUSA WORKSHOP on "<i>Bridging the gap in Reproductive healthcare</i>" with participants from South Africa, Mozambique, Sweden and Uganda, September 18-29, 2000, Stockholm, Sweden. Presented a paper on "<i>Domestic violence in pregnancy in Uganda</i>" 2. The 8th International Congress on Women: <i>Gendered Worlds, Gains and Challenges</i>; Makerere University, Kampala; July 22-26, 2002; Presented a paper: <i>Domestic violence among women attending antenatal clinic in Mulago hospital, Kampala.</i> 3. Attended the FRANCON Conference (marking 100 years of Nsambya hospital) January 10-15, 2003. Presented a paper: <i>Gendered Constraints to provision of quality care: patients' and midwives' perspectives.</i> 4. Attended the 7th SAMOUSA WORKSHOP on "<i>Bridging the gap in Reproductive healthcare</i>" with participants from South Africa, Zambia Mozambique, Sweden and Uganda, March 10-22, Kampala, Uganda. Presented a paper on '<i>Domestic violence in pregnancy and obstetric outcomes</i>' 5. Attended the 3rd Near East and Africa Regional Congress of the Medical Women International Association, Kampala, Uganda; March 24-28 2003; Presented a paper on "<i>Perception of gender issues and sexuality among Ugandan adolescents</i>" 6. Attended the International Conference on Bride Price, Kampala, Uganda; presented a paper: <i>Commoditization of Sexuality: Domestic violence in the context of bride price payment</i>; Feb 16-18, 2004 7. The 6th East Central and Southern Africa Obstetrics and Gynaecology Societies (ECSAOGS) Conference; August 15-18, 2004; Kampala, Uganda. Presented a paper on "<i>Association between domestic violence and induced abortion in Uganda.</i> 8. Quantitative and qualitative methods in Sexual and Reproductive Health and rights, Course organized by University of Oslo and Karolinska Institutet, Gotland Sweden, August 19-29, 2004. Presented a paper: <i>Use of Quantitative and qualitative methods in research on Domestic violence during pregnancy in Uganda.</i> 9. The 3rd Interdisciplinary research conference on <i>Structures of Vulnerability, Mobilization and resistance</i>, Stockholm University, Jan, 12-14, 2005. Presented a paper: <i>Reasons, Methods and Decision-making for pregnancy termination among adolescents and older women in Uganda.</i> 10. Makerere Faculty of Medicine 1st Annual Research Conference; Imperial Resort Beach Hotel; November 24-26, 2005. Presented a paper: <i>Domestic violence during pregnancy and risk of low birth Weight and maternal complications in Mulago hospital, Uganda.</i> 11. The Uganda Women Health Initiative (Makerere University of London Collaboration) conference; Hotel Africana. Presented a paper: <i>Maternal complications of domestic violence during pregnancy in Mulago hospital</i> 12. The XVIIIth FIGO Congress in Kuala Lumpur, Malaysia. Presented a paper: <i>The role of midwives in current Obstetric paper in Africa</i>, November 5-10, 2006 13. The 9th International Conference of Behavioral Medicine in Bangkok, Thailand; presented a paper: <i>Domestic violence during pregnancy and Reproductive Health implications in Uganda</i>; Nov. 29-Dec 03, 2006	
Research-related	-Since 2006, the National Health Survey includes questions on	2006

<i>impact</i>	domestic violence -Studies also changed research approach at Makerere University to include social issues (now also part of medical curriculum for undergraduates and graduate students).	
<i>Policy Impacts</i>	-WHO and Ministry of Health changed policies on management and prevention of sexual and gender based violence; researcher wrote guidelines for Ministry of Health that are now distributed. -Ministry of Health developing guidelines to improve package of care for women and messages to communities about domestic violence and its effects, and how communities can help reduce domestic violence. (Changes promoted by advocacy from NGOs, women's groups, some who collaborated with researchers here.) -Developing information for communities and policy makers on factors related to gender violence causing HIV acquisition	
<i>Service Impacts</i>	-Sensitized staff now look for domestic violence in hospital patients, and are improving prevention of HIV and treatment for patients suffering from gender-based violence. -Anticipated service—outreach to S and SW of Kampala to prevent HIV acquisition based on better understanding of social context of domestic violence. -NGO's changing to focus more on prevention of violence and HIV transmission by setting up women's shelters—and involving communities to support survivors so they can return to their villages.	
<i>Societal Impacts</i>	<i>Anticipated:</i> reduce gender-based violence; improve pregnancy outcomes, reduce HIV transmission.	
<i>Gains in research capacity</i>	<i>Teaching staff</i> (Department of Obstetrics and Gynecology): 2000 Prof. Florence Mirembe was only woman. Recruitment opened last 3-4 years; added 11 staff, 5 are women. <i>Promotions:</i> Drs. Dan Kaye and Josaphat Byamigisha ⁴¹ promoted to Senior Lecturers; and the latter to Head of Department <i>Development of Research Team:</i> - From no team to substantial team, researchers able to concentrate in their areas of interest as sub-specialists, to bring along younger colleagues (in oncology, fetal medicine, general gynecology, reproductive health and infertility). Sub specialties became official in 2008. -In 2000 no one saw need for PhD to teach obstetrics; now, although clinicians are exempt from PhD requirement, they want research opportunities, even if paid by Ministry of Health, not by Makerere University. This boosts the full department as researchers and supervisors. <i>Supervisory capacity:</i> Prof Mirembe only PhD in 2000 and had never supervised; Swedish collaborators helped; now 6 PhDs in reproductive health; 2-3 others to complete soon. Result is critical mass, solid group for supervision at different levels. -Eight more want to pursue PhD.	

⁴¹ Sida-supported PhD student: Josaphat Byamigisha (completed Ph.D), now Department Head.

	<i>Collaboration:</i> Improved research links since 2000 with public health, clinical epidemiology, social sciences/gender, clinical pharmacology. Also supervising students in other units. - Stimulating sister departments obs gyn to do research: Mbabarara University, Gulu; help them to start research at Masters' level; <i>Research seminars:</i> These were formed but are not very active-meet monthly <i>Publication:</i> This increased from about 2 per year to about 12 per year for the whole subprogram. <i>Funding:</i> Emergency contraception study in communities; funds from Population Council (Dr. Josaphat Byamugisha); -Proposal in to US NIH -Some funds from London School of Hygiene and Tropical Medicine (European and Developing Countries Clinical Trial Program, EDCTP) -Big research grant from Millennium Science Initiative: HPV cancer survival among vaccinated girls—2 PhD students and 4 MA—starting March 2009 --Dan Kaye is (part time) research training coordinator on a project funded by Joint Clinical Research Centre to stimulate research environment for JCRC supported students <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> ICT, Library	

5. Center for Research on Infectious Diseases: Molecular Biology Related to Infections

	Biochemistry: Faculty of Medicine	
	Key Informant: Fred Kironde	
Analysis Areas	Key Topics	Key Dates
Research Project Focus and Funding	<i>Topics/Research Area:</i> Center for Research on Infectious Diseases: molecular biology related to infections. Scope of work includes malaria, schistosomiasis and toxoplasmosis, mosquitoes as vectors for malaria and on substance- blocking transmission; interactions between malaria and other infectious diseases such as HIV and the Epstein Barr virus (EBV) , a cause of Burkitt's lymphoma. <i>Geopolitical context:</i> Tropical Africa <i>Funders and Funding Process:</i> Sida/SAREC, EU, WHO, AMANET, EDCTP, NIH/MR4. <i>Budget:</i> Numbers given are for the research group Sida/SAREC, 70 000 dollar/year WHO (re-entry grant), 25 000 dollar/2 years + 50 000 dollars/2 years EU (schistosomiasis, large part for equipment), 100 000 euros/4 years AMANET (capacity building), 250 000 euros/2 years EDCTP, 730 000 Euros/5 years NIH/MR4, 100 000 USD/3 years EU (BIOMALPAR), 70 000 Euros/year for 4 years EU FP7 (mosquitoes), 65 000 Euros/year for 4 years	1999 2000-2008 1999-2001 2000-2004 2007-2009 2009-2014 2002-2005 2004-2008 2009-2013

	The research started when Fred Kironde returned from Delhi, India where he worked at International Centre for Genetic Engineering and Biotechnology (ICGEB) , for nine years.	
<i>Research Project Evolution</i>	<i>How it started:</i> Fred Kironde finished his PhD at State University of New York (SUNY), post-doc at, University of Rochester, New York; moved to India to build a malaria program at International Centre for Genetic Engineering and Biotechnology (ICGEB) in New Delhi in 1988, supported by UNIDO (United Nations Industrial Development Organization) headquartered in Vienna. After 10 years in Delhi, he returned to Uganda in 1999 to start a research group at Makerere. <i>Research methods used:</i> Biochemistry and molecular biology, using samples of parasites in blood from human and small animals (mice). Host blood used in clinical trials; field studies for baseline information, how often malaria occurs. Evaluation of transmission blocking agents. malaria parasite biology, cloning of genes and investigation of antigens. Also microscopy, immunology, blood and serum analyses, serology, and DNA approaches including PCR. Community mobilization for improved control and treatment. <i>Key project events/concerns:</i> - PF70, cloning of a gene present in parasites for a variety of hosts (done in India) - Pregnancy malaria and prophylactic treatment - Interactions between malaria and EBU - Most important has been the start of the Biomedical Crosscutting Laboratory <i>Main findings/recommendations:</i> Malaria: Discovery of drug resistance to Fansidar and Chloroquine propelled change to Coartem (artemether plus lumefantrine) as first therapy for uncomplicated malaria. PF70 gene present in parasites affecting humans, mice and monkeys. Thus it is an ortholog and importance of ortholog approach understood after the PF70 found. Malaria and EBV interaction revealed link between malaria (P. falciparum infection) and Burkitt's lymphoma Schistosomiasis: work showed how soon people are re-infected after treatment.	
<i>Networks Involved</i>	<i>Research collaborators:</i> For AMANET and EDCTP the same countries are involved in the collaboration and include Uganda, Bukina Faso, Ghana, Tanzania, Gabon, Gambia, Germany and Denmark. The EU BIOMALPAR project includes 4 African countries and 20 European countries. Transmablock is coordinated by Imperial College and includes Uganda, Bukina Faso, France, UK, Greece, Italy, the Netherlands. In the Sida program collaboration takes place with KI and Uppsala University.	
<i>Main Research product/outputs</i>	<i>Journal Articles:</i> 1) Wilen M, Buwembo W, Sendagire H, Kironde F, Swedberg G. 2009. Cotrimoxazole resistance of Streptococcus pneumoniae and commensal streptococci from Kampala, Uganda. Scand J Infect Dis. 41:113-21. 2) Mphande FA, Ribacke U, Kaneko O, Kironde F, Winter G, Wahlgren M. 2008. SURFIN4.1, a schizont-merozoite associated protein in the SURFIN family of Plasmodium falciparum. Malar J.	

	1;7:116. 3) Boraschi D, Abebe Alemayehu M, Aseffa A, Chiodi F, Chisi J, Del Prete G, Doherty TM, Elhassan I, Engers H, Gyan B, Harandi AM, Kariuki T, Kironde F, et al 2008. Immunity against HIV/AIDS, Malaria, and Tuberculosis during Co-Infections with Neglected Infectious Diseases: Recommendations for the European Union Research Priorities. <i>PLoS Negl Trop Dis.</i> 2 e255. 4) Mok BW, Ribacke U, Rasti N, Kironde F, Chen Q, Nilsson P, Wahlgren M. 2008. Default Pathway of var2csa switching and translational repression in <i>Plasmodium falciparum</i>. <i>PLoS ONE.</i> 3:e1982. 5) Normark J, Nilsson D, Ribacke U, Winter G, Moll K, Wheelock CE, Bayarugaba J, Kironde F, Egwang TG, Chen Q, Andersson B, Wahlgren M. 2007. PfEMP1-DBL1alpha amino acid motifs in severe disease states of <i>Plasmodium falciparum</i> malaria. <i>Proc Natl Acad Sci U S A.</i> 104:15835-40. 6) Lindström I, Sundar N, Lindh J, Kironde F, Kabasa JD, Kwok OC, Dubey JP, Smith JE. 2008. Isolation and genotyping of <i>Toxoplasma gondii</i> from Ugandan chickens reveals frequent multiple infections. <i>Parasitology.</i> 135:39-45. 7) Ribacke U, Mok BW, Wirta V, Normark J, Lundberg J, Kironde F, Egwang TG, Nilsson P, Wahlgren M. 2007. Genome wide gene amplifications and deletions in <i>Plasmodium falciparum</i>. <i>Mol Biochem Parasitol.</i> 155:33-44. 8) Chêne A, Donati D, Guerreiro-Cacais AO, Levitsky V, Chen Q, Falk KI, Orem J, Kironde F, Wahlgren M, Bejarano MT. A molecular link between malaria and Epstein-Barr virus reactivation. 2007. <i>PLoS Pathog.</i> 3:e80. 9) Maïga O, Djimdé AA, Hubert V, Renard E, Aubouy A, Kironde F, Nsimba B, Koram K, Doumbo OK, Le Bras J, Clain J. 2007. A shared Asian origin of the triple-mutant dhfr allele in <i>Plasmodium falciparum</i> from sites across Africa <i>J Infect Dis.</i> 196 :165-72. 10) Haeggström M, VON Euler A, Kironde F, Fernandez V, Wahlgren M. Characterization of Maurer's clefts in <i>Plasmodium falciparum</i>-infected erythrocytes. <i>Am J Trop Med Hyg.</i> 2007 Jan;76(1):27-32. 11) Lindström I, Kaddu-Mulindwa DH, Kironde F, Lindh J. 2006. Prevalence of latent and reactivated <i>Toxoplasma gondii</i> parasites in HIV-patients from Uganda. <i>Acta Trop.</i> 100:218-22. 12) Rasti N, Namusoke F, Chêne A, Chen Q, Staalsoe T, Klinkert MQ, Mirembe F, Kironde F, Wahlgren M. 2006. Nonimmune immunoglobulin binding and multiple adhesion characterize <i>Plasmodium falciparum</i>-infected erythrocytes of placental origin. <i>Proc Natl Acad Sci U S A.</i> 103:13795-800. 13) Donati D, Espmark E, Kironde F, Mbidde EK, Kanya M, Lundkvist A, Wahlgren M, Bejarano MT, Falk KI. 2006. Clearance of circulating Epstein-Barr virus DNA in children with acute malaria after antimalaria treatment. <i>J Infect Dis.</i> 193:971-7. 14) Yeka A, Banek K, Bakyaïta N, Staedke SG, Kanya MR, Talisuna A, Kironde F, Nsobia SL, Kilian A, Slater M, Reingold A, Rosenthal PJ, Wabwire-Mangen F, Dorsey G. 2005. Artemisinin versus nonartemisinin combination therapy for uncomplicated malaria: randomized clinical trials from four sites in Uganda. <i>PLoS Med.</i> 2:e190. 15) Sendagire H, Kaddumukasa M, Ndagire D, Aguttu C, Nassejje M, Pettersson M, Swedberg G, Kironde F. 2005. Rapid increase in resistance of <i>Plasmodium falciparum</i> to chloroquine-Fansidar in	

	Uganda and the potential of amodiaquine-Fansidar as a better alternative. <i>Acta Trop.</i> 95:172-82. 16) Sendagire H, Kyabayinze D, Swedberg G, Kironde F. 2005. <i>Plasmodium falciparum</i>: higher incidence of molecular resistance markers for sulphadoxine than for pyrimethamine in Kasangati, Uganda. <i>Trop Med Int Health.</i> 10:537-43. 17) Bakyaite N, Dorsey G, Yeka A, Banek K, Staedke SG, Kamya MR, Talisuna A, Kironde F, Nsobya S, Kilian A, Reingold A, Rosenthal PJ, Wabwire-Mangen F. 2005. Sulfadoxine-pyrimethamine plus chloroquine or amodiaquine for uncomplicated falciparum malaria: a randomized, multisite trial to guide national policy in Uganda. <i>Am J Trop Med Hyg.</i> 72:573-80. 18) Barman D, Mirdha BR, Samantray JC, Kironde F, Kabra SK, Guleria R. 2003. Evaluation of quantitative buffy coat (QBC) assay and polymerase chain reaction (PCR) for diagnosis of malaria. <i>J Commun Dis.</i> 35:170-81. 19) Nsobya SL, Parikh S, Kironde F, Lubega G, Kamya MR, Rosenthal PJ, Dorsey G. 2004. Molecular evaluation of the natural history of asymptomatic parasitemia in Ugandan children. <i>J Infect Dis.</i> 189: 2220-6. 20) Haeggström M, Kironde F, Berzins K, Chen Q, Wahlgren M, Fernandez V. 2004. Common trafficking pathway for variant antigens destined for the surface of the <i>Plasmodium falciparum</i>-infected erythrocyte. <i>Mol Biochem Parasitol.</i> 133(1):1-14. 21) Vogt AM, Barragan A, Chen Q, Kironde F, Spillmann D, Wahlgren M. 2003. Heparan sulfate on endothelial cells mediates the binding of <i>Plasmodium falciparum</i>-infected erythrocytes via the DBL1alpha domain of PfEMP1. <i>Blood.</i> 101:2405-11. Epub 2002 Nov 14. Erratum in: <i>Blood.</i> 2004 Dec 15;104(13):3910. <i>Conferences/workshops:</i>	
<i>Research-related impact</i>	Impact on how researchers look at drug resistance to common malaria treatment and candidate vaccines, vaccine design.	
<i>Policy Impacts</i>	Informed national policy change in Uganda to Coartem for treating uncomplicated malaria.	2004
<i>Service Impacts</i>	Malaria treatment and care in study sites has improved.	
<i>Societal Impacts</i>	Community awareness of research. The College staff are more informed and interested in malaria research.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Grown from 2 (both male) in 2000 to 8 (6 male, 2 female) in 2008. <i>Supervisory capacity:</i> Grown from 1 man in 2000 to 2 men with PhD supervisory capacity and 8 with master 2008. <i>Research seminars:</i> from 0/year 2000 to 1/month 2008 in department, weekly seminars in the group. <i>Publication:</i> from 1/year 2000 to 4 per year 2008 (only peer-reviewed international full-paper publications are counted). <i>Promotions:</i> 1 person has been promoted since 2000. Fred has been promoted both as head of the department and as associate professor.	2000-2008

	<i>Infrastructure:</i> The whole biotechnology lab has been set up since 2000; resources are still scattered and working towards a more consolidated lab. <i>Development of Team:</i> Development of a team, still small (goal 10-15). Still only one senior researcher, three desirable. PhD- completers gone elsewhere in Uganda postdoctoral fellowships. <i>Funding:</i> Has increased, see above. <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> ICT and Library needed. However, also have other infrastructure today that is needed such as own disc, malaria clinic and lab in Iganga, own generator at Mulago as well as electric back-up in Iganga, 2 vehicles in the group and 1 joint at the Faculty.	

6. Emerging Disease and Social Impact: HIV

	Faculty of Social Sciences: Emerging Disease and Social Impact	
	Key Informant: Prof Charles Rawbukwali	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> 1. Social impact of HIV—HIV as a cause of conflict and conflict as a cause of HIV transmission 2. Implications of emergent disease, especially HIV, for sustainable development. <i>Geopolitical context:</i> Uganda, Lake Victoria region <i>Funders and Funding Process:</i> Sida <i>Budget:</i> Phase I about 10,434,842 SEK Phase II 15,960,000.	2000-2004 2005-2008/9 2000-2004 2005-2008/9
<i>Research Project Evolution</i>	<i>How it started:</i> 1. Early inquiries about social impact led to recognition that HIV/AIDS was leaving many families without adult male members. 2. Findings in a study of impact of microbicide use on transmission rates of HIV found higher rate with use! Multi-site study ended and focus turned to increasing availability of ARV use as price dropped from 3,000,000UGS/month with initiatives of WHO, PEPFAR, Gates Foundation, Clinton Foundation. <i>Research methods used:</i> Literature reviews; field studies using qualitative and quantitative methods. <i>Key project events/concerns:</i> 1. Who was heading families as members died of HIV/AIDS; how were they coping? 2. Turned from study of microbicides to roll out of ARVs as drugs became more available. Concerned with exclusive focus on ARV/drug use, without simultaneous attention to prevention—as over-reliance on drugs, without behavior change to protect against transmission, could amplify the epidemic.	2000 2000 2005

	<i>Main findings/recommendations:</i> 1. Studies in two districts revealed growing numbers of households headed by widows, or children; widows being evicted from land (when clansmen claimed it for the deceased man's clan). 2. Testing and provision of ARVs needs accompanying focus on counseling and behavior change: staying with one partner, use of condoms even while on ARVs. <i>Result:</i> Indicated need for social support for widows and their children. Confirmed need for need for continued behavioural interventions: testing and counselling; ARVs alone insufficient to reduce rate of transmission.	2004 2005-08
<i>Networks Involved</i>	<i>Research collaborators:</i> Department of Sociology, Lund University, Sweden; Department of Anthropology, Case Western Reserve University, Cleveland Ohio, USA	
<i>Main Research product/outputs</i>	<i>Publications:</i> 1. Rwabukwali, C.B. (2008) Gender, Poverty and AIDS Risk: Case Studies from Rural Uganda. In Feldman, Douglas A. (ed.), AIDS, Culture and Africa. Gainesville, Florida: University Press of Florida pp.239-254. 2. Akello, G., Reiss, R., Ovuga, E., Rwabukwali, C., Kabonesa, C., Richters, A. 2007 Primary School Children's Perspective on Common Diseases and Medicines used. Implications for School Healthcare Programmes and Priority Setting in Uganda. African Health Sciences Vol.7.No.2 pp. 74 – 80. 3. Rwabukwali, C.B. 2007 Ethics in Social Research: The Uganda Context. MAWAZO – The Journal of the Faculties of Arts and Social Sciences, Makerere University. Vol.8. No. 2. Pp.111-119. 4. McGrath, J.W., C.B. Rwabukwali, S. Rundall and D. Akurut 2006 Anticipated acceptability of a vaginal microbicide among women in urban Uganda. Makerere University Research Journal (MURJ) Vol.001: pp.93 – 107. 5. Rwabukwali, Charles and Swizen Kyomuhendo⁴² 2004 Migrant Populations and the Spread of HIV/AIDS: The Case of Persons Displaced due to Armed Conflict in Uganda. In Confronting Twenty-First Century Challenges – Analysis and Re-dedications by National and International Scholars. Volume One. Edited by Ruth Mukama and Murindwa-Rutanga. Makerere University Printery pp.281 – 290. 6. Rwabukwali, C.B 2004 Female Circumcision in Africa: A Dilemma for Anthropology. Abuja Journal of Sociological Studies, Nigeria. Vol.2, No.1. pp 1 - 7 7. Rwabukwali, C.B 2001 Gender, Poverty and AIDS Risks: A View from Rural Uganda. Journal of Development and Society, Vol. 1 No.2 pp.68 - 77 <i>Conferences/workshops:</i> Resource persons (to various conferences on HIV AIDS prevention in Uganda	
<i>Research-related impact</i>	Change of focus for research: universal access to ARVs for HIV/AIDS, unlike other viral diseases, still means no cure by drugs, only management; hence the need for continued behavioural interventions in terms of HIV testing and counselling.	
<i>Policy Impacts</i>	-Ugandan Ministry of Health changed focus from testing and ARVs only to add prevention activities, through National AIDS Commission where Profs Kirumira & Rawbukwali co-chaired;	2006

⁴² Sida Supported PhD student: Swizen Kyomuhendo (second PhD student in this group, Jagwe, died)

	They part of group to develop the strategic plan 2008/2013 of the AIDS Information Centre. -Swedish and the Ugandan researchers were instrumental in encouraging Makerere University to enact an AIDS prevention policy. -Senior health policy makers, especially in the AIDS control programme in the Ministry of Health often cite the work of this group in informing policy aimed at HIV prevention.	
<i>Service Impacts</i>	Change in model of service delivery from testing and ARVs to service packages include counseling/advice on transmission risks, behavior change, including staying with single partner and use of condoms, even while using ARVs.	
<i>Societal Impacts</i>	Anticipated: Reduce rather than increase transmission while extending lifespan of those infected.	
<i>Gains in research capacity</i>	<i>Additional research and funding:</i> -US National Institute of Health's training grant with Case Western Reserve University colleagues enabled inauguration of the Centre for Social Science Research on AIDS (CeSSRA), housed in the Faculty of Social Sciences.	2000-2008

7. Urban Market Crop Waste

	Faculty of Agriculture	
	Key Informant: Prof E Sabiti	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> Utilization of Urban Market crop waste. Initiated the research of urban waste utilization, starting with animals, to: - Improve animal feeding technology - Degrade waste quickly - Avoid multiplication of insects around waste <i>Geopolitical context:</i> Uganda <i>Funders and Funding Process:</i> Sida/SAREC, Norad. <i>Budget:</i> Numbers given are for the research group Sida/SAREC, 7.54 SEK/year Sida/SAREC, 1 million dollars/year Norad, 20 000 dollar/4 years Several of the researchers in the research group have also some other grants although for other topics than this one. E.g. Elly Sabiti; Rockefeller 30 000 dollars/4 years	2000 2000-2004 2005-2009 2005-2008 2004-2007
<i>Research Project Evolution</i>	<i>How it started:</i> Elly Sabiti PhD at University of New Brunswick, Canada 1983-1985. Returned to Ugandan Institute of Ecology, Queens Elisabeth National Park. Worked at Queen Elisabeth National Park 1979-1985, until 1985 joined Makerere, as Lecturer to teach pasture agronomy. Taught 100% until 1987, started research 1987; USAID brought funds to re-build department since collapse during Amin regime. Sabiti studied and restored pasture germ plasm at MURIK research Institute; also in absence of fertilizers, evaluated integration of legumes with crops. Research continuous since, one PhD-student finishing now, two master students. Waste research was a response to	

	challenge: Land-fill by residences, foul odor, constant traffic of big garbage trucks; became opportunity to collaborate with Sweden with a cross-cutting team on waste. Dumping causes sickness, social problems and need for recirculation of nutrients. Team at Agriculture collaborates with Sweden, with Faculty of Technology and School of Public Health. <i>Research methods used:</i> Surveys, interviews, experimental work: latin square design for animal feeding, random plot design for soil science. <i>Key project events/concerns:</i> • Need for sustainable source of inexpensive animal food. • Need to degrade market waste near homes quickly, and to • Avoid multiplication of insects around waste <i>Main findings/recommendations:</i> -How to produce feed for dairy cows from waste, increasing milk supply and goat meat. (Will apply for a patent). -Developed a bio-fertilizer from waste to replace conventional fertilizer. Developing large quantities of microbes as method for speeding degradation of waste. -Developed IPM-technology, incorporate waste in the soil to limit increase in insects.	
<i>Collaboraros and Networks Involved</i>	<i>Research collaborators:</i> Mainly Sweden/ SLU. Also Edmonton Waste management centre of excellence in Canada (creation of center of excellence in waste management). Kampala City Council and with Talent Calls, a private supplier of compost and partner for producing more efficient composting. Nabugabo, garbage removal to Kitezi landfill. Faculty of technology.	
<i>Main Research product/outputs</i>	Katongole, C.B., Sabiiti, E.N., Bareeba, F.B. and Ledin, I., 2009. Performance of growing indigenous goats fed diets based on urban market crop wastes. Tropical Animal Health and Production. Online (DOI 10.1007/s11250-008-9193-7). Katongole, CB and E.N. Sabiiti., 2008. Alternative feed base with stallfeeding : the key to reducing grazing /browsing presuure from natural grasslands in Uganda. Grassroots. Newsletter of the Grassland Society of Southern Africa.Vol 8(1), ISSN 101166122 Katongole, C, B., Bareeba, F.B, Sabiiti,E. N and I. Ledin., 2008. Nutritional Characterization of some Tropical Urban Market Crop Wastes. Animal Feed Science and Technology. 142(3):275-291. Sabiiti ,E .N., F. Bareeba, E. Sporndly, J.S. Tenywa , S. Ledin, E. Ottabong, S. Kyamanywa, B. Ekbom, J. Mugisha and L. Drake., 2005. Urban market garbage: a Hidden Resource for sustainable Urban/Peri Urban Agriculture and the Environment. The Uganda Journal. 50:102-109 <i>Conferences/workshops:</i> Katongole, C.B. E.N. Sabiiti, F.B. Bareeba and I. Ledin., 2006. Developing feeds for Meat Goats in Crop/Livestock Grassland Production Systems in Uganda. Paper presented in the. 41st Annual Congress of the Grassland Society of Southern Africa Congress, Kariba, and Limpopo, South Africa. 17-21July 2006, ATKV Klein. Nambi-Kasozi, J., Sabiiti, E. N., Bareeba, F. B. and Sporndly,E., 2005. Nutritional evaluation of banana peelings from the various banana	

	varieties in different regions of Uganda. XX International Grassland Congress, held at the University College Dublin in Dublin, Ireland from Eds: O'Mara, F. P <i>et al.</i>, 26th June to 1st July 2005. Nambi-Kasozi, J., Sabiti, E.N. and Bareeba, F. B., 2004. Effect of feeding varying levels of banana peelings supplemented with maize bran, cotton seed cake and <i>Gliricidia sepium</i> on the performance of lactating dairy cows. . Paper presented at the Regional Symposium on Livestock Revolution Challenges and Opportunities Kenya. 15th-18th March 2004, Nairobi Nambi-Kasozi, J., Sabiti, E. N. Bareeba, F. B. and Sporndly, E., 2004. Urban market crop wastes: Valuable animal feed resources in the crop/livestock production systems in Uganda. Paper presented at the: The paradigm of efficiency and sustainability. 2nd Joint Congress of the Grassland Society of Southern Africa and the South African Society of Animal Science. 28th June-1st July 2004, Goudin Spa, South Africa	
<i>Research-related impact</i>	Findings (see above) inform other researchers for investigation relevant worldwide.	
<i>Policy Impacts</i>	Influenced policy in the parliament to ban a certain type of plastic bags. Urban farming has been legalized by KCC, a collaboration with Kampala City Council has partly led to this.	
<i>Service Impacts</i>	Change in garbage disposal relieves burden on residential communities.	
<i>Societal Impacts</i>	Created awareness through media to public and policy makers through articles, community workshops, and a TV documentary. Many peri-urban farmers now use waste for feeding livestock. Women engaged in sorting and selling garbage not sold previously, creating informal trade for bio-garbage.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Grown from 4 (all men) in 2000 to 9 (6 men and 3 women) in 2008. <i>Supervisory capacity:</i> Grown from 2 men 2000 to 3 with master supervisory capacity 2008, and additionally 5 (3 women) with PhD supervisory capacity. <i>Research seminars:</i> from 0/year 2000 to 5/semester 2008 (irregular schedule). Dean recently appointed a seminar coordinator. <i>Publication:</i> from 1-2/year 2000 to 10 per year 2008. <i>Promotions:</i> One to full professor; one to lecturer since 2000. One appointed TWAS (Third World Academy of Sciences) research professor; one appointed Lecturer; one employed on permanent terms. <i>Infrastructure:</i> The lab facilities developed, including machine for rapid analysis of feed. Lap-tops, desk-top, furniture, filing cabinets and printers purchased. Students now have lap-tops. Old vehicle purchased, still moving. <i>Development of Team:</i> Group has become a cohesive team and functions as a center of excellence in garbage research and utilization. <i>Funding:</i> See above.	2000-2008

	<i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> Library has developed, you can access all books you need by internet. <i>Other:</i> More good young scientists available in this research group than in the rest of the faculty.	

	areas. -Found net nutrient export from field in dairy farms, indicating that these farms were not sustainable systems. -Urban crop waste compost can effectively increase maize yields to levels that can offset the need for expensive mineral fertilizers. -Composting period can be reduced from 3 conventional months to approximately 4 weeks without affecting the nutritional value. -Farmers eager to use the compost material to boost farm production; growing commercial use especially in the horticulture industry, but supply lags behind demand. -Main conclusion is that there should be greater investment in research and development efforts targeting beneficial conversion of urban crop waste into useful resources.	
<i>Networks Involved</i>	<i>Research collaborators:</i> Dept of Soil Science, SLU, Molecular analytical labs at SLU, Edmonton Waste Management Centre at Edmonton, Canada, and Talen Calls, a local NGO dealing with urban waste composting for supply to small-scale farmers and to commercial farmers. NARO-Uganda, ILRI-Nairobi, the Ministry of Agriculture in Tanzania, NRI (the National Resource Institute, UK), CIP, CIAT and ICRAF (the three later once all being CGIAR organizations).	
<i>Main Research product/outputs</i>	<i>Journal Articles:</i> Tenywa, J.S. and D.J. Eckert. 2002 Wheat (<i>Triticum aestivum</i> L.) response to manganese in a sand culture. <i>East African Agriculture and Forestry Journal</i> 68 (2):51-57. E.N. Sabiiti, F. Bareeba, E. Spornody, J.S. Tenywa, S. Ledin, E. Ottabong, S. Kyamanywa, B. Ekbom, J. Mugisha and L. Drake. 2004. Urban market garbage: A hidden resource for sustainable urban/peri-urban agriculture and environment in Uganda. <i>The Uganda Journal</i> 50:102-109. http://hdl.handle.net/123456789/43 Idenfors, E. Ottabong, J.S. Tenywa and A. Amoding. 2004. A greenhouse experiment to evaluate compost derived from household and market crop wastes. <i>Uganda Journal of Agricultural Sciences</i> 9(1): 501-505. Mubiru S L, Tenywa J S, Halberg N, Romney D, Nanyeenya W, Baltenweck I and Staal S 2007: Categorisation of dairy production systems: A strategy for targeting meaningful development of the systems in Uganda. <i>Livestock Research for Rural Development</i>. Volume 19, Article #100. Retrieved July 10, 2007, from http://www.cipav.org.co/lrrd/lrrd19/7/mubi19100.htm Mukuralinda, A. J.S.Tenywa2, L. Verchot, J. Obua and S. Namirembe. 2008. Decomposition and P release of agroforestry shrub residues and the effect on maize yield in acidic soils of Rubona, Southern Rwanda. <i>Nutrient Cycling and Agroecosystems</i>. http://www.springerlink.com.ezproxy.library.wur.nl/content/u7617n51 Tumuhairwe, J.B., Tenywa, J.S., Ottabong, E., Stig, L. 2009 Comparison of four low-technology composting methods for market crop wastes. Accepted by the <i>Waste Management Journal</i> <i>Conferences/workshops:</i>	
<i>Research-related impact</i>	Findings encourage greater investment in research and development efforts targeting beneficial conversion of urban crop waste into useful resources.	
<i>Policy Impacts</i>	Meetings of stake-holders in disseminations and workshops. In these workshops farmer groups, NGOs, politicians, environmental organizations and urban advisers are participating.	
<i>Service Impacts</i>	Training workshops for extension people. Sensitized public about great value of rhizobia. Worked with NGO, Talent Calls, to improve the composting process of urban waste.	
<i>Societal Impacts</i>	Extend research, policy and service impact through radio broadcasts.	
<i>Gains in research</i>	<i>Research environment constraints</i>	2000-2008

<i>capacity</i>	-Student time schedules tight, they generate lots of data, but do not prepare many publications; -Supervisors overwhelmed by student numbers. -Lack of spirit for seminars; Could make sharing new knowledge an obligation, to help identify collaboration and ensure performance accountability. Lack of visibility of the supervisors, no system to show who is involved as supervisor for PhD-students. - Delays common and much too long for proposal vetting and external examination reports for theses, yet students have to pay tuition fee while they wait, even when they are not responsible for the delay. <i>GAINS:</i> <i>Teaching staff:</i> Grown from 4 in 2000 to 6 in 2008. <i>Supervisory capacity:</i> Changed from 3 in 2000 to 2 with PhD supervisory capacity and 1 with master supervisory capacity 2008. <i>Research seminars:</i> student seminars were given 2000 and is still given 2008. <i>Publication:</i> from 6/year 2000 to 15 per year 2008. <i>Promotions:</i> Two promotions have taken place since 2000, one from senior lecturer to associate professor, and one from associate professor to professor. Also one appointment to permanent position. <i>Infrastructure:</i> Have got some equipment, however, they normally die out quickly. This is due to technicians that do not have hands-on practices. However, smaller changes has taken place. <i>Development of Team:</i> No team-work is present, however, people at the faculty support each other. <i>Funding:</i> No change has taken place between 2000 and 2008. <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> Ict has improved and also the internet availability. The Library has improved. The working environment is much better. Capacity of people is the limit of the production and outcome.	

9. Housing and Community Development: Vernacular Architecture and Combating Urban Sprawl

	Department of Architecture: Faculty of Technology	
	Key Informants: Dr Barnabas Nawangwe	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> -Improve living conditions in informal settlements using vernacular architecture (modern architecture built on traditions and using resources available locally): planning, architecture, housing, infrastructure. -Address negative economic effects of urban sprawl on low income families. <i>Geopolitical context:</i> Primarily Uganda, other countries in the region. <i>Funders and Funding Process:</i> Sida/SAREC, NUFU, NOMA, Italian cooperation for research, EU, AICAD, USAID. <i>Budget:</i> Numbers given are for this research group (Department of Architecture) Sida/SAREC, \$250 000 USDollars/year NUFU Phase I, \$500 000 USDollars/4 years NUFU Phase II (regional collaboration), 50 000 dollar/year NOMA (regional collaboration for joint masters program), 50 000 dollar/year Italian cooperation for research (rural infrastructure, local materials), 200 000 dollar/4 years EU (Earth architecture, organized by CraTERRE in France), 500 000 Euros/4 years AICAD – African Institute for Capacity Development (low cost housing), 50 000 dollar/2 years USAID (conservation of Ugandan architectural heritage, 150 000 dollars/2 years	1989 - 2008 2000-2008 1998-2002 2002-2005 2008-2012 1992-2010 2002-2006 2005-2008 2007-2009
	<i>How it started:</i> Research in new Department of Architecture created (1989) when Nawangwe returned from Kiev, former Soviet Union (now Ukraine) with PhD. Main interest: to build understanding about positive aspects of indigenous architecture to carry into modern architecture; to reverse loss of cultural, climatic, socioeconomic inputs to architecture in the region, and from architecture curricula. Started training students in sustainable and affordable architecture and began to interest international organizations such as NUFU. <i>Research methods used:</i> Case study methodology in which the examples can be replicated. In-depth study of those cases. Qualitative and quantitative methods, including questionnaires, interviews, descriptive methods such as participant observations, archives, photos. <i>Key project events/concerns:</i> Vernacular architecture (i.e. modern architecture built on traditions and using available resources); Informal settlements and poverty alleviation—urban sprawl: -How are poor people coping? -Lack of planning affects people, their health; lack of income creates poor housing. <i>Main findings/recommendations:</i> -Urban sprawl has very serious impact on low-income people forced to move further and further out from the city centers to suburban areas. They	

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	need public transport to jobs, and have greater distances to travel, meaning larger portion of salary used for transport, increasing the costs to the local population. Solution: intensify density of settlements, building higher instead of spreading the buildings ever further away from city centers. <i>Result:</i> Findings disseminated in policy briefs and changes of the law underway (see policy impacts).	
<i>Networks Involved</i>	<i>Research collaborators:</i> Most collaboration has been regional or between Eastern and Southern Africa. With Norway and Sweden collaboration features joint supervision of PhD and Master students and student exchanges. Research collaboration includes joint visits to the field, joint applications for funding, sharing questions studied in various environments, and in each environment (as in the regional pozzolana project).	
<i>Main Research product/outputs</i>	<i>Publications:</i> Nwangwe "A Philosophy and Vision of African Architectural Education", a paper presented to the Heads of African Schools of Architecture Conference, Lagos, 7th-8th March 1991. 1. "Urban Design and Housing, a Course Manual for Master of Physical Planning", Kampala, 1993. 2. "The Land Tenure Systems and development Controls in the East African Countries", a paper presented at, and published the proceedings of the 21st International Association of Housing Science, World Housing Congress, Cape Town, 10-14 May, 1993. 3. "Learning From Vernacular Architecture", a paper presented at an international conference: Housing Workshop 93, August 1993, Kampala. 4. "Environmental Response in the Vernacular Architecture of Uganda", a paper presented at, and published in the proceedings of, the <i>International Conference on Building Envelope Systems and Technology</i>, Singapore, December 1994. 5. "The Challenges of Modern Housing versus Vernacular Architecture", a paper presented at the All Africa Conference "Africa 2000 – Towards the Millenium", on architectural education, Cape Town, April, 1995. 6. "Vernacular Architecture Series", a publication on research in the Vernacular Architecture of Uganda by the Makerere University Department of Architecture, Makerere 1994- 1999: - Vol. 1 Part 1: "The Ancient Palaces of Buganda" - Vol. 2 No.1: "The Mud Houses of the Gisu of Eastern Uganda" - Vol. 2 No. 2: "The Traditional Ganda Homestead 1" - Vol. 2 No. 3: "The Traditional Ganda Homestead 2" - Vol. 2 No. 4: "The Traditional Rubare Homestead" - Vol. 2 No. 5: "The Traditional Soga Homestead" - Vol. 2 No. 6: "The Traditional Teso homestead" - Vol. 2 No. 7: "The Traditional Hima Homestead" - Vol. 2 No. 8: "The Traditional Ngoni homestead" 7. "Lessons for Environmental Design in African Vernacular Architecture", a paper presented to the Commonwealth Association of Architects Conference, Mauritius, April 1996. 8. "Cultural Heritage in Modern Housing", a paper presented at the International Conference on Housing, Trivendrum, India, October 1996. 9. "Boundary walls as a Reaction to Insecurity", a paper presented at the International Conference on War-torn Cities, Beirut, Lebanon, March	

	1997. 10. "As Green As Vernacular", a paper presented to the International Conference on Green Architecture, Nairobi, September 1997. 11. "Sustainability and Vernacular", a paper presented to the International Conference on Urbanisation, Environment and Sustainable Development, Goa, India, April 1997. 12. "The Role of History of African Architecture", a paper presented at the International Conference on Architectural Education in Africa, Cape Town South Africa, September 1998. 13. Articles on the Vernacular Architecture of the Acoli, Soga, Gisu, Luhia and Banyarwanda, and on culture published in the <i>Encyclopedia of Vernacular Architecture of the World</i>, edited by Paul Oliver, Cambridge University Press, 1997. 14. "A Typology of School Buildings in Uganda and the Rationalisation of Building Materials", a research report published in Kampala, 1999. 15. A study of the land tenure and administrative issues in Kampala District and their effect on urban development; a report of a study; Nawangwe et al, Kampala, August 2002 16. "Environmental Lessons in Vernacular Houses of Uganda", a paper presented to the conference of the Association of Nordic Schools of Architecture in Copenhagen, October 2001. 17. "Housing and the Environment", a paper presented to the conference of the International Association of People-Environment Studies (IAPS) at La Coruna, Spain, July 2002 18. "Practice versus Theory: The Dilemma of Contemporary Housing Research Methodologies in Poor Economies – The Case of Namuwongo Slum Up-grading Project", a paper presented at the International Conference on Housing research Methodologies, Stockholm, September 2003. 19. "Modernism as a tool for development", an article published by Nawangwe Barnabas and Vestbro Dick Urban in the journal Open House International, vol. 28.no. 3, September 2003. 20. "Expressionism Versus Environmental Sustainability in Modern African Architecture", a paper presented at the Conference on Modern Architecture, Kumasi, July 2007. 21. Modernism in African Architecture", chapter in the book <i>On Global grounds</i>, edited by Julia Nevarez, New York, 2008 22. "Lessons From Vernacular architecture For Energy Conservation in Buildings", a paper presented to RERIC, Bangkok, August 2008. 23. <i>Sprawl and the City. House Types in the Informal Settlements of Kampala</i>, by Assumpta Nnaggenda-Musana, Licentiate Thesis, Universitetsservice US AB, Stockholm 2004, ISBN 91-7323-087-1. 24. <i>House Types for Densification within an Upgrading Strategy. The Case for Kampala, Uganda</i>, by Assumpta Nnaggenda-Musana, PhD Thesis Universitetsservice US AB, Stockholm 2008, ISBN 978-91-7415-088-9. <i>Conferences/workshops:</i> The group has participated in international conferences organized by the Faculty and by regional collaborators. Workshops have been organized for members of the Uganda Society of Architects and for local governments. - 1996, April Commonwealth Architects Association Conference, Mauritius - 1996, October International Conference on Housing, Trivendrum, India - 1997, March International Conference on Rehabilitation of War-torn Cities, Beirut, Lebanon - 1997, April International Conference on Urbanisation, Environment and	

	Sustainable Development, Goa, India - 1997, September International Conference on Green Architecture, Nairobi, Kenya - 1997, October Convener, 2nd International Conference on Urbanisation and Sustainable Development, Kampala - 1998, September International Conference on Architectural Education in Africa, Cape Town, South Africa - 1999, June International Union of Architects Conference, Beijing, China - 1999, October International Conference on Urban Infrastructure, Rome, Italy - 2000, January Convener, 1st Regional Conference of Heads of Schools of Architecture, Makerere University - 2000, December Convener, 3rd International Conference on Urbanisation and Sustainable Development, Kampala, Uganda - 2001, February Convener, 2nd Regional Conference of Heads of Schools of Architecture held in Nairobi - 2001, October Conference of the Association of Nordic Schools of Architecture (NOFUA), Copenhagen, Denmark - 2002, July Conference of the International Association of People-Environment Studies, La Coruna, Spain - 2003, September Conference on Housing Research Methodologies, Stockholm, Sweden - 2004, February Conference on Innovation Systems and Innovative Clusters, Bagamoyo, Tanzania. - 2005 October TCI Conference, Hong Kong - 2005 Conference on Innovation Systems and Innovative Clusters, Jinja Uganda. - 2006 TCI Conference, Lyon, France - 2006 July Conference on Innovation Systems and Innovative Clusters, Dar es Salaam, - 2006 July Conference on Advances in Engineering and Technology, Makerere - 2006 September Conference of the International Association of Housing Science, Pretoria - 2006 July Conference on Architectural Modernism in Eastern Africa, Dar-es-Salaam - 2007 December Conference on Innovation Systems and Innovative Clusters, Kampala, Uganda. - 2007 TCI Conference, Portland, Oregon, USA - 2007 December Conference on Collaborative Research for Technological Development - 2007 September Conference of the International Housing Association, Melbourne - 2007 July Conference on Modern African Architecture, Kumasi, Ghana - 2008 August Conference on Energy and Climate Change, Bangkok, Thailand - 2008 April 4th African Regional Conference on Engineering Education, Dar es Salaam - 2008 May Pre-Sullivan Summit Conference on Science and Technology in Africa, Arusha, Tanzania - 2008 April First Pan African Competitiveness Forum, Addis Ababa - 2008 October 10th Conference of the Competitiveness Institute (TCI), Cape town - 2008 December 1st European-African Forum on Climate Innovation, Carlshamn, Sweden - 2008, December International Conference on Housing, Urban Poverty	

	and Environment, Jinja - <i>Typology of Houses in the Informal Urban and Peri-Urban Settlements in the Lake Victoria Region. A Case Study of Bugolobi, Mbuya and Kitintale Areas of Kampala</i>, by A. Nnaggenda-Musana, D.U.Vestbro, B. Nawangwe, Book of Proceedings of the IAPS Conference (International Conference on People-Environment studies), La Coruna, Spain., ISBN 932694-1-7, July 2003. - <i>Informal response to Housing shortage in Post-Independent Uganda: Any Lessons for Architects</i>, by Assumpta Nnaggenda-Musana and Barnabas Nawangwe Book of Proceedings of the XXXIII IAHS (International Association for Housing Science) World Congress on Housing 2005, Pretoria, South Africa. September ISBN: 1-86854-625-X, October 2005. - <i>The Meaning of "Architecture Sans Frontiers"</i> by Jaime Royo Olid, Luz Maria Sanchez, Dick Urban Vestbro, Eric Sellis, Craig Williams and Assumpta Nnaggenda-Musana, Book of Proceedings of the UN-HABITAT, World Urban Forum III, Vancouver, Canada, June 2006.	
<i>Research-related impact</i>	Dr. Nwangwe became co-author of <i>Encyclopedia of Vernacular Architecture of the World</i> .	1992
<i>Policy Impacts</i>	Policy briefs and law reform: A new building control bill has been created to change the rules for building to allow vernacular architecture to a greater extent, (un-burnt bricks are allowed for building houses so long as used in a safe way). The bill also regulates ventilation etc.	2004-2008
<i>Service Impacts</i>	Curricula of courses have been improved creating higher quality graduates.	
<i>Societal Impacts</i>	Makerere University landscape has been greatly improved as a result of input from group.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Grown from 10 (9 men and 1 woman) in 2000 to 16 (10 men and 6 women) in 2008. <i>Supervisory capacity:</i> Grown from 1 man 2000 to 5 with PhD supervisory capacity + 1 with master supervisory capacity (woman). <i>Research seminars:</i> from 0/year 2005 to 1/month 2006-2007 for the faculty and back to 0/year 2008 due to change of responsible person. (Will be taken up again.) <i>Publication:</i> from 1/year 2000 to 4-5 per year 2008. <i>Promotions:</i> 4 promotions since 2000. <i>Infrastructure:</i> Increase in plotters, computers, digital cameras, projectors, lap-tops, printers etc and also in building measurement instruments. <i>Development of Team:</i> The Team is more developed, mainly due to the thematic nature of the application to Sida. Teams have also been developed with other universities. <i>Funding:</i> Increased opportunities for more senior and recently graduated staff to apply. For an application to USAID, a new PhD person was the main applicant; team wrote application together. Consultancy enriched, often through Technology Consults. <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> ICT and Library needed. Nowadays, it is a crisis if internet does not work. In architecture, there are few printed journals; instead the main journals are electronic.	2000-2008

<i>Additional comments:</i>	Sustainability is a major focus. Sustainability will come when there are enough researchers to train others and independently supervise Master students. Now there are 5 able to supervise PhDs. However there are some gaps in competences. University regulations call for all teaching staff to attain a doctoral degree. If this is fulfilled, there will be no gaps. The department covers five major areas. Now three of them are covered with PhD holders. If all graduate, all five will be covered. Continuing involvement in serious international research will require improvements in the lab equipment, and in the physical spaces for labs.	

10. Renewable Energy

	Faculty of Technology	
	Key Informant: Dr. Mackay Okure	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> -Renewable energy systems: non-woody biomass (energy sources include agricultural residues, forestry and industry bi-products for production in bio-refineries) and rural electrification (integration of multiple techniques). <i>Geopolitical context:</i> Uganda and the region. <i>Funders and Funding Process:</i> Sida/SAREC, GTZ (German technical corporation), KTH, NOMA. <i>Budget:</i> Numbers given are for the research group Sida/SAREC, 1 million SEK/year Sida/SAREC, 2 million dollars/year GTZ, 20 000 dollar/2 years KTH (tuition and weaver from KTH for Makerere master students), 50 000 SEK/2 years NOMA (mater program), 90 000 dollars/year	2000 2000-2004 2005-2009 2007-2008 2007-2008 2008-2009
<i>Research Project Evolution</i>	<i>How it started:</i> Mackay Okure was lecturer at Makerere, from 1986, PhD completed in 1994 on US a scholarship from the US government. Returned to Makerere staff, almost no research, no master or PhD-students. From 1997-1999 he worked on a project at Ministry of Finance, Planning and Economic Development as a national expert in long-term infrastructure and energy; and future science and technology development prospects for Uganda. He also edited and supervised the writing of the chapters on energy, science and technology, and infrastructure. In the end of 1997 Fac of Technology started master programs started, then PhD program. In 2000, when Mackay was invited to write a proposal, the department of mechanical engineering had interest in bio-energy. Mackay read something that Björn Kjellström had written and wanted to develop a collaboration. Simultaneously, Björn heard about the program and made contacts from his side. The project focus was gasification of biomass. The research started on a more general basis when Mackay Okure was invited to write a proposal for Sida. In 2007, Prof Higenyi passed away and Mackay took over as team leader. <i>Research methods used:</i> Field observation to establish resource availability (biomass and wind). Experimental work using equipment newly installed at Makerere: a gasifier, gas analyses equipment, solar and wind measurement equipment. Computer modeling to evaluate system performance. <i>Key project events/concerns:</i> -Gasification trials when the project started, the first gasifier was developed in 2004; the ministry visited the project and the results were in the news. -CREEC (Center of Research on Energy and Energy Conservation)	

	has been created, first Sida support, now easier to find other resources: funds from GTZ, The Energy Ministry, and people. CREEC handles technology, exhibitions, dissemination—activities beyond the research and seeks funding. Recent dissemination event “Go solar for wealth and health”. At CREEC also people who want to work in developing countries come to work, paid by their home organizations. <i>Main findings/recommendations:</i> Availability of non-wood biomass resources and technical viability of meeting modern energy needs. Identified small/medium enterprises and some communities. Demonstrated packages for industrial and commercial heating and energy provision.	
<i>Networks Involved</i>	<i>Research collaborators:</i> Collaboration with Sweden mainly with KTH, Luleå University of Technology, and the Energy Technology Center (ETC) in Piteå. [ETC has better research environment and helps with techniques and equipment while KTH is better on defenses, publications etc. Two departments at KTH have been involved; Energy Technology Department and Electrical Power Systems Department.] -Regional collaboration takes place through visits and meetings. In 2008 a joint master program in renewable energy was started. It is a NOMA program with 27 students at Makerere and Dar es Salaam. Three other countries are involved, Mozambique, Ethiopia and Malawi. For the NOMA program, there is also collaboration with Norwegian University of Science and Technology in Norway.	
<i>Main Research product/outputs</i>	<i>Journal Articles/Book chapters:</i> Da Silva, I.P., Simonis P. “A possibility to enhance rural electrification – Small Solar Home Systems using Light Emitting Diodes” <i>ESI Africa – The Power Journal of Africa</i> issue 4, Volume 12, 2005, pages 43 and 45 “A Novel Combined Heat and Power (CHP) Cycle Based on Gasification of Bagasse.” <i>Advances in Engineering and Technology</i>. Jackson A. Mwakali and Gyavira Taban-Wani, Ed. Pp 465- 472. Elsevier Ltd, Oxford, UK. 2006. ISBN 0-08-045312-0 “Field-Based Assessment of Biogas Technology: The Case of Uganda.” <i>Advances in Engineering and Technology</i>. Jackson A. Mwakali and Gyavira Taban-Wani, Ed. Pp 481- 487. Elsevier Ltd, Oxford, UK. 2006. ISBN 0-08-045312-0 “Suitability of Agricultural Residues as Feedstock for Fixed Bed Gasifiers” <i>Advances in Engineering and Technology</i>. Jackson A. Mwakali and Gyavira Taban-Wani, Ed. Pp 756-763. Elsevier Ltd, Oxford, UK. 2006. ISBN 0-08-045312-0 <i>Conferences/workshops:</i> Da Silva, I.P., Kutty C.K., Nturanabo F., Kucel S.B. “Stand Alone Small Level Power Systems Based on Utilization of Agricultural Residue” in Domestic Use of Energy Conference 2002, Cape Town South Africa, Proceedings pp.187-191; 2nd –3rd April 2002 Da Silva, I.P., James Banaabe, P.Simonis “The Ugandan Experience in Energy Efficiency in Industries” in Eastern African Power Industry Convention 2003 EAPIC – Kampala, Uganda, Proceedings pp.252-	

	263; 5th-7th August 2003. Da Silva, I.P., Joechen R., Turyahikayo G., P.Simonis "SWER (Single Wire Earth Return) Systems: A solution for the grid extension in Ugandan?" in Eastern African Power Industry Convention 2003 EAPIC – Kampala, Uganda, Proceedings pp.53-58; 5th-7th August 2003. Da Silva, I.P., Morten H. Simonis P. Mugisha P. Onok P. "Use of Solar Water Heater in Industrial Processes to Reduce Furnace Oil Consumption" in Industrial and Commercial Use of Energy Conference 2004, Cape Town South Africa, Proceedings pp.169-174; 10th –11th May 2004 Bushholz T., Volk T, Tennigkeit T., Da Silva, I.P. "Designing decentralized small-scale bioenergy systems based on short rotation coppice for rural poverty alleviation" in 14th European Biomass Conference and Exhibition, Paris, Proceedings, 17-21 October 2005 A. Sendegeya, E. Lugujo, I.P. Da Silva, M. Amelin – "Feasibility of Conserving Energy through Education: The case of Uganda as a Developing Country" in 1st International Conference on Advances in Engineering and Technology, 16-19 July 2006, Entebbe, Uganda, Proceedings, pp. 385-394 A. Sendegeya, M. Amelin, L. Soder, E. Lugujo, I.P. Da Silva, - "Consumer Price Sensitivity Impact on Tariff Level in Isolated Rural Power Systems" in The 41st International Universities Power Engineering Conference, Northumbria University, 6th -8th September 2006, Newcastle, UK, Proceedings. "The GHG Emission Reduction in the Energy Sector- Uganda's Experience." In <i>Industrial & Commercial Use of Energy</i>. International Conference Proceedings, 10 – 11 may 2004 Somerset West, South Africa. p 193-196 "The Role of Nonwoody Biomass as an Energy Source in the Tropics: The Case of Uganda." In <i>Energy and the Environment 2002</i>. International Congress Proceedings. Vol. 1 p 135-145	
<i>Research-related impact</i>	Energy resource assessment information. We now know how many tons we have of bio-resources, their characteristics and energy-contents. The models are useful in development of energy access systems.	
<i>Policy Impacts</i>	In 2007 Ugandan government established its first renewable energy policy, with contributions from some of the work of this group—making Uganda one of the countries with a policy for renewable resources of energy.	
<i>Service Impacts</i>	Improving access to energy by using bio-resources in new energy systems group is developing; teaching, consulting with government and other organizations, raising awareness.	
<i>Societal Impacts</i>	Anticipated: People are buying some of these systems. Two gasifiers are in use in industry, more to be installed. Increased electrification will lead to improved livelihoods. Non-woody biomass has started to be an economic good. Commodities will lead to income increase for people	

	involved. Already Ugandans want to buy gasifiers but there are no suppliers, (manufacturers in India). Research group is monitoring and documenting the performance of the present systems, preparing to become the national experts.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Grown from 3 (male only) in 2000 to 11 (one female) in 2008. <i>Supervisory capacity:</i> Grown from 3 (male only 2000 to 6 with master/PhD supervisory capacity (male only 2008). <i>Research seminars:</i> from 0/year 2000 to 3 seminars/workshops/conferences mainly for dissemination once a year. <i>Publication:</i> from 0/year 2000 to 3 per year 2008. <i>Promotions:</i> Three promotions have taken place since 2000, two from lecturer to senior lecturer, and one from senior lecturer to associate professor. <i>Infrastructure:</i> Gasifier facility has been established, used heavily in experiments and training, Gas analysis equipment is in place, CREEC has biomass and bioenergy labs being built by GTZ. Solar energy testing equipment is in place. In process of building another gasifier, bought most parts from abroad and will be put together in place. Also bought equipment to monitor the equipment in field. <i>Development of Team:</i> Now there are 6 members of staff who can supervise PhD-students and growing potential of 20 master students who can work with this group. There is also a potential to expand the group. Eight master students can work with 2 PhD-students. Two of the master students are already staff. Another one has already finished master and will join the research team and continue for PhD. In the group there is also one person that is soon to retire. - Collaboration has increased tremendously among master and PhD-students. For example the gasifier is used for one purpose by one student and for another purpose by another student, and then they meet at the equipment and discuss and collaborate within groups. See similarities and differences between projects. <i>Funding:</i> Want to continue being able to attract funding for CREEC. Ministry of Energy is one possibility and to link up to their programs. There are also potentials to contract other funding agencies. Seems like the group almost also got a MSI grant. <i>Heavy reliance on other elements of Infrastructure (Sida supported):</i> Library literature is good. We are using the library and the ICT for literature and publications. It is also easy to communicate with the collaborators. Energy is a subject moving fast. A lot of discussion is going on. <i>Concerns:</i> Drop out of students. One found it impossible to continue travel to Sweden. Another one got a job outside Makerere. One student did a very good job with the gasifier of biomass, he also presented his result on a world congress on energy. However, thereafter he did not	2000-2008

	perform, stopped going to Sweden, stopped passing exams and stopped compiling and writing about the results. -2005 project was expanded to six students. However more students dropped out, one decided to go to UK for a degree.	

11. Safe Rural Water: Government Policy and Policymaking

	Faculty of Social Sciences	
	Key Informant: Narathius Asingwire	
Analysis Areas	Key Topics	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> Safe rural water provision and accessibility in a demand-driven approach". In theory, the policy reform was based on the failures of the past policy experiences in the rural water sub-sector characterized by the supply-driven approach. In practice the policy reform was largely driven by the advocates of the new public management aiming at minimizing the role of the state in social service provision. <i>Geopolitical context:</i> Uganda—Mbale and Mbarara Districts <i>Funders and Funding Process:</i> Makerere University (Staff Development Program) with partial funding from Sida/Sarec	2004- 2008
<i>Research Project Evolution</i>	<i>How it started:</i> Intrigued by the desire to find out why governments in developing world shift policies without a critical examination of the strengths and inherent limitations of the previous policies. Quantitative and qualitative methods, specifically, gathered data by personal interviews with individual household respondents, in-depth interviews with stakeholders in the rural water sub-sector at district and national levels, and focus group discussions and document review. <i>Key project events/concerns:</i> A growing recognition at the national level of utilizing positive aspects of policies to be reformed to inform the new ones. <i>Main findings/recommendations:</i> Re-adaptation of selective public policies to a new pattern of social service provision by non-governmental agencies in particular the private sector does not necessarily achieve the intended objectives of increased sustainable service provision. <i>Result:</i> Policy reforms in the rural water sub-sector have changed role of the state to being the main driver of service provision, allowing other players to perform roles in safe water delivery, operation and maintenance. Inconsistencies in sectoral policies (e.g., requiring beneficiaries to make monetary and non-monetary contributions towards service provision and maintenance in one sector (e.g., water) while in others such requirements are not imposed (e.g., health), failure to incorporate positive attributes of the supply-driven approach, and lack of clear role definition of policy players adversely affect the implementation of policy reforms.	
<i>Networks Involved</i>	<i>Research collaborators:</i> Department of Social Work, Goteborg University, DWD & Directorate of Water Development of the Ministry of Water and Environment	
<i>Main Research product/outputs</i>	<i>Journal Articles:</i> No published article yet. <i>Conferences/workshops:</i>	
<i>Research-related impact</i>		
<i>Policy Impacts</i>	A Social Policy Framework for Sustainable Rural Water Supply	
<i>Service Impacts</i>	Increased sustainability of safe rural water supply	
<i>Societal Impacts</i>	Increased awareness of community role in safe rural water provision,	

	operation and maintenance	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> Additional 1 staff with PhD to the staffing in the Dept. of Social Work and Social Administration, Makerere University; from 3 to 4 in a total staff of 22 for Faculty of Social Sciences.	2008

12. Grass Roots Communication for Community Adoption of Environmental Safeguards Around Lake Victoria

	MASS COMMUNICATION	
	KEY INFORMANT: NASSANGA GORETTI LINDA	
Analysis Areas	KEY TOPICS	Key Dates
<i>Research Project Focus and Funding</i>	<i>Topics/Research Area:</i> Studying use of grass roots communication to promote local community participation in adopting good environmental practices for sustainable development <i>Geopolitical context:</i> Uganda, Lake Victoria Basin, <i>Funders and Funding Process:</i> Sida (earlier sida was baseline); <i>Budget:</i> 525,200 SEK (Including final phase for evaluation due to be carried out in May 2009)	2000-2008 2006-2007 (Joined in Phase 2)
<i>Research Project Evolution</i>	<i>How it started:</i> Interest in grassroots communication and environmental degradation in and around Lake Victoria—how to make use of informal communication to improve health and welfare. Local people doing damage without realizing consequences of practices. What change might come if they began to appreciate dependence on environment for their livelihood? <i>Research methods used:</i> Participatory approach with adults at 10 sites bordering Lake Victoria; baseline survey 695 questionnaires, 35 Key Informant Interviews, 20 Focus Group Discussions with women and men separately and community dialogue/Interviews. Topics: water, sanitation and garbage disposal practices, awareness of environmental laws, relationship between practices and environmental problems resulting in ill health, especially of children; what neighbors could do together to improve local environment. Former students participated on the research team for this very intensive field work; current students could not take sufficient time to do so. <i>Key project events/concerns:</i> High water table meant traditional private latrines not possible; trash always blowing into the lake, fish mongers and families dumping fish waste and household garbage into lake—without realizing the consequences in pollution, effects on health. <i>Main findings/recommendations:</i> -Frameworks are in place for environmental management: the laws, the Ministry plans for protection of the environment, water, and land. However, there is an information gap at the grass roots level, where people not aware of frameworks, thus there was no impact from the government activities—even though local communities did understand that lake is source of livelihood serves better if not polluted, but did not understand specific damage caused by community sanitation and waste practices (fishing crews dumping fish intestines in lake) want to do something to address the problems—as they began to understand the options. From group discussions, local people came to understand	2007

	that no one household could solve the problems on its own; that they needed to manage garbage and sanitation together. Government had constructed toilets at landing sites, but local people are required to pay, and do not have funds sufficient to always do so. Families also complain that some sets of toilets are dangerous, as poor planning/maintenance means some sets are actually at imminent risk of collapse. Government and Districts need to improve toilets that are dangerous. Also, families did not always boil water to drink, even though they knew boiling could protect them. The barrier was the cost of charcoal—many families had to choose whether to use this fuel to cook, or to boil water, as they lack resources sufficient to do both. Thus, government was having no impact in communities from the environmental management frameworks. But, if media (radio, posters in local language) introduce and reinforce key messages, supplemented by interpersonal and group communication, people realize the problems and participate more in trying to address them. Families came to understand they would have fewer health problems and pay fewer medical bills if they put resources into prevention, rather than cure. This requires empowerment activities in local communities, promotion of their activities to improve environment. Districts are not guiding improvements for these low income communities.	
<i>Networks Involved</i>	<i>Research collaborators::</i> Environmental journalists; other units at Makerere University, e.g Institute of Environment , Adult and Continuing Education, NEMA, (No NGOs yet as project is still new.	
<i>Main Research product/outputs</i>	<i>Journal Articles:</i> Project not quite complete; publications to follow completion and preliminary findings presented in workshops and conferences. <i>Conferences/workshops:</i> -Seminar in Orebro University in Sweden September 2007 -International Association of Media and Communication Research, Paris July 2007; Stockholm July 2008.	2007-2008
<i>Research-related impact</i>	Redefinition of the problem based on new understanding by researchers of the causes of community practices.	
<i>Policy Impacts</i>	Anticipated: District and government policy on sanitation/toilets—Need to provide more and should not be more expensive than communities can afford	
<i>Service Impacts</i>	-Community Dialogue about how communities can address problems, based on researchers presentation of preliminary findings. Anticipated: District and government action on sanitation.	
<i>Societal Impacts</i>	Anticipated: Contribute to poverty reduction (PEAP national development framework) as communities improve water, land, and air quality of Lake Victoria area and, as a result, environmental health -Reduce family expenditures on medical care for illness caused by poor environmental conditions. Saved expenses to go to improve nutrition and welfare.	
<i>Gains in research capacity</i>	<i>Teaching staff:</i> University is to Advertise to fill 3 vacant positions at Ass. Prof and Prof. (Have advertised them before but no applicants)	

	<i>Supervisory capacity: This has improved with experience gained and exchanges with Swedish co-supervisor</i> <i>Research seminars:</i> Several held at Makerere and Orebro university <i>Journal co-editor among academic staff: Journal of African Communication Research</i> <i>New area of concentration:</i> Communication of science., specifically on climate change <i>New collaborators:</i> In Sweden (Orebro university) who advise on protocols and on tuning manuscripts to international audiences; also in South Africa: UNISA and Rhodes University-both potential UNESCO Centers of excellence, as is Makerere University; University of Wisconsin (USA) <i>Publication:</i> Have had 2 Department publications (one edited by Nassanga Goretti Linda) All 3 senior researchers have published in peer reviewed journals. <i>Promotions:</i> George Lugalambi to Senior Lecturer; Nassanga Goretti Linda will be first in department to present her dossier for promotion to Associate Professor. <i>Infrastructure:</i> steady use of ICT, library, and Departmental book banks (2: undergraduate and graduate students) with up to date books. <i>Equipment:</i> In 2000 no equipment; in 2008, have 29 computers, campus radio station, still cameras and video cameras for TV production (though these are shared among less students—6 cameras rather than 3 earlier ones; equipment renewal already urgent.	

APPENDIX Q

Genesis of a Flourishing Research Group

Evaluation Team Summary of Interview with Professor Jasper Ogwal-Okeng, Department of Pharmacology and Therapeutics

Having already summarized the gains in research capacity for this group (See the previous appendix, Research Impact Summaries, 1. Pharmacokinetics and safety of new therapies for the two major infectious diseases in Uganda: Malaria and HIV/AIDS), we looked back to understand more the genesis of this group—by interviewing one of the pioneers. The first three sections explain how Professor Ogwal-Okeng became a researcher and PhD holder himself; then sections 4-8 describe how he and Professor Waako built the growing research group whose work is summarized in the Research Impact Summary. We find the genesis of this group, its strategy, including its approach to co-supervision with Swedish counterparts, to setting priorities for research topics and allocation of funds, to be an impressive example of the fruits of the collaboration with and support by Sida—and one that demonstrates both strengths and constraints in current arrangements. (For constraints, see especially the addendum added by Professor Ogwal-Okeng in March 2009 as he corrected the draft summary of the interview—Section 8 below.)

1. Observations as a general practitioner led to research topics:

In 1998 Dr. Jasper Ogwal-Okeng completed a 5 year journey resulting in a PhD by research. When he started, the only option was to organize a program for himself. His foundation was a first degree as medical doctor, followed by a Masters in Clinical Pharmacology, (MACP) in 1978. From 1980-87 he was posted upcountry by the Ministry of Health to work in a 100 bed district hospital in his home region of Lira. There he practiced general medicine.

While serving in obstetrics he noticed that many women in labor held combinations of herbs in their hands or chewed them to hasten labor—a tradition passed down by their aunties. Dr. Ogwal-Okeng wanted to know if the herbs actually had properties to hasten labor—and this sort of question led to the studies for both his Masters and PhD. Before moving on to studies involving communities all around Uganda, he began in Lira where his patients were of his cultural group, and he was able to appreciate the subtleties of cultural traditions—which aided his research.

The herbs about which he wrote his MACP thesis were the ones patients took to ward off intestinal worms. When he tested extracts of the herbs on worms in the laboratory, he observed that the herbs paralyzed the worms; thus he learned how worms would lose their grip on the intestine walls and pass out of the human body.

As there was little focus nationally or internationally on intestinal worms at the time, when he turned to the matter of a PhD, he also turned to research on malaria—a field that drew far more attention of researchers with whom Dr. Ogwal-Okeng could learn and collaborate.

Again, his research started in the field—as a botanist, identifying more than 50 plants used to treat malaria in Uganda. As local populations around Uganda each had names for many of these herbs in their local languages, Dr. Ogwal-Okeng collected and identified each herb. Next he went into the laboratory, using exacting techniques from chemistry to extract liquid from the plants and then (requiring special patience) to purify as crystals before sending these to other laboratories for analysis. The Madagascar laboratory (to which he made connections through the World Health Organization) proved exceptionally well suited to this work, as its strengths were in both biology and chemistry.

As he learned techniques in summer courses, in Addis Ababa, in Nairobi, and elsewhere, he often found himself the only medical doctor among the chemists. By now he was already thinking of ideas that would lead to a concept for his PhD studies, and found mentors to assist him.

2. From Informal Mentorship to PhD registration with official supervision

As the PhD by research model offered no official supervision until much later in the process, Dr. Ogwal-Okeng pursued informal mentorship from three sources. First, for the field studies of plants used against malaria, he collaborated with a professor of Botany; then he sought assistance with plant chemistry, then in pharmacology. Although the Faculty of Medicine had few PhDs at the time, he benefited from the presence of a very senior colleague in Pharmacology, an “old prof” (Prof W.W. Anokbonggo) who had done a Master’s degree in the UK (University of Bradford), then a PhD by research at Makerere University in the 1970s.

The relationship with each informal mentor developed out of circumstance—including occasional exchange of contributions to each others’ work. The Professor of Botany asked Dr. Ogwal Okeng to do some teaching (of Ethnobotany courses) in the Department of Botany.

The first official step toward the PhD came when Dr. Ogwal-Okeng felt prepared to present his concept to the Faculty Board, consisting of senior staff, including a few PhDs in the medical school. Then the Higher Degrees Committee of Makerere University made a formal decision about the sufficiency of the concept paper—and with approval he registered for the PhD. Only then did the Academic Registrar allocate 2 official PhD supervisors—and awarded Dr. Ogwal Okeng 3 million Ugandan shillings to carry out his thesis research—the only financial support he would get during the 5 years of PhD work—aside from waiver of fees. It was these funds that allowed him to visit laboratories outside Uganda (IMRA in Madagascar) and to seek collaborators. Most of the equipment he needed for his work did not exist in Uganda.

3. From Registration to Faltering...then to Completion

For his analysis of the chemical composition of plants used in Uganda to treat malaria—to determine if indeed they possessed anti-malarial properties required --it was the World Health Organization that offered him the use of a very good malaria laboratory in Madagascar. Off he went with his samples, expecting to work for 2 months to complete the analysis. But he found a lab so well equipped and efficient that he had run all samples run in 3 weeks time, and was ready to return home to Uganda to write his thesis.

Despite this piece of good fortune, the process was sufficiently arduous that Dr. Ogwal-Okeng nearly gave up in the middle of his studies. At that point the Academic Registrar chased him down to learn why he had heard nothing for some time—and convinced him to continue.

A PhD by research meant Dr. Ogwal-Okeng had to learn research methods on his own, or determine when he needed a course—and go if he could find one and pay the costs. At Makerere he turned for help to epidemiologist colleagues, and to the medical school's first biostatistician, hired in 1980s. He was the first researcher to take advantage of this new, and most welcome, human resource. David Gwatudde was then employed in a project in the Department of Obstetrics/Gynecology, as an biostatistician.

Dr. Ogwal-Okeng found he needed most teaching in Chemistry—more than he could find on campus. A friend made arrangement for him to go to International Centre for Insect Physiology and Ecology (ICIPE) in Nairobi, a center concentrating on applied chemistry, insect physiology and ecology—as part of the process of drug discovery. There he learned more about how to analyse plants extracts to determine the structure and biological activities, especially anti-malarial activities.

A colleague from Hebrew University in Jerusalem called when visiting Uganda, having seen a first publication by Dr. Ogwal-Okeng. They engaged together on the challenges of drafting the PhD thesis, and the colleague offered useful suggestions—and to analyze more samples in his own lab in Jerusalem—until data were sufficient for completion of the thesis.

4. From PhD to building a research group

Upon completion of his PhD, Dr. Ogwal-Okeng received a \$36,000USD grant from Rockefeller Foundation (African Career Awards Program) to set up a lab—the one which made it possible for Dr. Paul Waako, current Head of the Pharmacology Department, to do the research for his Masters's degree. Then Paul Waako found an opportunity to pursue a PhD degree in Capetown, South Africa. Dr. Ogwal-Okeng consulted Dean Sewankambo—as it would be a hardship for the department for Dr. Waako to be away. Dr. Sewankambo inquired about the risk that Dr. Waako might like the opportunities elsewhere and not return—but together they agreed it would be important to take that risk. Dr. Waako completed his Capetown University degree in 3 years and he did

return—adding another key ingredient to the formation of the Pharmacology research team. When Dr. Ogwal-Okeng was seconded to Gulu (2004) to open a Medical School in this public university located in the midst of the protracted war with the Lords Resistance Army, he felt Makerere University Department in very good hands with Paul Waako as its new head.

5. New Funds Promote Building of a cohesive research group

Two external groups announced competitions for funds for research: SIDA/SAREC in 2000 and the Inter-University Council for East Africa (IUCEA) in 2003. The SIDA/SAERC grant enabled the group to collaborate with the Clinical Pharmacology Unit in Karolinska Institute, based in Huddinge Hospital. This is the basis of the clinical pharmacology subprogram under evaluation today. In collaboration with researchers in Kenyatta University in Kenya, this group also won US \$ 50,000 that was renewed in 2005 for Research training in Pharmacology, with SIDA funds and those administered by IUCEA. Both grants required a training aspect and Prof Ogwal-Okeng recruited 5 PHD students (one IUCEA and 4 SIDA/SAREC).

Sida's call for proposals emphasized capacity building. Prof Ogwal-Okeng saw this as a unique opportunity to start pharmacological clinical support and research at new level. At Makerere University there was no lab equipment to determine levels of absorption of medications into the blood of patients, nor anyone with experience to do the lab work, or to supervise. He reviewed the website for the Karolinska Institute to learn about staff with expertise for collaboration and found two potential collaborators, by chance, both named Gustafsson — with slightly different areas of interest—(one in Pharmacology and Physiology; the other in Clinical Pharmacology).

In his visit to Sweden to meet the Gustafsson who had seemed the more likely match, his Karolinska Institute hosts (Stefan Peterson-coordinator of grant in KI) took him to Prof Lars Gustafsson at Huddinge Hospital. Later he realized that he had met the OTHER Gustafsson, not the one anticipated. Nonetheless, the two initiated what has become a very fruitful collaboration.

From the start of the collaboration with Sweden, Dr. Ogwal-Okeng determined to build capacity in three areas:

1. Capacity for supervision of PhD students. As this would be new for Dr. Ogwal-Okeng, his Swedish counterpart would come to co-supervise.
2. Human Resources for clinical pharmacology—The Makerere University side identified staff with Masters' degrees to enroll as PhD students—with backgrounds in Chemistry, public health, pharmaco-epidemiology, and medicine.
3. Capacity in the Makerere university laboratory: equipment and personnel to analyse the amount of medicines in blood and other tissues.

Initially the collaborators had different ideas about how to build capacity. Professor Gustafsson had worked with colleagues in Tanzania who sent their students to his laboratory in Sweden, and he proposed to continue this model. Dr. Ogwal-Okeng pointed

out that if the new PhD students, who were also the backbone of the academic staff in the department, were to go to Sweden for 2-3 years, there would be no one left to teach at Makerere University. Further, if a laboratory could be equipped and staffed at Makerere University, then not only PhD students and senior researchers could use it, but it could become the center of a strategy for Masters education as well. Indeed, when applying for Phase I Sida funding, Dr. Ogwal-Okeng proposed to use the funds to establish the lab, support tuition and fees, research costs (field work and consumables), and travel for periods of work in Sweden for PhD students. He also proposed to supply research materiel and space for Masters' students—who would pay their own tuition and fees. As for the Masters' students it was the research costs that were highest, so this strategy worked, and 8 Masters' students have completed degrees this way—then becoming the new prospects for PhD—and 3 enrolled: Jackson Mukonzo, Sara Nanzigu, and Norah Mwebaza. In Phase III this group hopes to enroll more of the Masters' completers to pursue PhDs—and to continue to include Masters' students in lab, where they become part of a growing group. As Paul Waako described (See the previous appendix, Research Impact Summaries, 1. Pharmacokinetics and safety of new therapies for the two major infectious diseases in Uganda: Malaria and HIV/AIDS), the Masters' students now make up a good portion of more than 20 researchers who gather for weekly research seminars, Tuesdays from 2-5 pm—whether senior researchers are present or not.

6. Supervision

Although Professor Ogwal-Okeng's own experience was good, it was not the model he would choose for his PhD students. He felt he had to prove himself to the Board to gain supervisors, rather than having had the support of good and official supervision in order to develop a proposal. Today, the Makerere University-Karolinska Institute (KI) collaboration is based both on Prof Ogwal-Okeng's experience at the University of Illinois in 2002 where for nine months he saw senior researchers sit with their students, discussing the student's work in depth—including guidance on writing manuscripts.

In this collaboration, the KI supervisors come to Uganda twice each year. The group always begins with a meeting of all supervisors with all PhD students, to learn about what work has been done during the previous few months, and to discuss issues of common interest or concern. The environment is one of free-flowing discussion. Then, (usually three) supervisors sit with each student individually, reviewing the scientific merit of the work in progress—and providing guidance on next steps. Presumably, by having all supervisors together with each student, the challenge in other departments where a student may work separately with each supervisor, often receiving conflicting guidance from each session, would be substantially reduced. In a third type of meeting, the KI specialist in the area each student was working sits with the student, at an even greater level of detailed engagement with the scientific questions.

Professor Ogwal-Okeng found himself envious of the opportunities of this generation of students in the collaboration with Sweden—so different from the British tradition of hierarchical relations. He finds the new method instills a new level of confidence in students—especially as a cardinal premise of the supervision sessions is that there is no

‘wrong’ answer during brainstorming discussions—to encourage creativity before critical analysis of the ideas.

Professor Ogwal-Okeng admits to being a reluctant traveler, especially to Swedish winters. He has returned to Sweden only once since the original visit in 2002 to plan the new research training collaboration with his counterpart --for the defense by Dr. Celestino Obua, the first to graduate.

In 2004 Dr. Ogwal-Okeng started establishing a new medical faculty at Gulu University—reserving 25% of his time to return to Makerere University to supervise Masters and PhD students.

7. Setting the group’s Research agenda

At Makerere University, as is the case at many universities in the developing world, there exists a long history of collaborators from the North coming with projects already formulated, looking for collaborators on pre-set agenda—possibly of relatively small interest to Ugandan partners—even if well funded—and thus potentially irresistible.

In contrast, for the Pharmacology Department, senior investigators set topics, and students work with them—finding opportunity for developing their own projects upon completion of their PhD studies. With limited funds, Pharmacology has decided to concentrate Sida funds on PhDs, rather than on Sida-funded post doctoral opportunities—as Professors Ogwal-Okeng and Waako believe their PhD graduates will be able to compete for grants, so long as the senior colleagues work closely with them preparing proposals. This appears to differ from the experience in Sweden—where those competing for funds from Swedish research councils usually must attain level of . Associate Professor before successful in Swedish grant awards. Thus, Swedish senior researchers include post doctoral research fund requests in their own grant proposals to support post doctoral level staff until they are more likely able to compete successfully for Swedish Research Council funding. The funds for which Dr. Celestino Obua and his generation will compete likely to come from different sources, different criteria—if just as competitive.

8. Addendum by Ogwal-Okeng to Evaluation Team summary:

One aspect of this funding is raising eyebrows among Makerere supervisors. There is a provision to pay each KI supervisor SEK 250,000 for each student year and ZERO for MU supervisors. I notice that this is raising discontent among MU supervisors and it is making interdepartmental/faculty integration difficult since our colleagues request their time to be compensated for—this is the case with all other research fundings in Makerere. We are told to do all these from the MU salary, but then the staff in MU that have been called coordinators have their time paid for under “administrative funds”. We are wondering whether the supervisors in MU do not carry out research administration. I have so far failed to recruit senior researchers from Pediatrics and obstetrics because of this policy.

APPENDIX R

Research Infrastructure at Makerere University: Capacity Growth 2000-2008

This appendix presents four essential elements of research infrastructure at Makerere University in the following order below:

Part 1: Directorate of Information Computing and Technologies (DICTS)

Part 2: Libraries

Part 3: Laboratories

Part 4: Demographic Surveillance Site (DSS) .

a.

Part 1. Directorate of Information Computing and Technologies (DICTS)

The Difference at DICTS.

Makerere University Council set ICT policy and created DICTS. This unit conducted a baseline study in 2000 and from it developed an ICT Master Plan. DICTS has used its Master Plan as a basis for regular monitoring of its own performance, with participation of all staff. The unusual degree of clarity of objectives benefited from specific policy guidance by University Council, and the fact that the unit was a new one with unique and highly valued responsibilities. Although the process has not been perfect, it offers a model on campus, and within this collaboration, of management by objective, with a higher degree of transparency and accountability to all stakeholders, as well as the achievements noted.

MAKERERE UNIVERSITY ICT STATUS COMPARISON: 2000 to 2009

Component	Status	
	2000	2009

Instruction and learning	Nothing in place	An E-learning Unit established under the Institute of Adult and Continuing Education (IACE)
		Ongoing staff training (<i>course content development</i>) and management on an online platform
		Five E-learning Labs operational in five pilot Faculties.
		Two E-learning platforms (Blackboard and KEWL) operational. A review of another opensource platform (Moodle) underway to identify a single platform to be formally adopted by the University
		A draft Educational Technology Strategic plan in place to guide future implementation
Research and the Library	Refer to Library report	Refer to Library report
Administration - Management information Systems	Nothing in place	Operational Management Information Systems (<i>Academic Records; human Resource, Financial Systems</i>). The University is currently addressing the process and people aspects of the information systems to realize the full efficiency gains
Internet service	Total of 128kbps disparate connections by individual units	The University's total Internet bandwidth subscription of 20Mbps has played a tremendous role in opening up the University community to the World Wide Web and access to its services from different stakeholders
Intranet services	Non- existent	These include: - Web (<i>all units have a website</i>), Corporate Email for all staff and students; and other Intranet services(staff directory, mailing lists, discussion fora, etc.)
ICT training	None	An introductory ICT course is part of the curriculum in a number of Faculties
		Ongoing staff training in an Introductory course to computers - International Computer Drivers Licence - ICDL
		Ongoing training by the Library in ICT research tools to various academic staff
ICT management (Information Resource Management)	An ICT committee with the limited responsibility for ICT procurements	An ICT policy and strategy to guide development and implementation of ICT services in place

		Establishment of a University ICT council Committee to monitor and control implementation. This is the ICT policy organ of the University
		Establishment of an Information Resource Management unit - The Directorate for ICT Support (DICTS) to implement the policy, master plan and manage operations
Student and staff access to ICT services		A number of Student Computer Labs in all Faculties (<i>average student computer ration of 10:1</i>) and access within staff offices (<i>average ratio of 3:1</i>).
ICT Infrastructure	A total of approx. 300 computers; Small LANs in a few faculties but not interconnected	A University-wide optical fiber backbone linking all the administrative and academic buildings on the four campuses
		Computer Labs in all Faculties
		Local Area Networks (LANs) have been established in all work areas of academic and administrative buildings (total of over 7,300 access nodes).
		Student and staff Computer Labs in the University Library
		A total of over 6,500 networked computers for student and staff access
		Ten student Internet kiosks with a capacity of 165 computers evenly distributed geographically though the campus
		A Network Operation Centers housing the central university ICT services and a Disaster Recovery Center for backup of the major central services.
		Wireless Hotspots in all student residences on the main campus
Software Development	None in place	A software development unit (Software incubation Center) operational under the Faculty of Computing and IT
		University-wide corporate anti-virus solution implemented
Sustainability	No strategy	Approval and implementation of a Technology fee (USD 30 for Undergraduate students and USD 50 for postgraduates).

Part 2. Research Infrastructure: Makerere University Libraries

MAKERERE UNIVERSITY LIBRARY SIDA/SAREC PROJECT

SIDA/SAREC ICT EVALUATORS' REPORT 23rd February 2009/2 March 2009

Benefits of the previous Sida Projects to the University Library

- o **Subscription to e-journals & document delivery services.** By 2000, Makerere University subscription to print journals had reduced to less than 100 titles for the whole university. To address the vacuum, Sida/SAREC support introduced e-journals to Makerere University and Uganda at large. From 10 journal databases with more than 8,000 e-journal titles in 2002 to 35 journal databases (15 free) with 20,000 e-journal titles in 2009, the research output in Uganda and Makerere University in particular has been greatly enriched. The document delivery services supplement what is not available in full-text from the subscribed databases. This was the first time Uganda subscribed to e-journals. However, this has necessitated constant reaching out to the researchers through end user training since the library clientele change year to year .
- o **LAN installation.** Prior to Sida funding, the library had limited data points. All these were in the labs (now the undergraduate and the training labs). With Sida funds, the main library and Albert Cook Library were able to link to Mak-net. All library office areas were connected courtesy of Sida funding. This provided part of the connectivity that was required to enable access to the Internet, intranet and utilization of the IT equipment and resources. The strengthened ICT networks & user training are ensuring optimal use of an advanced integrated library information system.
- o **Equipment:** Servers, laptops, 60 sun ray terminals, 25 computers and two projectors were purchased to enhance library information resource outreach/publicity and PhD students' research. The change from the wooden catalogue boxes to the MakULA terminals (Opac terminals) gives an impression of advancement immediately one enters the library.
- o **A library system (Virtua-ILS) including an Oracle server were acquired in 2003**
This has been one of the greatest benefits to the library, Makerere and the world at large, in that it is enabling access to the library collection online, availed at <http://libis.mak.ac.ug:8000/cgi-bin/gw-46-4-2/chameleon>. This has revolutionized access to library resources since the library users do not have to come to the library to find out what is available. The library catalogue is just a click away from researchers with Internet access even from upcountry locations. The onsite library users have grown accustomed to this service that in case the service is

down, they hesitate to use the manual catalogue. This has been achieved through funding from Sida/SAREC, NORAD and Carnegie Corporation of New York.

o Capacity development

- i. **PhD training:** By 2000, the library had only two staff with PhDs acquired under different scholarships. With Sida funding two library staff enrolled for PhD studies at SSLIS, Borås, Sweden in 2004 (1st phase) and three in the current phase. Whereas, these have not yet completed, the expectation is that on return there will be improved service delivery and great innovations.
- ii. **Conferences:** Mak Lib organized two Conferences to share knowledge and skills. The first one was held at Makerere University in 2005 and it was attended by Univ library staff from Eastern and Southern Africa. A follow up international conference was held at Durban, South Africa in 2007 as a pre-conference to the World Library and Information Congress organized by the International Federation of Library Associations (IFLA).

Staff attended the World Library and Information conference organized by IFLA, the Standing Conference of Eastern and Southern Africa (SCECSAL) and the Association for Health Information and Libraries in Africa (AHILA). Mak Library staff had not been able to attend IFLA conference before due to high costs. Attending conference has given the Library a chance to meet with equipment vendors (library special equipment exhibited during the conference, which is not available in the region), share knowledge and publish papers.

- iii **Attachments:** (a) Eight staff have had training attachments at the University of Uppsala Library on the Virtua system. This has enhanced the knowledge and skills of staff in using the Virtua system. The exposure greatly motivates the staff to go an extra mile in meeting the various researchers' needs.
(b) The systems administrator had a 10-day training session in Virtua systems at the VTLS headquarters in Virginia. © Four staff attended training at University of Lund in a system called Electronic Library Information Navigator (ELIN) that provides a single search Interface to the various e-journal databases being subscribed to.

iv. **Training:** Makerere Library staff who were computer illiterate prior to SIDA funding are now 100 % literate. This was mainly due to the fact that SIDA in conjunction with INASP trained librarians mostly through Trainings of Trainers (ToT) who in turn went out to train library users and other librarians in the country. With co-funding of Carnegie, the ToT has had a multiplier effect since trained staff are now training others within and outside Makerere.

The training / attachments have been instrumental in imparting knowledge and skills to library staff, which they are using in implementing the several modules of the library system and other IT related activities to support research.

Linkages

During the course of the project, the Univ Library established linkages with the following institutions:

1. Uppsala University for support of the Virtua library system and for PhD training attachments;
2. The Swedish School of Library and Information Science, Boras for PhD training;
3. University of Lund for the ELIN project, training attachments and for PhD training attachments;
4. INASP for e-resources subscriptions and training;
5. The Consortium of Uganda Univ Libraries (CUUL) for sustainability of e-resources subscription, exchange of knowledge and skills and professional support.

LESSONS:

The major lessons learned include:

1. **Capacity building is key to the sustainability** of library automated activities. The knowledge and skills gained, team work of the motivated staff who own the automated project are going to sustain the project and impart skills to others in Uganda and beyond. It is therefore important to note that much as funds are important to sustain the project, the skilled staff have already demonstrated ways of sustaining the various aspects of the automation projects to support research.
2. **End-user training is an ongoing activity** as the University continues to get new students and staff, and as the Library IT environment keeps being updated. Training in information literacy will therefore continue.
3. **Automation is never a completed activity** given the ever changing IT developments. The title of the Library project “Full-scale integration” was therefore an over-ambitious statement.

Part 3. Research Infrastructure: Laboratories

Part 3 contains main findings as well as a description of the status of a number of labs at Makerere visited by the evaluation team during the site visit in February-March 2009.

Main findings;

- The standard of the labs vary considerably, those being supported by funders outside Makerere being in much better shape as compared to those not being supported.
- Most impressive labs were the pathology lab at the medical school and the avian flu lab at the Veterinary medicine faculty.
- Most labs having Sida support functioned well and the equipment was running and people were working there most of the time.
- The power supply at the GIS lab is not satisfactory; this needs to be resolved by the faculty
- The idea of having one bigger lab with all types of equipment so that people from all units go there to carry out research is an appealing thinking that would be a win solution for Makerere.

Faculty of Technology

GIS-lab

The GIS lab has recently received the new computers so it is working again since the last weeks. At the time of the visit, the GIS-lab was occupied by a class divided in two groups coming after each other by a number of 20 in each group. The main problem for the lab was now that the power was not consistently on. During the visit of a little bit more than one hour, the power went off five times. The reason for those power breakages is mainly security breaker switches that are going on. According to persons working in the lab, this normally happens 2-3 times a week. The lab is normally full by students and teaching from the class we saw two times a week. There is also another class that will soon begin that will use the lab twice a week. Beside that it is free for students and also for researchers to come and use the lab for research and practices that the students in the class get from their teacher. The lab assistant takes cares of those who come.

The lab has been non running for quite a long time, almost a year since re-installation of the computers have taken quite a long time. The old ones were blown out in a thunder storm. The reason it takes such a long time is due to the procurement procedures including bids, minutes from faculty, contracts committee meeting, procurement office meeting and purchase order, invoice to accountant and finally instalment.

Just before the old computers were blown out, there was a request from Institute of Statistics and Applied Economics to use the lab.

Classes that are using the lab are normally starting with lectures about theories and then there are practical exercises in the lab. For big classes, there is also space in the e-learning lab. In that lab autocard is installed but yet no GIS is installed.

School of Medicine

Biochemistry lab

No new equipment has been purchased since last visit (October 2008). The lab is regularly used by a number of people mostly within the own group but also by some outsiders. Still, however, the lab is not crowded by people although a bit crowded by equipment (some old).

The head of the Biochemistry lab, Dr Kironde, again raise the idea that it would be preferably to have joined lab facilities that are well equipped at campus to which everyone who needs a lab should go instead of everyone developing their own lab. Why not build a “Sida-lab” for all requirements within this program.

Pharmacology lab

This lab mainly contains the HPLC-equipment bought within the Sida collaboration. At the visit, the equipment was running samples of antioxidants. The equipment seem to work well.

During the visit, the issue was raised by according to new rules at Sida, the Swedes were supposed to get 250 000 SEK per student and year for supervision, while the Ugandan supervisors get nothing. With all PhD-students suggested in the program for the new Phase from School of Medicine, then two third of the Sida funds will go to Sweden, what kind of support is this?

Microbiology lab

This lab is also called the TB-lab. The lab has got some support within the Sida collaboration. In the lab transmission patterns of HIV patients in Kampala is investigated. Also, methods that can find TB in low income parts of Uganda is evaluated. The lab is rather small and gives the impression of being equipped. A number of people is working in the lab.

Molecular lab

This lab is situated close to the Microbiology lab. In this lab basic science is carried out in relation to gene function. Both PhD-students and undergraduate are trained in the lab. Examples of equipment in the lab are; Elisa machines, Cyclers, Shakers, Electrophoresis apparatus, Centrifuges, Waterbath, Post amplifier bioimager etc. There is also a freezer that is not working and a fridge that is full. Several people were quite occupied in the lab at the time of the visit.

Bacteriology lab

This lab has incubators, fridges, microwave ovens, media preparation room, fungal culture lab and autoclave. Some people were working at the lab at our visit and the lab seemed less well equipped as compared to the two previous ones.

HIV vaccine lab

At the visit, we just passed outside this lab that was empty on people. However, the lab looked good.

Immunology lab

This is an up-coming young lab, started only 5 month ago. The aim of the lab is to use it for prevention studies in 12-14 countries. Desire is to suppress the virus in order to reduce HIV1. Couple study in which one part has the virus is going to be used. Pre-exposure studies and the uses of some drugs will be the methods used. A number of samples have to be stored of blood, serum and plasma. A new -80 freezer was available in the lab. At the time of the visit the lab was empty on persons and seemed quite new and not ready to be in use.

Pathology - Super service lab

The aim of this lab was to be able to investigate tissues from persons in the whole country. Samples should be sent from hospitals and medical clinics in the whole country and then investigated in this lab. All equipment in the lab was new since the last 6 month. The equipment included Histochnate to dry tissues so that they can be cut, Tissue tech that embed tissues so that they can be cut, Waterbathes, Staining equipment, Microscopes connected to computers, Telepathology that reads all results from microscopy plates and connect and send the results to be controlled in the USA by telecommunication. The lab collaborates with the Institute of Pathology in Washington. At visit, the samples to be sent to USA during the coming night were prepared. The person who had submitted the proposal that was granted and that made it possible to start the lab is Dr Robert Lukande. The present lab is a routine lab for Pathological analyses in tissues. Dr Lukande also planned to develop a more research oriented lab for Pathology. He had already got the space and started to renovate it by taking out old stuff and painting it. Dr Lukande was very hopeful for the future and the establishments of his dreams for a research laboratory as well.

Faculty of Veterinary Medicine

Molecular biochemistry and microbiology lab

In this lab people are working with trypanosomiasis (sleeping sickness). They are trying to develop a vaccine. In the lab they are working with 2D electrophoresis, PCR, Thermocycler. Main work is with DNA, RNA and nucleic acid sections and proteins. Vaccine is tested on mice, rats and rabbits. Antibodies are used as diagnostic targets. At time for the visit, the lab is empty on people. There are some new equipment and the lab is clean and looks nice.

Parasitology lab

None present at visit. Lab looks empty and closed. The normal work in the lab is said to be with flies and vectors.

Biomedical lab

This is a fairly new, small lab. In the lab they are working with drug resistance, cutting parasites and isolating them and also with resistance. The lab looks clean and fresh although none is working at the lab at the moment of the visit. The lab manager was, however, around and presented nicely the lab.

Microbiology lab

This lab is for teaching and was not very developed. None was working at the lab at the time of the visit.

Avian flue lab

This lab was very new (1 month old) and had been sponsored by the Gates Foundation. There is a need to have such a lab in Uganda since there is a lot of water present in Uganda. In the lab they are working with virus isolation, extractions, real time PCR, identification of different types of viruses, and they also had a data bank of virus types.

In the lab there were a lot of totally new and fresh equipment such as Isolaters, Ice machine, autoclave, liquid nitrogen, -80 freezer, PCR machines, Ultracentrifuges, Immunofluorescence microscope, cell culture room, fume hoods, RT-PCR, Thermocyclers etc. The environment has to be very clean when working with this type of viruses so that they are not spread.

The avian flue lab is also connected to two field sites, one of them being at Mulago. The whole project is a collaboration with USA and it is a Walter Reed project.

Some people were working at the lab at the visit.

Nutrition lab

In this lab they are working with feed and food analyses. Nutrition is important for feeding animals. The lab has mainly quite old chemical analyses instruments for analyses of proteins, starch, fat etc. The lab manager was present at our visit but no analyses were carried out.

Phytology lab

This was an old and very badly equipped lab. There was an old gas chromatograph probably not working properly. Also there was a collapsed destilling water equipment. None was working at the lab at the visit.

Microscopy lab

Someone was working at the microscope analysing chromosome numbers of bilharzias snails at our visit. The microscope seemed working well.

Clinical lab

This was seen as a central lab. Farmers are bringing in blood samples from animals. In the lab is some equipments such as incubators, microscopes, fridges. There is also a discussion microscope in which a sample can be seen simultaneously by five people at the same time. None is working in the lab at our visit.

Molecular lab

In this lab *Trypanosomes* are investigated (i.e. parasites behind sleeping illness). The symptoms are fever like malaria and head ache. When the parasite cross the brain barrier, the patient will fall asleep. There are drugs that protects but they are also deadly for humans and animals..

Part 4. Demographic Surveillance Site (DSS)

4.a. Comparison 2000 to 2008: Accomplishments

MAKERERE UNIVERSITY IGANGA/MAYUGE HEALTH AND DEMOGRAPHIC SURVEILLANCE SITE		
STATUS (MARCH 2009)		
Component	Status	
	2000	2009
Set-up Phase	Vague idea of DSS on paper	A fully operational site in existence
		Management and organisational policy document in place
		Basic systems developed eg. Financial management, Data management, information/communication, data collection procedures, Procedures for new studies, Human resource management and information sharing/dissemination
		Acquired 2 rooms for office space from Iganga district. A lot more space is rented in neighbouring structures
		Area of operation is well mapped, households and other features easily identified with GPS coordinates
		Currently close to 100 people are working in the site with majority on special studies

Core Activity & Studies attracted in site	No project	A lot of data collected as follows; Baseline census (March-July 2005), First update round (January-May 2006), second round (September-December 2006), third round (February-July 2007), a re-census of the population (September'07-January 2008), fourth update round (February-June 2008) and the fifth round (September'08-January 2009). Special studies include Burden of disease assessment study, Malaria/Pneumonia study, malaria vaccine preparedness study, Newborn survival study, TB vaccine preparedness study, Assessment of impact of ART roll-out on health system study, verbal and social autopsy studies, Social capital study, epilepsy prevalence study, etc
Assets(Vehicle, computers, generator, phtocopier, motorcycles, bicycles, furniure, etc)	No project	(Indicated in Asset register)
Internet service	No project	Available but slow. Researchers can access and do research well on site
Scientific Output	No project	PAPERS This is a non-exhaustive list. There are also more posters and conference presentations: Publications (7), Submitted for publication (5), Manuscript (5), Abstracts (7)
		Conferences and workshops attended are many but mostly funded by INDEPTH Network. Also, an 18 months Masters degree fellowship in field of Epidemiology was awarded to Iganga/Mayuge DSS in 2008. A data Manager Mr. Kadobera Daniel will be completing this training this year from Wits University, S.Africa.
Providing Platform to students for research	No project	More than 10 Under-graduate students (from Makerere University, Sweden, Norway and USA)

		More than 10 PhD students have utilised the site for research through different projects (from Makerere University, Sweden, Germany, USA, etc). In 2008 the site started to host under graduate students and 10 students came from Institute of statistics and Applied Economics.
New Partnerships formed	No project	On top of Sida/SAREC, the site has initiated formal or informal partnerships with different funding agencies or academic institutions through different studies. Such as Save the Children in Uganda, EU(EDCTP), TDR, WHO, CDC(Presidential Malaria Initiative), Aeras TB Foundation, INDEPTH Network, Africa Malaria Network Trust(AMANET), Johns Hopkins University, the Wellcome Trust etc. All these have provided opportunity to the site to develop and attain short-term and long term scientific and financial growth
Sustainability	No project/No strategy	The strategic linkage of the DSS to Makerere University will strengthen further the site's research capacity as all schools/faculties and institutions are encouraged to send students for internship and research. New studies to contribute 12-15% of budget to DSS core budget. Also, development of DSS Grants management office will strengthen the site's potential to compete for grants favourably. Another strategy is to engage and regularly update local partners in the project's activities and planning sessions in order to appreciate the inputs as well as the outputs. These include WHO, Uganda Bureau of Statistics, Population Secretariat, UNICEF, Ministry of Health, etc. Also, improvement in communication strategy of site's works.
		District and Community cooperation: These are key stakeholders and are engaged in the site work regularly. Continuous feedback and involvement will be upheld to sustain their cooperation with researchers.

4.b. Table Listing special studies at the DSS from 2005/06 -2009/10

Table...: Special studies conducted or on-going in the DSS in the period 2005/6 to 2009/10

<u>Project</u>	<u>Funding Agency</u>	<u>Amount</u>
1. <u>Information for Devt (MUSPH)</u>	<u>Rockefeller</u>	<u>\$300,000</u>
2. <u>ARVMAC (MUSPH)</u>	<u>EU</u>	<u>€375,908</u>
3. <u>SNL (MUSPH)</u>	<u>Save the Children</u>	<u>\$961,571</u>
4. <u>Pneumonia/Malaria (MUSPH)</u>	<u>TDR/WHO</u>	<u>\$466,760</u>
5. <u>TBVaccine(IDI/FoM/MUSPH)</u>	<u>EDCTP/AERAS</u>	<u>€381,444</u>
6. <u>Social Autopsy (MUSPH)</u>	<u>INDEPTH</u>	<u>\$25,000</u>
7. <u>Malaria Indicators (MUSPH)</u>	<u>CDC</u>	<u>\$80,000</u>
8. <u>EpilepsyPrevalence(MUSPH/FoM)</u>	<u>Wellcome Trust</u>	<u>£80,000</u>
9. <u>Malaria Vaccine (FoM/MUSPH)</u>	<u>AMANET</u>	<u>€250,000</u>

4.c. Topics, publications, and impact

Topics: management of acute febrile illness, neonatal health, access and adherence to care for HIV+, including aspects of equity in access to care. The Institutional Capacity has been built to address questions systematically, and to network and fundraise for both research studies and policy linkage.

The Health Systems Research group of students and projects have been the first studies to start out with specific studies in the DSS that go beyond collection of births, deaths and migrations. As such they have both benefited from much attention and community goodwill, but also helped sort out "teething problems" of the DSS operations. The DSS is now up and running, and these very proposals in the Health Systems Research cluster have successfully attracted outside grants to complement the formative studies with larger intervention studies, which will run in the DSS for the next 3 years. This proposal suggest to capitalize on these ongoing studies to attach further students and postdocs.

Students. The students under this collaboration have actually "multiplied", through the addition of "twinning" students financed from other sources than Sida (e.g. Karolinska internal funding and CDC). Two students of the four under Sida support are planning to graduate in 2009, and the other two are fully registered and well into their second paper. One student withdrew for personal reasons and was replaced during the period.

Impact

WHO: The Fever-related studies have been specifically invited to present in international for a like the MIM Malaria conference in Cameroon 2005, and to the Community Case Management task force comprising UNICEF, WHO and donors in Geneva June 2008. This meeting set up an Operations Research Agenda for community case management, which UNICEF and WHO is now pursuing across Africa.

National: In addition stakeholder meetings have been held for e.g. the design of the Neonatal Care intervention package, which has influenced the national policy. Dr Peter Waiswa is a member of the national newborn task force in the Uganda Ministry of Health, and has been invited to be part of a Regional African Network of Newborn Survival Researchers supported by Save the Children.

The Chronic Care study will be set up with linkages to an advisory committee in the Ministry of Health, and with membership from the Swedish National Institute of Public Health, whose Director General, Ass Prof Sarah WAMALA, is a supervisor under the collaboration. Similarly Prof Clas-Göran Östensson is an international authority on metabolic syndrome and diabetes.

The Evidence Into Practice study will actually study the dissemination and policy-making process based on research generated within the other subprojects. It will synergize with a Uganda-based EU project set to start in 2009 and with WHO's EVIPNET. Prof Göran Tomson is a Board Member of the Alliance for Health Policy and Systems Research which has set one of its three international centres of excellence at Makerere University School of Public Health where Dr George Pariyo and Dr Suzanne Kiwanuka are PI's.

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In addition a number of abstracts have been presented in international conferences such as the Geneva Health Forum, InDepth network Annual General Meeting, and the Global Health Council Conference, USA.

4.d. Getting Practice-Research Into Policy –Capacity Development for Health Policy in Uganda [School of Public Health and DSS]

Stefan Peterson, George Pariyo, Fred Wabwire-Mangen, Edward Galiwango, Karin

Källander, Vinod Diwan, Goran Tomson

Makerere University School of Public Health, Uganda

Karolinska Institutet, Sweden

Background:

National capacity for health-sector policy-making is in short supply, yet there are few

opportunities for capacity development in this field, which requires development beyond the

Master of Public Health, but broader and with different emphasis than most established

Doctoral training programs.

Objective:

To develop national capacity for policy-relevant research using a Health System Observatory/Demographic Surveillance Site

Methods:

Makerere University and Karolinska Institutet in collaboration with the Ministry of Health

have set up a Health Systems Observatory in the setting of a Demographic Surveillance Site (DSS) in Iganga and Mayuge Districts, Uganda, using a seed-grant from Sida/SAREC.

Working closely with the hosting districts, health management information system data are validated against population-based burden-of-disease data. Burden-of-disease is converted into intervention-addressable proportions and mapped onto District Health Budgets for decision-making by local politicians and policy-makers. Care-seeking is studied for key conditions and for all fatal illness in a “health systems audit” process. All deaths are investigated for medical causes and pertaining social circumstances.

The DSS is used as the evaluation frame for masters and doctoral research students on

implementation research in the field of feasibility, cost and impact of integrated diagnostics and treatment, community-based intervention trials for acute childhood febrile illness (malaria, pneumonia) using pre-packaged drugs with community health workers and private providers; effects of home-visiting and health facility strengthening on peri-natal practices and survival, and observational studies of health systems effects of scaling-up e.g. antiretroviral treatment, and equity considerations. Post-MPH fellowships in Health System Development are being set up in a further two health systems observatories, and PhD projects on knowledge translation into policy developed.

Results of these practice-oriented observational and implementation-research studies have

direct policy-relevance benefiting both Ministry of Health and University-attached

research students and fellows for their degrees as national capacity for applied health systems research is built. A joint PhD degree between Makerere and Karolinska is offered.

Policy Implications:

Developing national capacity for health policy development requires new approaches and partnerships between Universities and Ministries of Health. Nesting observational and implementation-research studies into health system observatories based on demographic surveillance allows concurrent capacity-development while being of immediate policy relevance.

4.e. Translating Research into Policy: capacity development for the health sector, policy making in Uganda

Getting Practice-Research Into Policy –Capacity Development for Health Policy in Uganda

Stefan Peterson, George Pariyo, Fred Wabwire-Mangen, Edward Galiwango, Karin Källander, Vinod Diwan, Goran Tomson
Makerere University School of Public Health, Uganda
Karolinska Institutet, Sweden

Background:

National capacity for health-sector policy-making is in short supply, yet there are few opportunities for capacity development in this field, which requires development beyond the

Master of Public Health, but broader and with different emphasis than most established Doctoral training programs.

Objective:

To develop national capacity for policy-relevant research using a Health System Observatory/Demographic Surveillance Site

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Makerere University and Karolinska Institutet in collaboration with the Ministry of Health

have set up a Health Systems Observatory in the setting of a Demographic Surveillance Site

(DSS) in Iganga and Mayuge Districts, Uganda, using a seed-grant from Sida/SAREC. Working closely with the hosting districts, health management information system data are validated against population-based burden-of-disease data. Burden-of-disease is converted

into intervention-addressable proportions and mapped onto District Health Budgets for decision-making by local politicians and policy-makers. Care-seeking is studied for key conditions and for all fatal illness in a “health systems audit” process. All deaths are investigated for medical causes and pertaining social circumstances.

The DSS is used as the evaluation frame for masters and doctoral research students on

implementation research in the field of feasibility, cost and impact of integrated diagnostics and treatment, community-based intervention trials for acute childhood febrile illness (malaria, pneumonia) using pre-packaged drugs with community health workers and private providers; effects of home-visiting and health facility strengthening on peri-natal practices and survival, and observational studies of health systems effects of scaling-up e.g. antiretroviral treatment, and equity considerations. Post-MPH fellowships in Health System Development are being set up in a further two health systems observatories, and PhD projects on knowledge translation into policy developed. Results of these practice-oriented observational and implementation-research studies have direct policy-relevance benefiting both Ministry of Health and University-attached research students and fellows for their degrees as national capacity for applied health systems research is built. A joint PhD degree between Makerere and Karolinska is offered.

Policy Implications:

Developing national capacity for health policy development requires new approaches and partnerships between Universities and Ministries of Health. Nesting observational and implementation-research studies into health system observatories based on demographic surveillance allows concurrent capacity-development while being of immediate policy relevance.



Translating research into policy: capacity development for health sector policy-making in Uganda



Makerere
University

Stefan Peterson, George Pariyo, Fred Wabwire-Mangen, Edward Galiwango, Karin Källander, Vinod Diwan and Göran Tomson

Conclusion

Developing national capacity for health policy development requires new approaches and partnerships between Universities and Ministries of Health

Health System Observatories set up in Demographic Surveillance Sites can develop human resources and institutional capacity for health systems research while providing findings of immediate policy relevance

Background

National capacity for health sector policy-making is limited. Capacity development in this field requires training that goes beyond a Master of Public Health (MPH) degree, but is broader than and has a different emphasis than most established doctoral training programmes.

We report of a University-University-Ministry of Health model to build "HR-HPSR" – human resources for health policy and systems research.

Methods

In Uganda Makerere University and Karolinska Institutet, in collaboration with the Ministry of Health, have set up a health system observatory in the health and demographic surveillance site (HDSS) in Iganga and Mayuge Districts.

Established in 2004 with seed funding from Sida it has a 67,000 population in 12,000 households across 65 villages. It is funded by Sida, the two universities, the hosting districts, and ongoing research studies (Rockefeller, WHO/TDR, EU, EDCTP, SNL/Gates, AERAS...)

Health System Development

Burden of disease is mapped onto health budgets for planning.

A health systems audit is done on all deaths for medical causes and relevant social factors.



A Joint PhD Degree

A pioneering joint PhD degree between Makerere University and Karolinska Institutet is based on double registration and one public PhD defence with a joint examination committee. The first joint PhD was defended in 2005 in Stockholm. The second joint PhD was defended in Kampala, and introduced PhD by peer-reviewed publication and public defence at Makerere University.

Practice-Research into Policy

The HDSS is used by masters and doctoral research students for population-based health systems research.

The results of these practice-oriented observational and implementation studies have direct policy relevance that benefits both the Ministry of Health and university-attached research students as national capacity for applied health systems research is built.

Some Ongoing Research Projects and PhD student affiliations

Acute Febrile Illness (Malaria/Pneumonia)

Home Management and Rx practices for fever

Pneumonia Rx practices

Feasibility & cost of RDT in dual CHW Mx of Mal+Pne

Intervention study (two prepacks AM+AntiBiotic)

Equity and Social Capital in access to care

Research to Policy processes

Neonatal health

Hypothermia – efficacy studies SkinToSkin/bathing

Hypothermia – effectiveness community setting

Intervent study – CHW Home visiting & Practice Change

Health System scale-up

Access barriers to comprehensive ARV treatment

Nsungwa (MOH)

Hildenwall (KI)

Mukanga (Univ)

Rutebemberwa (Univ)

Bakeera (MOH)

Nsabagasani (Univ)

Byaruhanga (NGO)

Bergström (KI)

Waiswa (MOH/Univ)

Lubega (MOH)

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Dpt of Health Policy Planning and Management
School of Public Health
Makerere University, Uganda
www.iph.ac.ug

APPENDIX S

Gender equality landmarks in Makerere University

	STATUS BEFORE	INTERVENTION	OUTCOME / STATUS 2009
1.	In 1922, Makerere started as a technical college with only men, with the motto “Let us be men”	In 1945, the first women were enrolled in Makerere University. The motto was changed to “We build for the future”	Recognition of the importance of women in higher education, systematic inclusion of women in the University, deliberate efforts to address gender inequalities and the start of the on-going process to institutionalise gender mainstreaming.
2.	In 1990, female student enrollment was 25%	Affirmative action policy to add 1.5 extra points to female undergraduate direct entrants into Makerere University was introduced in 1990. The policy is currently under review to take care of equity issues as well. The private scholarship scheme was introduced in 1992, in addition to government scholarships.	Enrolment of female in Makerere University increased from 25% in 1990 to 46% in 2008.
3.	In 2002, it was recognized that there are fewer women in sciences and girls from disadvantaged background were finding it difficult to access higher education.	In 2000, the Female Scholarship Initiative (FSI) was started with support from Carnegie Corporation of New York. Capacity building is done for the FSI beneficiaries and they have gained competences in Communication, Self-esteem and Confidence building, Sexual and Reproductive Health and Rights, Entrepreneurship, Leadership, and many others.	A total of 691 girls have benefited from the FSI, which offers a full scholarship of tuition, field work allowance, accommodation and pocket money. Of these, 454 have graduated, 73 have retakes and 154 to have completed by 2011. The retention rate is 99% compared to 35% of the general student body (FSI M&E report, 2009) FSI has been acclaimed as a best practice and girl’s lives and their families have been transformed. Publications and a Video documentary have been compiled to attest to this.
4.	In 2002, it was also recognized that there are fewer women in	In 2005, the Diploma Holders Scholarship Scheme (DHSS) was	A total of 26 women upgraded from diplomas to degree levels. A total of 9 graduated in 2009 and 10 are to graduate

	sciences and from local government upgrading through the Diploma entry scheme into the University.	started with support from Carnegie Corporation of New York. Capacity building is done for the DHSS beneficiaries and they have gained competences in Gender and Leadership, Balancing their multiple roles, Communication, Report writing, Entrepreneurship, and many others.	in 2010, and 4 to complete in 2010 and 3 in 2011. They were from the disciplines of Agriculture (13), Veterinary Medicine (10), and Technology (3). They are to return to their respective local governments and offer the much needed professional services to the communities. On return from studies, most of them have been promoted and this has increased the number of women in leadership at the local government or district levels. These women also serve as role models in their villages and this encourages girls and parents to keep girls in school.
5.	Before 1991, there were no academic courses, training or programmes in women and gender studies in Makerere University	The Department of Women and Gender Studies to teach undergraduate and graduate training in gender was established in 1991	Increase skills and knowledge in gender and development. This has enriched development interventions at personal, family and society levels and has influenced policy and law formulation, reform and review at national level.
6.	The institution of Makerere University affected by gender insensitive policies, practices and culture	The Gender Mainstreaming Programme (GMP) approved in 2000 and Gender Mainstreaming Division established to implement the GMP, with the mandate to mainstream gender in all the functions of the University	Progressively, Makerere University is becoming a gender sensitive organization. Key evidence is the existence of the Makerere University Gender Policy (draft, 2009), The Policy and Regulations on Sexual Harassment (2006), Research on the Situation Analysis of the Gender Terrain at Makerere University (2007), The Gender Budgeting Manual for Sentinel Sites (draft, 2009), The Guidelines to engender the University Curricular (draft, 2009). Gender is given priority in University planning and policy formulation, as evidenced in the University Strategic Plan (2008-2018) Makerere University seen as a pace setter in the area of gender mainstreaming in Universities within Uganda, and African Region Linkages with other universities, such as support and information sharing with other university (The Focus Magazine, Training of Trainers for women in management in

			higher education in east African universities).
7.	In 2004, the Research on the Situation Analysis of the Gender Terrain at Makerere University and pointed out that there are fewer women in leadership at Makerere University.	In order to improve women staff's academic competences, Sida-SAREC extended support to GMD to award post graduate scholarship to female staff and build their capacity to aspire for leadership. Capacity building of the Scholarship beneficiaries through training in Research, Gender, Use of E-resources and Library, Writing for Scholarly Publications, balancing multiple roles and others.	Through GMD, 5 scholarships have been awarded to administrative and academic female staff to acquire PhD qualifications by 2005. Four are to graduate in 2010, while 1 was disqualified because she retired before completion. In addition, 20 scholarships have been awarded to academic and administrative female staff to acquire masters' qualifications. So far, 5 have graduated, 10 will graduate in 2010 and 5 are still progressing and hopefully to also graduate in 2010. Unfortunately, one of the beneficiaries died in 2008. The scholarship beneficiaries have been given the qualifications necessary to reposition themselves for promotion in their respective units. Increased number of female staff accessing and completing post graduate education. Increased competence and expertise of trained female staff at Makerere University Increased number of women with potential for leadership at Makerere University.
8.	Out of the 10 top managers, 2 are women, out of the 43 professors, 3 are women, out of 22 Deans and Directors, 4 are women. This is a big gap for women in leadership. Most female staff in Makerere University are not taking advantage of the research and publication opportunities that exist. They are also not actively attending workshops or conferences to upgrade or sharpen	TA deliberate, authentic and strategic intervention to address the gender needs in leadership had to be hatched out. GMD has organized a series of Women and Leadership Conferences for 64 female staff. They have been trained in Image building and networking, Strategies for women to attain leadership, How to develop a personal mission statements, Research and Publications. During the Women and Leadership	Increased visibility, acceptability and upward movement of women into leadership positions. Increased visibility of female staff in decision making in academic and administrative management of the University. Seven female staff got into top leadership positions of Deputy Deans, Deputy Director, Deputy Vice Chancellor, University Librarian and Heads of Departments by 2007. Other University female staff were encouraged to initiate individual and community development programmes Increased knowledge and skills in gender and leadership by female staff on decision making in academic and administrative management of the University Increased competence in leadership, skills in the balancing of

	their skills. Very few women, compared to men respond when a call for proposal is released. Women are also accused of not pursuing promotion whenever there is a call for applications. Women complain that they are overwhelmed with domestic, work and community responsibilities. Female staff are concerned that the institutional systems, structures and culture discourage women from pursuing their career. In contrast, men are asserting themselves and taking advantage of the opportunities to better themselves and reposition themselves for leadership.	Conferences, women suggested how to engender the Policies on Appointment and Promotion of Academic and Administrative Staff. There is also a time for sharing testimonies on Trail blazing to Professorship at Makerere University. The women formed the Makerere University Women's Forum and a general strategy on how to support female staff into Professorship/ Leadership at Makerere University has also been developed and is being implemented. A mentoring strategy to support women to progress in their career is one of the key components of the Women Forum's strategy and it has been developed. This mentoring strategy is ready to be rolled out. It will also include men as mentors. Plans are underway to have a day care centre for children of female staff and students.	work and family, there by increased output. Improved gender sensitive institution, (Makerere University). Additional gender based research on higher education. Contribution of knowledge to higher education and skills developed.
9.	Makerere University has a student population of 34,688 and 12,346 graduates. This churning out of human resource that goes out to influence society offers an opportunity for gender awareness. This resource had not been tapped to promote gender equality among students and beyond.	Every year, GMD selects 50 student peer trainers (25 girls and 25 boys) and they undergo a Training of Trainers Course. This included training in Gender, Leadership, Communications, Sexual and Reproductive Health and Rights and others. These trained 50 then make a programme on how to partner with GMD to reach out to other	Improved gender awareness, knowledge and skills among students The Student Guild Constitution was revised and gender incorporated in 2006 Student Guild campaigns advocate for female participation in leadership. Makerere University got a first female Guild President in a decade, since 1997 50% representation on the Guild Cabinet and Convocation as

		students and how to cascade the gender knowledge to fellow students. They also organize participation in key events like the Women's Day, AIDS day, Health Week and Cultural week. They work closely with the Students' Guild to implement their activities. Through support from the Government of Norway, GMD supports students to attend the Global Student's Leadership Programme that takes place in Tanzania. Female students that are in leadership participate in the GSL and their gender and leadership skills are enhanced. So far, 17 students have attended the GSL. In May 2008, two students attended the Colloquium on Gender Based Violence in Liberia and have linked the University to this campaign of young people to advocate the end of Sexual and Gender based violence.	an influence of demands from gender sensitized students.
10.	Staff welfare was gender blind, benefiting more the male staff, especially in areas of housing and staff development. Most male and female staff did not have gender knowledge.	Engendering University Policies such as Human Resource Strategy and review policies Gender sensitization of top management of the University. This was instrumental in gunning the support for the Gender Policy. Gender sensitisation of different categories of staff has been on-going.	Female staff more knowledgeable and skilled in gender and leadership There is evidence of acceptance and in some cases application of good gender practices such as the awarding of scholarships and appointments to committees. Gender mainstreaming has been institutionalized at Makerere University as a policy and planning process Gradual change in attitude towards gender equality in decision making. It is increasingly becoming more acceptable for women staff to join key decision making organs of the

			University.
11.	30 Planning units in Makerere University produced work plans and reports that excluded gender issues. Consequently, interventions done at Unit level did not deliberately address gender inequalities.	Formulation of Sentinel Sites (planning units as gender focal points) started in 2004. At the moment, 16 sentinel sites are actively engaged in mainstreaming gender in their units. The 16 sentinel sites are represented on the technical committee, which has undergone training in gender analysis, gender planning and gender budgeting. The gender budgeting initiative is grounded in the fact that the Strategic Plan of the University mandates all units to reflect gender as a cross-cutting theme and all units have gender specific interventions in their strategic plans. A gender budgeting manual has been developed to offer the 'how to' mainstream gender in work plans and budgets. A process has been started to develop Gender Fact Sheets for each of the 16 sentinel sites. Systematic engendering the Univeristy Curricular has started in 16 sentinel sites. A report has been developed on the status of gender in the teaching and learning of the units. Guidelines have also been developed to support other units to engender their curricular.	Acknowledgement by top Management for sustainability and keeping up the momentum in gender mainstreaming. This is reflected in the 15% financial support of the GMD budget by Makerere University. Gender has taken root in some academic and administrative units. They have initiated and implemented gender mainstreaming activities in their Units Increasingly male staff in some University units are independently defending and negotiating for the gender cause. Gender is given priority in University planning and policy formulation, as evidenced in the Framework for the University Strategic Plan and Strategic Plans of Units. The teaching and learning is gradually getting a gender perspective.

APPENDIX T

Cross checking topics with Final Report: Terms of Reference and 2005 objectives

Part 1. Terms of Reference, Draft 2 February 2009 (a later draft came from Sida, but not in a format that we can translate into “word”)

From 2 Feb 2009 Cristina to ET (in word, so I can write within)

Section 4. EVALUATION QUESTIONS

The evaluation shall specifically analyse and describe the following aspects of the research cooperation (see questions below). The evaluation shall also make an overall analysis of the research cooperation in relation to its effectiveness, impact, relevance, sustainability and efficiency.

A. General

2. Given the present institutional context in which the bilateral research cooperation programme operates, describe and analyse, at a general level, changes in the research and research environment that have occurred and how the research cooperation programme between Sweden and Uganda has contributed to that change.

Final Report, Sections 4, 5, and 7.

--Sida is largely responsible for the infrastructure improvements: ICT, library, labs, DSS
 --Sida paid for Mak U scholarships for 1/4th of the approximately 600 PhD students (though our numbers are still not matching AND I don't know how many of the greater number George notes also get research support. Do all of 'our' 94?
 --Sida supported a great deal of supervision which has resulted in a great deal of change, especially promising for the next generation of research supervisors who are highly motivated after their experience with Swedish supervisors as well as those from Makerere University
 --Sida has contributed to many other aspects we detail in the report, but as the colleague of Eva's from SLU commented at the meeting, it is impossible to be specific about cause and effect—that which we found and conclude appears in Final Report, Sections 4, 5, and 7.

B. Scope and focus of research cooperation

6. Is the research cooperation programme consistent with MAK policy and development priorities, needs and institutional capacity?

YES

7. Are the research projects in the programme relevant to the development goals of Uganda, especially in light of the aim to reduce poverty in the country.

YES

8. Analyse and describe the relevance of the programme in relation to other programmes to strengthen research capacity at the university, including funding from other donors.

See Final Report, Section 4

9. Describe unintended effects, i.e. “spin-offs” from the research cooperation programme, good or bad, and factors that have accounted for these effects.

??

10. Assess the sustainability of research and research training at MAK if and when the research cooperation programme supported by Sida ends.

See Final Report, Section 7

C. Institutional administration and research management

6. Describe the present research management system at the university, comparing it with the general situation at the start of the research cooperation programme and assess improvements since 2000 and problems that remain. Also describe why the problems remain.

See Final Report, Section, Sections 4 & 5?

7. Describe to what extent the research cooperation programme has contributed to improved research management. In what way has the capacity for policy/strategy development, financial administration, procurement, research management and research dissemination increased? How well is it suited to today’s global and changing environment?

??

8. Describe changes in the university strategies and priorities for research and research training, and ways in which the research cooperation programme has contributed to improving the strategically environment for research.

See Final Report, Section, Sections 4 & 5?

9. Describe ways in which the governance and organisational structure of the research cooperation programme and of the financial and research management, positively and negatively have influenced the development of research capacity within the programme.

See Final Report, Section, Section 6

10. Describe to what extent donor coordination has been implemented and/or improved from the side of the university, but also among donors to the university.

See Final Report, Section, Section 4

D. Research training

5. Analyse available institutional data as the basis for describing achievements in research training in the research cooperation programme in terms of outputs; number of students enrolled, general progress and number of graduated PhD and MSc students. Time needed for completion of PhD studies and reasons for having difficulties to finalize studies or leaving the programme.

See Final Report, Section, Section 5

6. In what ways has the slogan “to support the supervisor to supervise” been realised, or not? Describe how the role of the supervisor changed.

See Final Report, Section, Section 5

7. For understanding the effectiveness of the cooperation. To what extent and how has the research training contributed to the achievement of research project specific goals and objectives? has it influenced the overall research culture, the MSc and undergraduate training of the university? What are the reasons for achievements or non-achievements of project specific goals and objectives? What can be done to make the support more effective?

See Final Report, Sections 5 and 7

8. How has the research cooperation programme impacted on academic promotions at the university and to what extent has Post-doc⁴³ training been conducted and how has these programmes been designed and executed?

See Final Report, Section 5

E. Research capacity

4. Assess to what extent the programme has contributed to research capacity at the institution and in Uganda, as well as to creating a “critical mass” of competent researchers in specific areas.

See Final Report, Sections 5 and 7

5. Describe ways in which the research cooperation programme has contributed to viable and sustainable research environments, and elements of research environments that are not yet in place or likely to be sustainable.

See Final Report, Sections 5 and 7

6. How has the programme increased the capacity to formulate research problems and proposals as well as design research projects and attract external research funding? Describe the role and impact of the Faculty and University research funds?

See Final Report, Sections 5 and 7 and Appendix 1, Research Impact Summaries

F. Research environments and infrastructure

2. Asses the adequacy, functionality (use and maintenance) and impact of the research facilities (laboratories, Demographic Surveillance Site), equipment and infrastructure

⁴³ PhD's graduating with support from the research cooperation programme.

(ICT infrastructure and management and Library research and services) that the programme has contributed.

See Final Report, Sections 5 and 7

G. Research output and quality

3. Asses the applicability of the research project results obtained from a Ugandan and developing country perspective.

See Final Report, Sections 5 and 7

4. Asses the scientific quality of the research conducted and results obtained, in terms of publications in high ranking international scientific journals.

See Final Report, Section 5

H. Collaboration

2. Asses to what extent regional and international long term research collaborations have been established and more specifically, how Ugandan and Swedish researchers have interacted and benefitted/or not, from them.

See Final Report, Sections 5 and 7

I. Relationship between funding and financial management to programme achievements

4. Could more results and better outcome have been achieved with the same resources?

See Final Report, Sections 5 and 7

5. To what extent can the costs of the research cooperation programme be justified by its results?

See Final Report, Sections 6 and 7

6. Should the resources allocated to the research cooperation programme have been used for other, more worthwhile, purpose within the bilateral research cooperation support to Uganda to produce a better outcome?

Unable to assess??

J. Gender mainstreaming

3. What has the impact been at the university level of the support to the Gender Mainstreaming Division?

See Final Report, Section 5

Asses other considerations or viewpoints which may be of importance for the research cooperation.

5. RECOMMENDATIONS AND LESSONS LEARNT FOR THE FUTURE

The evaluation shall provide Sida with the following recommendations:

- How can present research cooperation with Uganda be improved and made more effective?

- How can the research cooperation's contribution to viable and sustainable research environments be further improved?
- How can the research cooperation's contribution to improved research management be enhanced?

See Final Report, Section 9

See 25 April ToR for the rest:

How can the programme agreement be improved to ensure better performance by MAK?

How can support to research at MAK be harmonised to ensure a better research environment at MAK?

How can timely implementation of the projects in the programme be ensured?

How can MAK play a stronger role in developing Uganda's research agenda?

See Final Report, Section 9

The evaluators shall also include a section on lessons learned that include general conclusions that have a potential for wider application and use

See Final Report, Section 8.

Part 2. Cross-checking Final Evaluation Report with Objectives in Sida Assessment memo [from 3 March 2005, Appendix 8]

Goals set for 1 July 2005- 30 June 2009

Activity	Expected Outputs
University-Wide activities	Procurement procedures will be streamlined to allow for research activities to be adequately planned and to proceed appropriately MUCH IMPROVED—see Final Evaluation for details
	A clear HIV/AIDS policy will be in place at MU. COMPLETED.
	The manual for the procedures for the utilisation of Sida funds will be finalised, widely distributed, placed on the Intranet and utilised by researchers and students. ?COMPLETED—ask JT if this is the 'good one'? JT comments? Or just say see Final Report?
	Self assessment procedures will be established and used by MU to assess its performance. Please assess status of this when you are at Mak U—CC told me Ddembe Williams has been pushed out. Now what?
	A monitoring team will be following the programme on a yearly basis and in the third year perform an in-depth evaluation of the programme which will form the basis of potential continued support. COMPLETED.
Agreed Research Activities in Faculties	The process of registration at MU will be so simplified that the individuals within and those outside the programme would be able to obtain registration in a timely manner. IMPROVED, STILL SLOW, see Final Report for detail.
	Data generated will be published in peer reviewed journals. IMPROVED—see numbers in Final Report. Relevant results will be disseminated to the general public. IMPROVED—more can be done—see Final Report.
	The supervisory skills of senior researchers will be improved as evidenced in part by increased publications, hypothesis driven research activities, and increased capacity to attract competitive grants. IMPROVED, see Final Report.
	PhDs training completed or with only a few months to formal completion [Eva—what to say here?]
	• Agriculture: 4 • Medicine: 8+6+5+8+11+2 = 40 • Social Sciences: 9 • Technology: 7+6+11+3+5+4 =36 • Institute of Public Health: 4 • Dept. of Mass Communication: 3 • Library: 5 • Directorate for ICT: 7 • Gender Mainstreaming
	At least 50% of the students from the first phase of the programme in each faculty or unit will be involved in Post-doctoral studies [Do we know how close they have come to this?]
	Adequate planning procedures for the purchase of equipment and consumables will be established to allow for MU to seek for tax repayments for material purchased with Sida funds IMPROVED—what to say about status as no detail on this in report
	Yearly interaction between individual senior researchers and students from Makerere and Swedish universities respectively will take place at least once a year COMPLETED
	Bi-annual research meetings involving all MU and Swedish collaborators within a faculty or unit will meet in Uganda or Sweden for a seminar COMPLETED
	All the PhD candidates from the agreement period 2002-2004, would have obtained their PhD and have continued to do their own research ?? what to say—see Final Report?
	At least half of the PhD studies proposed from each Faculty will be defended at MU during this period IN PROCESS—see Final Report
	Transparent processes for competitive Faculty Funds will be further improved IMPROVED and mechanisms developed for ensuring timely reporting of research results and financial activities. IN PROCESS see Final Report
	Faculty funds will increase research activities outside of this direct programme within each Faculty IN PROCESS, See Final Report
Cross-Cutting	The curriculum for at least 8 courses will be developed DEVELOPED,
	The MU senate will assess all 8 courses and determine the courses to approve Before Faculty Senate now,

Research Training Courses	but not yet approved
	All the proposed courses will take place at least three times in the four-year period ?? Decision and implemtation in process—depend on Faculty Senate approval (some disagreements on who pays for what remain)
	Announcement for the programmes will become even more transparent IMPROVING—status now?
Research Administration and Co-ordination	- The research administrators' role will be consolidated into a role as controller of external research support. In turn, other administrative personnel at faculty level will be trained further in research administration IN PROCESS see Final Report - Administrators from all participating faculties/units will receive training in financial management of research funds through on the job training as well as seminars provided by Sida, the SGS and/or external consultants TRAININGS COMPLETED - SGS will organise at least two research meetings RESEARCH DISSEMINATION MEETINGS HELD
DSS	- The demographic surveillance site in Iganga/Maugye will be operational and with data produced that could be relevant for the district authorities. OPERATING VERY SUCCESSFULLY - New financial support for the DSS would have been secured. NEW FUNDS HAVE COME IN (we have all detail in an appendix that can go on the SLU website) - Handheld devices will be in use throughout the DSS and will replace the use of paper questionnaires - The area encompassing the DSS will be a hub of research activities ACHIEVED-but new organization urgently needed for success to continue. See Final Report
Annual reviews	One annual review meeting and one planning meeting will be organised each year either in Uganda or in Sweden COMPLETED
University Research Funds	- The University Research Funds will continue with funds from several sources. [Please check status when at Mak U—I have too little detail.] - The SGS will make an evaluation of the impact of the University research funds for research within MU [Did they?]
Laboratory support	Core Natural and Biological Science Laboratory will be utilised by several faculties and units. Procedures for maintenance will be established COMPLETED, and in use as intended
	- The PhD candidate who is to run the GIS lab would have defended his thesis and started overseeing the GIS lab [Eva?] - Maintenance procedures would have been established and documented COMPLETED - A GIS Laboratory will be fully functional and used by several faculties - Close collaboration of the GIS with the DSS will be established and GIS used in the activities of the DSS
ICT -support and bibliographic support	- ICT will become an integral part of MU and be used extensively in teaching SUCCESSFULLY IN USE - Robust maintenance policies will be established and adhered to ESTABLISHED and IN USE (some major decisions upcoming—continued use of FINIS, ARIS, etc.—or a new platform that is not so expensive and restricted) - Rules and policies for disposal of defunct ICT material will have been defined. [I don't know]
	PhD training in ICT would have been completed IN PROCESS, one completed, others continue.
	The first two PhD students in library science would complete and would have started their own research groups within the library NOT YET COMPLETED
	- The library would have with other libraries in Uganda formed a national consortium which is able to negotiate packages from publishers in a professional way CONSORTIUM FORMED and ACTIVE - Partial cost recovery mechanisms are defined and in place for the access to electronic journals EFFORTS MADE, actual payment by consortium members uncertain
Donor co-ordination	- Sida and the Norwegian Embassy will perform joint audits of the MU projects NOT ACHIEVED - Sida and the Norwegian Embassy will accept one report from MU for both agencies NOT ACHIEVED - Sida and the Norwegian Embassy will have joint review meetings NOT ACHIEVED - Other donors will be encouraged to collaborate closely with Sida and the Norwegian Embassy ??

APPENDIX U

The Evaluation Team

Phyllis Freeman, JD, is Co-Editor of the *Journal of Public Health Policy*, Professor Emerita and a research Senior Fellow in the Graduate School of Policy Studies at the University of Massachusetts in Boston. She is also a Senior Fellow for the Global Health Initiative at Boston University. From 1982-1986, she served as Counsel to the Oversight and Investigations Subcommittee of the Committee on Energy and Commerce of the US House of Representatives. In 1986, the Institute of Medicine, of the US National Academy of Sciences, appointed her a Scholar-in-Residence. As a Fulbright Scholar, 1992-93, she was a Visiting Research Professor at Mexico's National Institute of Public Health. Professor Freeman has pursued a special interest in health research in developing countries since the mid-1980s, when she worked with scientific leaders from Brazil and Mexico, the Pan American Health Organization and the Rockefeller Foundation, to start a regional initiative for vaccine R&D in the Americas. She worked with the Fogarty International Center at the US National Institutes of Health on contract (2000-2002), studying approaches to research capacity strengthening in different parts of the world. From 2004 she served on the monitoring team for a program at Makerere University supported by Sida.

Eva Johansson, PhD and Docent (Associate Professor) in Plant Breeding at SLU (the Swedish University of Agricultural Sciences) at Alnarp in Sweden, Senior Researcher at the Department of Agriculture – Farming Systems, Technology and Product Quality at SLU, Alnarp. She is also Vice Dean for Research and Graduate Education at the Faculty of Landscape Planning, Horticulture and Agricultural Sciences (LTJ-faculty) at SLU. From 1999-2000, she served as director of PhD-education at the Department of Plant Breeding at SLU in Svalöv, and 2000-2006 she had the same commission at the Department of Crop Science at SLU in Alnarp, also being the deputy dean for the department during the same period. She is the chairman of the boards for PhD-education and docent degrees and a member of the faculty board and dean group at the LTJ-faculty at SLU and the board for PhD-education (FUR) at SLU. As a student, she participated in the semester course at Sandö School and did thereafter a minor field study (MFS) in Zambia. Presently she supervises PhD-students, beside Swedish ones, from Ethiopia, Bangladesh, Pakistan, Latvia, Canada, and Tadjikistan, and at the faculty level she is a Vice dean responsible for PhD-education for foreign PhD-students (representing between 30-50% of the total numbers of PhD-students at the faculty). She is also involved in building an international PhD-education in the research area of genetic resources and genetic erosion together with CGIAR centres around the world. From 2004 she served on the monitoring team for a program at Makerere University supported by Sida.

Jerker Thorvaldsson, Graduate in Business Administration from Gothenburg School of Economics and Bachelor of Science from the University of Uppsala. Authorized Public Accountant 1979 – September 2007. Employed in Ernst & Young AB (or merged accounting firms) from 1983 – 2004, for the most part as a partner. After 2004 self-employed consultant. Served in Ministry of Agriculture, Ethiopia 1969 – 1972 (Sida – CADU) and in Ministry of Co-operative Development, Kenya 1980 - 1982 (Danida). Have had a number of short-term assignments (about 30) in developing countries, such as Bangladesh, Ethiopia, Uganda, Ghana and Zambia, concerning follow-up and review of the financial and accounting aspects in different projects as well as participated in monitoring and evaluation assignments. Extensive experience from auditing of small and medium-sized companies in the private sector as well as non-

governmental organizations. Member of the County Council of Kristianstad province 1995 – 1998 and member of the County Council of Skåne province 1998-2006.

Nelson Kakande, MA in Sociology, works as an independent consultant when he is not engaged with other employment. Since 2005 he has served as Program Coordinator, Clinical Operations and Health services Research (COHRE) and Training Program Joint Clinical Research Centre (JCRC) Kampala, a training program funded by the US National Institutes of Health to expand national capacity to address the public health and scientific challenges of the evolving HIV and TB epidemic in Uganda through clinical and field research. From 2001-2004 he was Monitoring and Evaluation officer for a study entitled Voluntary Counseling and Testing for youth in Uganda, Operations Research Project, conducted by Department of Sociology Makerere University funded through Horizons by the Population Council. Previously he coordinated, monitored or contributed to other research projects in health on topics including HIV Treatment for Women in Uganda (2003-04), Partner Notification Among STI Index Patients and Healthcare Providers in Uganda (2004), and Construction of Masculinities and Other Influence on Male Sexual and Reproductive Health Behaviour in Urban East Africa (2004).



ENHANCING RESEARCH CAPACITY AT MAKERERE UNIVERSITY, UGANDA THROUGH COLLABORATION WITH SWEDISH UNIVERSITIES, 2000–2008

Past Experiences and Future Direction, Annexes

Swedish research cooperation with Uganda is aimed at building up sustainable institutional research capacity in order for Uganda to have its own knowledge base to address national problems. To contribute to the establishment of a coherent agenda for research and research training, support has been focused at Makerere University (MU). The evaluation found MU has advanced in research capacity and transformed the research environment on campus using external funding to which Sida has contributed. The achievements are remarkable given major deficits in central administrative functions to support research and research education.

Collaboration with Swedish universities have markedly enhanced supervision, publication in the science disciplines, and preparation of a new generation of research mentors for PhD and Master students. Despite the success of the program, a number of issues needs to be resolved for MU to achieve its great potential for further gains in building research capacity, these include; deficits in university administration, financial management, and program governance.

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