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Sida Decentralised Evaluation

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Evaluation of AAU's Core Programmes and projects under the Core Programme 2013–2017, with particular focus on Sida's institutional and program support 2013–2017

Final Report

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January 2018**

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

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Abbreviations and Acronyms

AAU	Association of African Universities
ACE	African Higher Education Centres of Excellence
ACU	Association of Commonwealth Universities
ARUA	African Research Universities Alliance
AU	Ardhi University
AUC	African Union Commission
CODESRIA	Council for the Development of Social Science Research in Africa
COREVIP	Conference of Rectors, Vice Chancellors and Presidents
DATAD	Database of African Theses and Dissertations
EARIMA	East African Research and Innovation Management Association
EQ	Evaluation Question
HEI	Higher Education Institution
ICT	Internet Communications Technology
IUCEA	Inter University Council for East Africa
KRA	Key Result Area
LEDEV	Leadership Development Management Training
MADEV	Management Development Training
MAK	Makerere University
MUNHAS	Muhimbili University of Health and Allied Sciences
OSSREA	Organisation for Social Sciences Research in Eastern and Southern Africa
PASET-RISIF	Partnership for Skills for Applied Science, Engineering and Technology – Regional Scholarship and Innovation Fund
RBM	Results Based Management
SARUA	South African Regional Universities Association
SERIMA	Southern African Research and Innovation Management Association
Sida	Swedish International Development Cooperation Agency
ToC	Theory of Change
ToR	Terms of Reference
UR	University of Rwanda
UDSM	The University of Dar Es Salaam

Preface

This is the final report of the ‘Evaluation of AAU core programmes and projects 2013-2017, with a particular focus on Sida’s institutional and programme support 2013-2017’. It was commissioned by Sida in Stockholm.

The review was conducted by a team from NIRAS consisting of Adam Pain, Catherine Ngugi, Michael Cross and Jennifer Sesabo. Kristoffer Engstrand managed the evaluation process for NIRAS. The assignment was undertaken from June 2017 to January 2018.

The review team wishes to thank the AAU, Sida and other stakeholders for their commitment, constructive input and collaboration with the evaluation team.

Executive Summary

The Association of African Universities (AAU), based in Accra, Ghana was established in 1967 to be the leading organisation for higher education institutions (HEIs) in Africa. It has promoted cooperation between its members and sought to increase the contribution of higher education to Africa's development challenges. Its institutional membership consists of about 400 of the estimated 1000 HEIs in Africa. The AAU has implemented programmes in phases since 1993, and the current phase ended in 2017. Overlapping and framing these programmes have been three strategic plans, the first from 2003-2010, the second from 2011-2015 and a third from 2016-2020. Three strategic goals were set for the current plan period: (a) assisting member institutions to improve capacity, infrastructure and the quality of education and research; (b) supporting HEIs to be part of efforts to address Africa's development needs and (c) supporting AAU to fulfil its mandate.

Since its creation, the AAU has received significant funding from donors although membership fees now constitute some 30 percent of its income. For the period 2013-2017 Sida selectively supported AAU's institutional development and its programmes. The overall purpose of this evaluation has been to assess the outcomes of this support to the AAU for the period 2013-2017 in terms of its impact, relevance, efficiency, effectiveness and sustainability. This assessment has been undertaken in relation to AAU's Strategic Plan for 2011-2015, and the Strategic Plan for the period 2016-2020.

As a Pan African Organisation, the AAU aims to represent the interests of higher education in Africa and to speak for the contribution of higher education to the public good. It faces significant challenges to defining its niche, identity and role. In part this has been caused by the growth of the higher education sector in Africa and the increasing numbers of 'for profit' higher education institutions, increasing concerns over the quality of higher education. There has also been a growth of sub-continental and regional networks of Universities established to meet their particular needs raising questions of where AAU fits in relation to these networks and how it takes account of them.

The evaluation took place during November and combined country university case study visits as well as a visit to the AAU headquarters in Ghana. The evaluation methods followed the approach developed in the inception report. It was participatory and implemented according to a Theory-Based Evaluation model which allowed a detailed investigation of AAU's programme. The evaluation was guided by using a reconstructed Theory of Change for the 2011-2015 Strategic Plan period. Data was collected from documentary analysis, stakeholder consultation and field observations.

The AAU at present has three key functions: convening, setting the intellectual agenda and implementing key programmes and projects. The convening power has been strengthened over time and AAU has significantly developed its capacities to manage a comprehensive programme of work. In one area, notably in Knowledge Management and ICT the AAU has an emerging core strength. However the breadth of AAU's programme may have contributed to the fact that in the eyes of external observers that were interviewed the specific role and contribution of AAU is not clear, even if they believe in the AAU. We have been struck by the continuity of the AAU's programme framework across the three strategy plan periods which stands in contrast to the dynamics of change in the African HEI landscape. But we have also detected within the AAU an ambition to reposition itself at a higher level in the future. There is clearly a demand by external stakeholders that it should do so. This requires a strong debate on the future direction of the AAU.

The evaluation has been constrained by a lack of relevant data and analysis at the outcome and contribution level. This in our view is largely due to the limits of what has been monitored in the overall programme. There is little systematic data at the outcome or purpose level. This is linked to a lack of clarity and focus in the programme framework on the relationship between programme activities and higher level outcomes and goals and indeed even the very role of the AAU.

Impact: It is almost impossible to speak systematically of impacts and outcomes from the core programme and relate these to the Strategic Plan. First because of the incoherence between the Programme and Strategy structures and the absence of a framework for collecting appropriate data to support an analysis of outcomes and impact. Second because there has not been the thinking or procedures within AAU to systematically address outcome level results. It is unlikely that the AAU has had major impacts on university capacities not least because here the AAU is a minor player and bilateral funding and other university networks are more significant players. Rather more impacts are likely in terms of collaboration with international partners and the AAU secretariat has developed its capacities. Sida support is likely to have played a role in this.

The AAU's core programmes have been **relevant** to Sida's Strategy for Research Cooperation and in specific cases they have been useful to Sida's bilateral programme although it is not clear whether this is by accident or design. The relevance of AAU's core programme to its strategies is more mixed with some activities such as ICT being highly useful while others less so. The AAU clearly has some comparative advantages given its Pan-African nature where it has positioned itself but it has lost significant ground to newer and more targeted regional networks and University Associations. While the AAU's key training programmes have recognized value, they have tended to be classically delivered rather than engaged in context and experience.

The internal training activities and the operations of AAU's small grants programme, particularly since its management has moved on-line has been exemplary with respect to **efficiency** and have set a clear standard. Less so has been AAU's coordination with

other donor's at the university level or even of its own funders, a not uncommon failing of many donor-dependent institutions. In part because of AAU's poor penetration within its member institutions it is rather less visible than it should be. Follow up on the effects of its training activities has been limited but may be improving.

The governance structures of the AAU are clear and generally **effective** although we are less sure about the practices. However the representation of women in these and in senior staff positions is low and the membership of the key bodies needs to be expanded to non-academics for a wider representation of societal interests. Due to Sida support there have been significant positive changes in effectiveness notably in the ICT and information systems but strategic thinking is not yet a core strength of the AAU. There is nothing to suggest that there are major issues of poor cost effectiveness. However, programme content is not conducive to building synergies as it straddles traditional legacy programs and newer more responsive projects.

In terms of **sustainability**, there is little doubt that there are key parts of the AAU programme such as COREVIP which are central to its identity and clearly owned. There are other activities such as the small grants programme that the AAU wishes to keep although it is not clear that it is in its long term interests to do so in its current form. What is less clear is the extent to which AAU has actually claimed ownership and authority over the Sida project as a whole and seen itself as a partner in the arrangement. Financially while Sida funding is important it is not the major funder and AAU could probably weather the loss of funding. More seriously though it is likely to experience reputational damage if that were to happen and in our view it would be premature for Sida to withdraw. Rather we think Sida needs to recalibrate its relationship with the AAU and support it through a change management process that would help the AAU reposition itself and its programmes. AAU has an interest in doing this and there is a demand from AAU's stakeholders that this should happen.

1 Introduction

The Association of African Universities (AAU), based in Accra, Ghana was established in 1967 to be the leading organisation for African higher education institutions (HEIs). As a Pan-African independent organisation its role has been to act as an advocate for higher education in Africa. It has promoted cooperation between its members and sought to increase the contribution of higher education to Africa's development challenges. The AAU operates within a broader institutional and development policy context. This includes the African Union's Agenda 2063, the Continental Education Strategy for Africa (CESA 2016-2025) and the United Nation's Sustainable Development Goals. It has been designated as the implementing agency for the Africa Union's higher education agenda.

Its institutional membership consists of about 400 of the estimated 1000 HEIs in Africa. The membership meets in a General Conference every four years and a conference of Rectors, Vice-Chancellors and Presidents of African Universities (COREVIP) meets every two years. It has a Governing Board which is elected by and accountable to the General Conference. This Board supervises the activities of the Secretariat which is headed by a Secretary General. The AAU has implemented core programmes in phases since 1993, and the current phase (2013 – 2017) will end this year. These Core Programmes provide the broad framework that bring together programmes and projects developed by the AAU and are approved by the General Conference. Overlapping and framing these Core Programmes have been three strategic plans, the first from 2003-2010, the second from 2011-2015 and a third from 2016-2020. These are approved by COREVIP. Three strategic goals were set for the current plan period: (a) assisting member institutions to improve capacity, infrastructure and the quality of education and research; (b) supporting HIEs to be part of efforts to address Africa's development needs and (c) supporting AAU to fulfil its mandate. Within these three strategic goals a programme framework of seven key results areas (KRAs) containing twenty-nine sub-components each given Strategic Objectives have been elaborated.

Since its creation, the AAU has received significant funding from donors although membership fees now constitute some 30 percent of its income. Sida has been providing support since 1993. During the period 2007-2011 Sida provided some 6 percent of all donor grants to the AAU and has supported AAU's statutory meetings including COREVIP, information resources on higher education, academic mobility and staff training. For the period 2013-2017 Sida continued support in these areas with funding of SEK 16.5 million, almost double that for the period 2007-2011. Other funders in the past have included the Department of International Development (DfID), the Ford Foundation and Canadian IDRC. The AAU is currently the Regional

Facilitation Unit for the World Bank's Africa Higher Education Centres of Excellence (ACE) Project in West and Central Africa.

The overall purpose of this evaluation has been to assess the outcomes of the Sida funded support to the AAU for the period 2013-2017 in terms of its impact, relevance, efficiency, effectiveness and sustainability (Annex 1). This assessment has been undertaken in relation to AAU's Strategic Plan for 2011-2015, the programme and project support given by other donors to the core programme and the Strategic Plan for the period 2016-2020.

The primary users of the evaluation are the AAU and Sida. The evaluation has aimed to provide AAU with recommendations in relation to performance and delivery. For Sida the findings of the evaluation will contribute to a decision on future support to the AAU and three specific issues bear on that decision: first the relevance of AAU's core programme in relation to Sida's (2014) Strategy for Research Cooperation; second AAU's capacity to implement activities of high quality and generate expected results; and third the demand for AAU's services and activities and its status and visibility as the leading advocate for higher education in Africa.

2 Context

As a Pan-African Organisation, the AAU aims to represent the interests of higher education in Africa and to speak for the contribution of higher education to the public good and to Africa's development challenges. It faces significant challenges in defining its niche, identity and role. In part this has been caused by the growth of the higher education sector in Africa and the increasing numbers of 'for profit' higher education institutions, which has led to increasing concerns over the quality of higher education. However national university bodies are beginning to address these. There has also been a growth of sub-continental and regional networks of universities established to meet their particular needs raising questions of where AAU fits in relation to these networks and how it takes account of them. In addition, major external funding for higher education from the likes of the World Bank African Centres of Excellence (ACE) project are drawing the AAU into a project implementation role.

But there are also questions of what is education for. In the increasingly dominant view of the instrumental role of higher education in contributing to economic development, there is a need to be reminded of the formidable critique that Alison Wolf offered in relation to assumptions about this connection. More education does not necessarily mean more growth. And as the UK experience has shown, increasing numbers appears to have reduced the average quality of a university education and distorted thinking on what the role of education should be. As Wolf suggests Education is as much about cultural, moral and intellectual issues as science and technology.

2.1 THE AFRICAN UNIVERSITY CONTEXT

As the recent CODESRIA evaluation¹ observed, there has been a dramatic expansion in the number of universities and students over the last decade. In Ethiopia the number of public universities has expanded from just two in 2000 to 29 in 2015. In Tanzania there are now 26 universities and 15 university colleges (linked to an established university). Of the 10 public universities, only 2 have been established since 2000. But of the 16 private universities, the majority (12) have been established since 2000 as have all of the 11 private university colleges. In those African countries

¹ Adam Pain, Stephen Webber, Jennifer Sesabo and Jerome Gouzou, (2017) Evaluation of CODESRIA's programme cycle "Forty Years of Social Research and Knowledge Production: Consolidating Achievements, and Reaching New Frontiers 2012-2016" and lessons learnt from the new programme cycle 2016-2020, Final Report, Niras, Sweden AB

where higher education was liberalised during the 1990s, the number of private universities has significantly increased; in 1990 there were 24 private universities in the African continent, now there are 460². The growth in higher education systems in Sub-Saharan Africa has gone some way towards meeting unmet demand and providing access for the increasing numbers of secondary school leavers. But there are also growing challenges of graduates not finding employment. The expansion in numbers has not been matched by funding and quality standards in education. In many cases these have fallen. In the case of Uganda, although the number of students has risen by 12% since 2007, expenditure in real terms is now 25% less than it was since 2007 (see footnote 2)

There are also major problems of excessive class sizes, poor teaching and ineffective pedagogical methods that national bodies are now seeking to address. The Tanzania Commission for Universities has recently acted to close courses and even universities that are assessed as not having the resources to deliver the required quality standards³.

Nineteen HEIs have been banned from admitting students for the academic year 2017-18⁴. In Kenya, between November 2016 and November 2017, the Commission for University Education in conjunction with the Cabinet Secretary (CS) for Education, ordered the closure of 11 campuses⁵ belonging to three public universities, citing quality issues. The Commission also recommended the closure of three universities⁶ for academic malpractice. In November 2017, the CS declared staffing in most Kenyan satellite campuses to be ‘untenable’ and banned the opening of new university campuses⁷. The Ministry view is that the quality of higher education must undergo significant reform.

2.2 UNIVERSITY NETWORKS AND PARTNERS

A second factor is the emergence of regional networks of African universities that have been developed to address specific needs (see Annex 4). These have been driven by both actors outside Africa, including funders, as well as home grown African ones. Some of these networks are old, as in the case of the Association of Commonwealth Universities (ACU) or the Association of Francophone Universities (AUF). Others are more recent, such as the African Research Universities Alliance (ARUA) formed

² The Economist, April 12th 2017: More can be less: African universities recruit too many students

³ <https://www.timeshighereducation.com/news/tanzania-government-threatens-close-more-universities> Accessed November 7th 2017

⁴ <http://www.universityworldnews.com/article.php?story=20171103141648911#.WgKSAfiTKyQ.gmail>

⁵ <http://www.nation.co.ke/news/11-campuses-ordered-shut-over-quality/1056-3436712-format-xhtml-af2ptcz/index.html> Accessed November 27th 2017

⁶ <http://www.nation.co.ke/news/education/Three-universities-face-closure/2643604-3819798-6axlv2/index.html> Accessed November 27th 2017

⁷ <https://citizentv.co.ke/news/matiangi-orders-universities-to-shut-down-all-satellite-campuses-182281/> Accessed 27th November 2017

in 2015. Analogous to the Russell Group of Universities in the UK⁸, which is an association of the 24 leading UK research universities, the 16 members of ARUA position themselves as the elite research and teaching universities of Africa. They see themselves as centres of excellence and are seeking international funding to help further leverage that position. Four of the universities (the universities of Rwanda, Addis Ababa, Makerere and Dar Es Salaam) interviewed as part of this evaluation are members of ARUA. There are also regional, as well as national university associations, with some of the regional associations providing specific skills and expertise for University support. All three of the Tanzanian universities interviewed for example pointed to the important role of the Inter-University Council for East Africa (IUCEA) in Kampala as a source of advice and resources on curriculum development and quality standards. This growing network of sub-continental networks of Universities point to a growing differentiation and specialisation of interests between Universities.

These regional networks may be more important to specific universities than a Pan-African network offered by AAU. This is raising challenges to the AAU in its positioning in relation to them. Indeed, while many Universities belong to multiple networks there are university differences in perceptions of how useful the individual networks are to them. For example, the University of Dar Es Salaam, as a member of ARUA, saw its future interests as more within ARUA than either the South African Regional Universities Association (SARUA) or indeed the AAU. On the other hand Muhimbili University of Health and Allied Sciences (MUNHAS), as a relatively young and specialised university and outside the ARUA network, gave specific value to the AAU and its various activities.

Finally, as Annex 3 makes clear from the interviews with the case study universities, many universities have extensive bilateral networks contributing towards their university development. This all raises questions as to what has been the added value of AAU's programme to these universities and where and how has the AAU's programme been engaging within this shifting terrain and to what effect. Moreover, what does this mean for the AAU's future niche: for whom does it speak and to whose interests should it respond and where should it be leading the education debate?

⁸ See <http://russellgroup.ac.uk/about/our-universities/> Accessed November 27th 2017

3 Evaluation Methods

The evaluation took place between October and November 2017. The first week was spent by two of the team at AAU headquarters discussing the programme with the Secretariat, interviewing staff members and reviewing documents. Then field visits by three different team members (one team member covered two countries) were undertaken in four countries (Uganda, Ethiopia, Rwanda and Tanzania) to universities that were members of the AAU and also received Sida bilateral support (see Annex 2 for detailed itineraries and people met). In addition a visit was made to the African Union Commission (AUC) in Addis Ababa

The evaluation methods followed the approach developed in the inception report. It was participatory in approach, implemented according to a Theory-Based Evaluation model that allowed a detailed investigation of the AAU programme structure. The evaluation was guided by a reconstructed Theory of Change for the 2013-2017 core programme period. The participatory approach aimed to ensure that the evaluation was a learning experience for all stakeholders and a shared dialogue between the evaluation team and the participants of the evaluation process. In line with this, the evaluation incorporated feedback throughout the process of evaluation, particularly in discussions with the AAU leadership.

The design of the AAU evaluation addressed different levels of analysis. These were the Pan-African university level (as a Pan-African institutional initiative) with interviews with the AUC, and sub-levels (AAU's research networks, training, scholarships, publications); regional level; national level; institutional (university/think-tank) level and to a small extent individual researcher level.

The evaluation design centred on the deployment of Contribution Analysis, mapped against the various levels and sub-levels of analysis. This assessed the contribution of the AAU to capacity development underway within African universities (and within this, the contribution of Sida). The contribution from the range of activities undertaken by AAU, was assessed in relation to the impacts seen at various institutional and individual levels. The analytical framework sought to capture data relating to all levels of analysis and the spectrum of phenomena relating to AAU activities, across the time period covered by the evaluation.

The evaluation design incorporated a case study approach, in line with the scope of the evaluation, and the need to ensure representative coverage of the broad range of regional and national contexts, and areas of activity undertaken by AAU. As required by the nature of the evaluation, a mixed method approach was adopted, using qualitative and quantitative methods of data collection. An evaluation matrix was formulated, with the contents mapped against the analytical framework. This was

developed during the desk review, after the submission of the Inception Report, using additional documentation provided by AAU.

In reflection of the scope of AAU's programme comprising activities at national, continental, transcontinental levels, and engaging universities and research centres, as well as individual researchers, teams and networks, the evaluation aimed to achieve balanced and representative coverage (to the extent possible with the time and resource limits of the evaluation). This blended an AAU-wide and Africa-wide coverage, along with a focus on individual case studies, sample of projects, activities, beneficiaries and users.

Data was gathered and analysed through a range of methods, including:

- Documentary analysis (samples of, *inter alia*, policy documents, strategy papers, programmatic documentation, proposals (and evaluations of proposals), monitoring and evaluation reports, financial reports, research papers/publications, etc.);
- Stakeholder consultations – through:
 - Expert interviews (semi-structured) with sample of representatives of the key stakeholder groups (conducted in-person),
 - Focus-group interviews with groups of stakeholders (e.g. postdoctoral fellows);

It had been hoped to undertake a questionnaire based survey of key stakeholder groups. But the experience of the challenges of doing this in the CODESRIA evaluation linked to the willingness of targeted individuals to respond to the request indicated that seeking responses from senior university staff might be even more difficult. It was also unclear how easy it would be to identify and contact those who had been involved in the AAU programmes. Accordingly, it was decided not to implement a web based survey.

The evaluation adopted a gender-sensitive framework to ensure that the analytical design, the process of data collection and analysis, and the synthesis of findings, was effective in capturing and understanding patterns of gender mainstreaming.

The evaluation has been constrained by a lack of relevant data and analysis at the outcome and contribution level. This in our view is largely due to the limits of what has been monitored in the overall programme. There is a considerable amount of data at the activity and output level but there is no systematic data at the outcome or purpose level. This in turn links to a lack of clarity and focus in the programme framework on the relationship between programme activities and higher-level outcomes and goals and indeed even the very role of the AAU.

This is a shortcoming recognised by the Secretariat which has requested funding from the World Bank to address this challenge. The Secretariat noted that while their request is oriented towards the two major continental programs that they are currently running - Africa Centers of Excellence and PASET, it also articulates an institution-wide Monitoring, Evaluation and Learning Framework that includes an organizational

theory of change document, the indicators (documented in a log-frame, indicator reference manual or a similar document), plan for collecting data on the indicators, data collection tools, databases for data storage and management, guidelines and plan for data analysis and a reporting system for reflection and learning.

4 Findings

4.1 SUMMARY ASSESSMENT

The AAU could be considered at present to have three key functions: convening, setting the intellectual agenda and implementing key programmes and projects. In theory these functions should be closely interrelated and mutually constituted. We are in no doubt that the convening power, reflected in the COREVIP programme of AAU and other developments has undoubtedly been strengthened over the programme period. This is recognised and valued by universities and Pan-African institutions, such as the AU. This links to the fact that in our assessment AAU has significantly developed its capacities to manage a comprehensive programme of work. In one area, notably in Knowledge Management and ICT, the AAU has an emerging core strength which may well contribute to a distinctive identity in the future. However, the breadth of AAU's programme and its content in certain areas may have contributed to the fact that in the eyes of external observers that were interviewed the specific role and contribution of AAU is not clear, even if they believe in the AAU. Thus, it is less evident whether the AAU has done more than simply convene and been able to fulfil a strong role as a leading advocate for higher education in Africa.

But the AAU has clearly consolidated its position from an uneven past. Sida funding has undoubtedly contributed to this overall institutional development. That said, we have been struck by the continuity of the AAU's programme framework across the three strategy plan periods. This stands in contrast to the dynamics of change in the African HEI landscape discussed in the previous section. But we have also detected in our discussions an ambition within the AAU for it to reposition itself at a higher level in the future. There is clearly a demand by external stakeholders that it should do so.

4.2 SPECIFIC ASSESSMENT

Theory of Change

As noted in the inception report, in our view the existing Strategies and Programme Frameworks were not coherent and the overall programme architecture was unclear. This may well have been due to the fact that while the core programmes have provided the foundational framework for AAU's activities, the Strategies were superimposed over them, in part it is understood in response to donor requests that the AAU should have a strategy. The strategies were never fully reconciled with the programme structures, either in terms of timing or the causal logic (what activities leading to what outputs, intermediate outcomes and goals), leading to the observed disconnects. This may also explain the focus on monitoring at the activity and output level within the programmes.

Based on discussions with AAU, the AAU secretariat prepared a draft document that went some way towards reconciling the strategy and core programme structure for the 2011-2015 period (see annex 5). This was then used as a basis to develop an outline theory of change (see figure 1) that was applied retrospectively for the 2011-2015 Strategy period and 2013-2017 Programme Period. This has been used as a basis to establish a sufficient framework to guide the evaluation. This does not provide the framework for the current Strategy Period (2016-2020).

Figure 1: A working Theory of Change for AAU Strategic Plan, 2011-2015

Goal	AAU contributes to the improvement in quality and relevance of higher education in Africa, thus strengthening the contribution of Higher Education to Africa's development			
	↑		↑	
Outcomes	1. Capacity, infrastructure and the quality of education and research is increased		2. There is increased collaboration between Higher Education Institutions and greater participation in efforts to address Africa's development needs	
	↑	↑	↑	↑
Intermediate Outcomes	KRA3: Africa HEI delivery capacity strengthened	3. AAU's improved ability to fulfil its mission and contribute to outcomes		KRA6: African and International Partners engaged and collaboration improved
	KRA4: Knowledge Generated & Disseminated	↑	↑	KRA7: HEIs response to local and regional needs supported
	KRA5: Community and Students Engaged	KRA1: Capacity for service delivery of AAU improved	KRA2: Membership size and engagement increased	

A number of changes have been made from the AAU original plans and strategies. First, the terminology has been simplified to talk in terms simply of Goals, Outcomes and Intermediate Outcomes. Overuse of the term 'Strategic' in talking of Strategic Goals and Strategic Objectives as the AAU documentation does, diminishes the substance of what Strategic means and begs the question of what is not strategic. Second, the phrasing of the goal and outcomes has been recast to emphasise at the goal level what AAU, through its activities, is seeking to contribute to and what exactly at the outcome and intermediate outcome level will have been achieved. Thus, what the AAU has identified as its goals (related to capacities at the AAU, capacities of its member institutions and the contribution of these institutions to societal needs) have been renamed as Outcomes rather than Goals. Third, we see an important distinction to be made between the outcome of improved capacities at the AAU and the other two outcomes. In our view, the AAU has much greater influence on the achievement of improvement over its own capacities than it does have over the other two outcomes. Accordingly, we see the outcome in relation to the strengthening of capacity of AAU as subordinate to the other two outcomes and as a primary instrument through which these other two outcomes will be achieved.

We also note that in the original phrasing of the goals, they relate to all African HEI's. The question remains as to the extent that the AAU works with all African HEIs, not least given that the majority of African HEIs are not members of the AAU. It should also be noted many of the AAU interventions focus more on administration and governance of universities and address less teaching and research quality issues.

4.2.1 Impact

1. Assess the impact/outcomes and overall level of achievements made by the core programme 2013–2017 from the viewpoint of the Strategic plans

It is almost impossible to speak systematically of impacts and outcomes from the core programme and relate these to the Strategic Plan for the period. There are two reasons for this. First because of the incoherence between the Programme and Strategy structures, a framework for collecting appropriate data to support an analysis of outcomes and impact does not exist. Second, and linked there has not been the thinking or procedures within AAU to systematically address outcome level results as the report on Project Results clearly shows (see Annex 6).

In terms of Outcome 1 to which KRA3, KRA4 and KRA5 are seen to contribute (see Figure 1) it is rather difficult to trace any causal connections between the key results areas and outcomes. In part this is because each KRA contains activities that are so diverse (see KRA3, Annex 5 for example) that it is difficult to see how they might have additive effects and synergies. Indeed, one might even question whether, under KRA3 for example, African HEI delivery capacity has been increased given the issues of the expansion of Higher Education and the quality that have arisen. While there is evidence of national bodies stepping in to address quality issues (as in Tanzania and Kenya), attribution of this to the AAU programmes is not possible. Equally, given the range of bilateral funding that case study universities have received (see Annex 3), separating AAU programme effects from these is not possible. We know that the MADEV and LEDEV (not funded by Sida) and other workshops contributing to the wider building of capacities are well regarded. However, we have little evidence on the longer term effects. Efforts have been made to assess longer term benefits of the training on participants, but following up has not been effective largely through non-response to requests. However the AAU can point to individuals who have been participants in the training and who have subsequently held senior positions in African universities and even ministerial posts.

For Outcome 2 the evidence on impacts (resulting from KRA6 and 7) are somewhat stronger and appear to be related to achievements from Outcome 3 (see below). There is evidence of improved collaboration between African and international partners (see outcome 3) and through the ACE 1 programme, the Mid Term Review of which (see footnote 7 below) offers some evidence of additional funding to address regional needs being attracted. For Outcome 3, which has been placed at the Intermediate Outcome level, and relates to AAU's improved capacity, we can make a number of observations that suggest that the AAU has significantly improved its abilities to fulfil its mission:

- It is clear that the AAU's abilities to convene, and implement relevant programmes have emerged as core functions and strengths of the organisation which are likely to have had higher level impacts; a notable and remarkable development is the PASET - RSIF programme where 5 national governments have committed US\$ 2 million each to a postgraduate fund for AAU to manage.
 - AAU has undoubtedly set a standard for the management of small grants and are at the cutting edge of an integrated data management system.
 - The recent use of the Webinar convening tool is an exciting development that has already established a reputation, and attracted outside interest.
 - AAU has been recognised by the South African Academy of Sciences as the authority of documentation through its Database of African Theses and Dissertations (DATAD) programme.
 - AAU's expertise in programme management is widely recognised, reflected in the fact that they are the implementation agency for PASET-RSIF⁹, ACE etc. AAU's role in coordinating the ACE programme is a regional one and restricted to ACE1 in West and Central Africa although it will go into a second phase. ACE2 which is focusing on Eastern and Southern Africa is being implemented through the Inter-University Council for East Africa¹⁰ (IUCEA).
 - AAU's role in facilitating and help build the ICT capacity of regional networks
2. Assess the impact/outcomes and overall level of achievements made by the Sida funded programme 2013–2017.

The same issues regarding evidence of outcome level achievements specifically from the Sida funded programme arise as discussed under EQ1. There is detailed reporting on activities and outputs (see Annex 6 for project results) in relation to the Sida supported activities, but the evidence on outcomes is at best anecdotal.

Sida has provided specific institutional and programme support. On the institutional support, we assess that Sida support has undoubtedly contributed to a strengthening of AAU's capacities at an individual, organisational and to some degree at an institutional level. The contribution of Sida funding to organisational development, particularly in the area of ICT Services, Corporate Communications and Knowledge Management, is particularly striking. AAU staff compiled a before and after comparison of the key changes that they have observed during the Sida funding period (Annex 7), which speaks to the substantial changes that have come about. Internal staff training across diverse areas has received nothing but praise. However

⁹ Partnerships for Skills for Applied Sciences, Engineering and Technology Regional Scholarship Innovation Fund

¹⁰ <http://www.universityworldnews.com/article.php?story=20170630172118277>

the Virtual Resource Centre has not been established for both financial and technical reasons although a rethinking of how it can be done is likely to produce a clearer output soon.

There is wide recognition of the AAU's convening role. Support for COREVIP will have certainly contributed to this. COREVIP meetings have been held in 2011, 2013, 2015 and 2017 on the following themes: Strengthening the Space of Higher Education in Africa, Transforming African Higher Education for Graduate Employability and Socio-Economic Development, Internationalisation of Higher Education in Africa and AAU@50: Achievements, Challenges and Prospects for Sustainable Development in Africa. Many donors with an interest in higher education also attend these meetings, and it is likely that discussions and debate there will have contributed to new initiatives and programmes although. But there appears to be little wider dissemination or communication of what is achieved by the COREVIP meetings. Outside these statutory meetings the AAU has convened other relevant meetings including the Continental Summit on Higher Education in Dakar on 'Revitalizing Higher Education for Africa's Future' in March 2015, and the Consultation on Higher Education in Dakar in November 2016, funded by the MasterCard Foundation.

In terms of programme support it is highly likely that positive outcomes have been achieved by the Academic Mobility and Small Grants component, although yet again precise details are scarce. The AAU has reported (Annex 6) that with respect to the Small Grants Programme that "many of the recipients have completed their education and gone on to become lecturers, Heads of Departments, Deans and Directors etc." and that the Staff Exchange Programme has benefited the institutions concerned, leading to collaborative research work and networking, even though these claims are not well documented. We are less clear at the outcome level of the results from the Leadership and Management, Publication and Dissemination of Research Results and University-Industry linkages components, although the documentation on activities and outputs is comprehensive.

4.2.2 Relevance

3. Assess the relevance of AAU's core programme 2013–2017 and the Sida funded programme 2013–2017 in relation to Sida's "Strategy for research cooperation and research in development cooperation 2015–2021"

Sida's (2015) strategy for research cooperation prioritises activities that contribute to results in three areas: strengthening research of high quality and of relevance to high poverty reduction and sustainable development; global, regional and national research of relevance to low-income countries and regions and the promotion of research that, through innovation, can contribute to poverty reduction and sustainable development. In sum, the strategy speaks to the instrumental value of research in contributing to key development objectives. Central to this strategy is the development of capacities for national level universities to contribute to this research agenda, although the educational role of these universities is not so clearly highlighted in the Strategy.

AAU's core programme is certainly consistent with the objectives or goals of Sida's Strategy for Research Cooperation. The two key outcomes (Figure 1) that the AAU's core programme seek to achieve are improved capacities in research and education and greater contributions to Africa's development needs. But if one pushes the notion of relevance further, the question has to be asked how useful and if so in what ways, is AAU's core programme to the Sida strategy? It has to be said that the text of Sida's strategy other than its emphasis on poverty and sustainable development is somewhat vague and gives few clues about its operationalisation and how usefulness therefore might be assessed.

If one takes the Sida bilateral programmes with the universities as exemplars of the implementation of that strategy, then we can see that at best the AAU programmes where they speak to the needs of universities for improved management systems could be useful for building university organisational capacities. These may provide synergies with the Sida bilateral programme. But the direct contribution of the AAU's programme to research quality and capacity made through the grants programme and at an individual level is relatively modest. In sum we can argue that the AAU core programme is consistent with the Sida strategy but how useful it is in that regard is less clear.

4. Assess the relevance of AAU's core programme 2013–2017 in relation to AAU's two Strategic Plans for the period. Are the selected activities the most relevant to reach the set objectives? What are the current strengths and weaknesses with the core programme? How can strengths be enhanced and weaknesses remedied?

Bearing in mind the lack of coherence of the Core Programmes with the Strategic Plans, it is somewhat difficult to argue the relevance of the Core Programmes to the Strategic Plans, although they are certainly consistent with it.

There is no doubt that the activities undertaken under KRA1 and KRA2 have been both consistent with and useful for the development of AAU's improved ability to fulfil its mission and contribute to outcomes. It is not clear that there have been major changes in the membership of AAU or their commitment (although MUNHAS in Tanzania is an example (see Annex 3) of a university that has recently joined AAU and found value in that membership). The findings from the case study universities suggest (see Annex 3), that in these cases the AAU often does not penetrate beyond the VC office in the universities and it was striking how little informants knew of the AAU, let alone its activities. The question has to be asked to what extent the AAU serves universities as institutions, rather than just the Vice Chancellors. Nevertheless, the regular COREVIP meetings have undoubtedly maintained the ability and reputation of the AAU to convene and remain an important activity.

Under Outcome 1, KRA3 contains a number of activities of the core programme. These include quality assurance support activities, academic mobility programmes, improving ICT capacity and networking leadership and management workshops and the promotion of university – industry linkages. The leadership and management

workshops are undoubtedly valued and useful by those who take them (see the report from MUNHAS, Annex 3). The role that the AAU has played in establishing and supporting Research and Education networks in relation to ICT capacity is well recognised¹¹. Less clear is the comparative advantage that the AAU holds on capacity development for quality assurance in Africa given the role of IUCEA and in promoting country level university –industry linkages. If one includes the small grants programme for PhDs and the seemingly broadening agenda of workshops addressing areas such as social media then it becomes far less clear that the AAU’s comparative advantage lies in these areas.

A similar comment might be made with respect to the activities under KRA5 on which there is little data. The AAU has mainly directed its efforts towards workshops designed to encourage universities to more effectively engage with the community and industry and in the implementation of the Small Grants Programme targeting students who require support to complete their theses or dissertations. But the consolidation of AAU’s knowledge management programme under KRA4 is a clear example of where AAU has the potential to excel and is already making a significant contribution (as reported from the University of Rwanda, see Annex 4).

Under Outcome 2 and KRA6 the activities linked to building collaborative networks and partnerships clearly again play to AAU’s strengths in convening as evidenced by the ACE 1 project with the World Bank and with PASET. Less obvious is the specific niche of the AAU in KRA7 and its ability to support national HEIs to respond to local and regional challenges (again a comment made by the University of Rwanda) and the activities under this programme.

In sum, our view is that the core programme is too broad in two dimensions. First, programmatically we would question the continuing relevance of some of the activities and in particular the small grants programme. Is this where the AAU’s comparative advantage still lies and will it be consistent with a more ambitious agenda for AAU? Second and practically, we heard persistent comments from AAU staff on multi-tasking. This was at times presented as a positive virtue and a sign of efficiency. We question whether this is necessarily so and we get the impression in a number of cases that the demands mean it is impossible to give the quality attention that core tasks require. This may be a case where doing more actually means achieving less.

¹¹ <http://www.universityworldnews.com/article.php?story=20161214142445787> ; see also “Foley, Michael. 2016. *The Role and Status of National Research and Education Networks in Africa. SABER-ICT Technical Paper Series*;. World Bank, Washington, DC. © World Bank. <https://openknowledge.worldbank.org/handle/10986/26258> License: CC BY 3.0 IGO.”

5. Assess AAU's comparative advantage compared to other actors at the continent of the activities (tools/instruments/inputs) in the core programme.

University networks in African higher education are multi-layered. Universities in Africa are affiliated to international associations such as the International Association of Universities and the Association of Commonwealth universities. These serve different sectors of global higher education communities through expertise, trends analysis, publications and portal, advisory services, policy dialogue and advocacy. Generally, the agendas of these associations go beyond the specific concerns of African universities. African universities are also affiliated to regional associations, which at the regional level have some affinity to the core functions of the AAU. These include associations such as SARUA, AWAU and ARUA. SARUA, AWAU's concerns centre on revitalizing higher education at regional level.

An increasing trend is the affiliation to academic networks in the form of partnerships or consortia. These involve organizations such as: (i) the African Economic Research Consortium (AERC), established in 1988, to build institutional capacity for the advancement of research and training to inform economic policies in Africa; (ii) the Partnership for Africa's Next Generation of Academics (PANGeA) to promote Africa's next generation of academics and professionals through a joint doctoral programme and scholarly communities under joint research supervision; (iii) Association for Strengthening Agricultural Research in Eastern and Central Africa (Periperi U), a partnership of African universities to build capabilities in disaster risk and vulnerability reduction in the twelve selected institutions of higher learning in Africa; (iv) the NEPAD Centre of Excellence in Water Sciences and Technology, Stellenbosch in partnership with seven other Southern African universities; (v) The TRECCAfrica (Transdisciplinary Training for Resource Efficiency and Climate Change Adaptation in Africa) consortium to address issues of climate change adaptation and natural resource depletion. Of importance are also research promotion agencies such as CODESRIA and OSSREA.

International associations bring in layers of different, and sometimes conflicting, agendas (devoid of what the AUC sees as any 'African character'). Regional associations allow for more focused, targeted and resource efficient policy development strategies. Academic associations are driven by specific and genuine institutional development concerns such as research output and quality, staff development or curriculum change. They maximize the sharing and use of local resources, optimize peer support and facilitate access to external support. But it is not evident that the AAU has been seen by informants to be proactive in dealing with this complexity or rethinking its position.

We do however see distinct areas where the AAU has clear comparative advantages. Being one of the older Pan-African networks on the continent, it is well placed to leverage its longevity into strategic partnerships with other regional organisations. In this regard it must be recognised that few, if any other Pan-African organisations

would be entrusted with funds by national governments as in the case with The Partnership for skills in Applied Sciences, Engineering and Technology ([PASET](#)) Regional Scholarship and Innovation Fund ([RSIF](#)). This is indicative of its ability to manage complex projects such as the first phase of the World Bank's African Centres of Excellence (ACE I) project, which operates 24 centres of excellence in science and technology fields in Central and West Africa. In 2017, the AAU was appointed coordinator for the implementation of The Higher Education Cluster of the Continental Education Strategy for Africa ([CESA](#)). The strategy is in line with the African Union 2063 Agenda and the Common African Position on the Post-2015. This speaks to the perception that the AAU is more able to operate effectively at a Pan-African and cross-border levels, while regional organisations are more subject to national and regional politics.

The AAU perceives itself as something of a 'big brother' to sub-regional networks, having directly or indirectly spawned several National Research and Education Networks (NRENs), to address the issues of cost and availability of internet connectivity to meet research and education needs. However, most of its activities focus on direct engagement with universities, and it is recognised that many Eastern and Southern African universities who value networking are willing to pay AAU to fulfil a role of convening, training and capacity building activities.

Additionally, the AAU has successfully partnered with The Working Group on Higher Education (WGHE) of the Association for the Development of Education in Africa (ADEA), to leverage Sida funding, from 2004 to 2012, to support 21 HEIs in their development of institutional HIV/AIDS policies. Under Phase 2 of Sida's support to the AAU, the policy work was widened to include Anti-Sexual Harassments components. Another such partnership was with the Association of Universities and Colleges in Canada (AUCC), now Universities Canada, in a programme entitled "Strengthening Higher Education Stakeholder Relations in Africa". It ran from 2010 – 2014 and its current iteration is the AAU University - Industry Linkages programme partially funded by Sida (graduate internship).

The ability of the AAU to convene a broad base of stakeholders is evident both from the attention paid by African HEI leadership to the bi-annual COREVIP and in other fora it has convened, such as the 2015 workshop on University-Industry Linkages that gathered champions of industry alongside university leadership. Sida funding has further enabled AAU to hold its statutory meetings and play a key role in the important 2015 [Dakar Summit](#) on the Revitalization of Higher Education in Africa, partnering with other regional players such as TrustAfrica, AUC, CODESRIA, United Nations Africa Institute for Development and Economic Planning (IDEP), ADEA, and the African Development Bank (AfDB). This convening power has also resulted in new project funding from the MasterCard Foundation.

6. Analyse and assess whether AAU's core programme address the needs and demands of the beneficiaries; institutional members of AAU (especially those in

Sweden's partner countries; University of Rwanda, University of Dar Es Salaam, Eduardo Mondlane University, Addis Ababa University and Makerere University), individual beneficiaries; MSc, MA, MPhil and PhD students, lecturers and researchers in a disaggregated manner (for men and women).

While some components such as Higher Education Leaders and managers training and mobilisation of information resources have received positive response, informants expressed a general scepticism regarding the key priorities in the AAU programme (from both the universities and the AUC). Universities see their institutional capacity concerns being addressed more effectively through their bilateral programmes and through regional capacity building networks. Their expectation is that the AAU should be focusing more at a higher level (see EQ15).

Data provided by the Secretariat is not in a form that is easy to disaggregate (see Annex 8). What we can say is that staff exchanges have taken place between African universities and, in a few instances, international and African universities. The duration of the exchange has ranged from two weeks to three months. However, we are not in a position to assess the impact of this program on either the staff or the beneficiary institution.

With regard to the Small Grants program (see Annex 8), from 2014 to 2017, the AAU awarded 164 such grants. Efforts towards inclusivity have borne fruit as there is a good split across the regions represented by the AU's membership. In the period, 90 grantees were from West Africa, split across five countries, two of which are Francophone and one, Cameroon, being mixed in terms of language affiliation. East Africa – in which we have included Mauritius with one grantee, received 52 awards spread across five countries including Ethiopia, Kenya, Tanzania and Uganda. Finally, Southern Africa had 22 recipients, unevenly spread across South Africa, Zimbabwe and Zambia

7. Evaluate the relevance and effect of capacity building for Higher Education Leaders and managers.

Capacity Building for Higher Education leaders has traditionally been offered by the AAU via the LEDEV and MADEV). Both evolved from the Senior University Management (SUMA) Workshop Series offered from 1991 to 2003. LEDEV is an AAU flagship programme, and is administered from the office of the Secretary General. The programme objective is to enable participants to manage change and introduce innovation, through a peer learning approach. There has been a continuously high demand for both the LEDEV and the MADEV since they were launched in 2008 and 2007 respectively. Both have been responsive to the changing needs of university leaders and management in terms of course content and duration. These programmes are funded by the African Capacity Building Foundation (ACBF). LEDEV targets new VCs, Council Members, decision makers and, accreditation and regulatory bodies which impact HEIs, to offer them requisite skills and exposure to a network of their peers. Originally a 10 day programme covering 7 modules, the LEDEV has

since been refined to better meet the time-constraints of university administrators. A typical LEDEV attracts 30 – 54 participants and offers 4 – 5 modules over 5 days. Modules such as Strategic Planning, Entrepreneurship, Intellectual Property Management, Technology Uptake / ICT, entrepreneurship Leadership and Governance are all specifically tailored to practice within an HEI in Africa. They are selected and ranked by the first 5 participants, to respond to the Call for Applicants, from a pool of 15 options. Each is delivered by a specialist Resource Person (RP) drawn from an AAU database of regional experts. Selected RPs are provided a template for module development which must be completed ahead of time. 4 modules are covered over 5 days.

The pool of modules is selected on the basis of popularity of past modules and gauged against others offered elsewhere, e.g. by the Galilee International Management Institute, online players and the University of Ghana which charges 1,000 pounds sterling for their 4 day course. The LEDEV registration fee is comparatively low at USD700, although there is a suggestion to reduce it to \$500. Female applicants may get either an individual fee concession or, if an institution sends a team of 4 women, all fees will be waived. LEDEV PLUS – a full-fee option, has been offered twice -but potential participants still requested concessions. ACBF funding covers honoraria and costs for resource persons.

As well as seeking gender balance, the LEDEV also strives to ensure regional balance by rotating the venues across the region (except for North Africa, which is not funded by ACBF). Some insights offered included the reluctance of Francophone partners to pay for a service which they perceive to be the purview of their Ministries of Education. Although participants are requested to write back and share one innovation they have introduced as a result of the LEDEV at the time of registration, at the end of the course and 6 months later, feedback is rarely forthcoming.

AAU staff thought that LEDEV might work better at the institutional level. Although participants would miss out on experiential learning from different institutions, measuring impact through an effective M&E framework could be easier. An additional benefit might be the creation of a team / cohort that could together develop practical steps and then implement what had been learned – rather than a lone individual who returns and gets overtaken by other priorities. In conjunction with Stellenbosch University (South Africa), AAU also offers a University Advancement workshop, targeting a similar audience. This is a fee-paying initiative which started in 2013. The synergy between the LEDEV and the University Advancement workshops is not obvious. Monitoring the medium or long-term impact of any of the above has proved challenging as the Secretariat does not have adequate resources to follow up.

AAU launched the University Industry Linkages Workshop Series in 2015 in response to a need expressed by their membership for greater support from industry in regard to resource mobilisation, and by industry for graduates better equipped for the world of work. The idea is that industry champions are able to mentor faculty and students are able to acquire work-place exposure prior to graduation. This initiative

has been implemented with Sida funding and anecdotal evidence suggests that it has been well supported by both the HEIs and industry.

Finally, the MADEV was launched in 2003. About 7 workshops have been run which now have 3 – 4 modules over 4 days, e.g. Total Quality Management, Managing Universities in Africa and Financial Management. In response both to HEI concerns about student employability, the Secretariat introduced new content such as Monitoring and Evaluation, entrepreneurship, University - Community engagement and, most recently, the use of social media to disseminate research and as a teaching tool. MADEV is thematic in keeping with the Strategic Plan and also in response to participant needs. Resource persons are selected in accordance with ACBF procurement norms. The target audience comprises universities, research institutes, and, non-members who can cover their own costs. Female participants from AAU institutions in good standing receive a waiver of registration fee or part payment of travel costs. MADEV evaluation includes an end of workshop evaluation, a daily session evaluation and an informal post-workshop email asking what could be done better. Whilst the new on-line evaluation processes has encountered some resistance, they have captured some pertinent information, e.g. a positive evaluation of RPs, suggestions of future issues to be addressed and updated participant data.

With respect to LEDEV, Secretariat staff have a good sense of how its impact could be improved. It was noted, however, that the absence of Sida support in this area has negatively impacted the Secretariat's ability to focus on M&E in project implementation, despite having clearly defined indicators and activities to this end. ACBF requires counterpart funding and where this is not available the activity does not happen.

Leadership and management development remains one of the most significant issues facing all universities in the continent. While well-established universities may have fewer problems in this regard, newer universities such as MUNHAS in Tanzania see this as a critical issue. Although the University of Rwanda is a member of ARUA, it was only established in 2015 out of a merger of several other institutions of higher learning. This merger was reported to have created substantial leadership and management development challenges. Addis Ababa University is also facing similar issues, particularly given its considerable growth and an almost endemic gender inequality at the management level. According to the evidence gathered during our site visits the need for capacity development at the levels of leadership and management in institutional advancement remains strong. But the provision of suitable training is perceived as a major gap.

What emerged from interviews however as a major challenge and a neglected area was a need for a pedagogy/mode of delivery suited to the diversity and profiles of university leaders and managers as adult learners. They have a rich experience and in many cases considerable experiential knowledge about the fields where they operate. What is being offered by the AAU in this regard is not seen by some as an appropriate solution. In one case training workshops were described as being delivered in a 'shock treatment mode', i.e. delivery without follow up, and this has

proved ineffective. The following account from Rwanda case study is quite revealing:

... workshops have no significant value, particularly when there is no follow up. Workshops do not necessarily change behaviour and practice, which amounts to a waste of money, it was argued. They do not constitute a sustainable strategy. It is too costly to send staff for workshops due to budgetary constraints.

The informant's view was that this problem could be better tackled through joint planning with a sense of ownership from the beneficiary universities to ensure that the activities are directed at the specific challenges confronted by the participants.

4.2.3 Efficiency

8. Assess the quality of the training and learning components in the Sida funded programme

Two types of training have been offered through Sida funding: training targeting AAU's constituents; and training to strengthen the capacity of Secretariat staff to better support the AAU mandate. Whilst the evaluators are not in a position to directly assess the quality of either for lack of follow up of the effects of training, we note the high demand for the former, amongst AAU constituents, suggests that these capacity development efforts are widely seen to have been beneficial. This view is reflected in the feedback gathered from workshop evaluation forms issued either at the end of each session or at the end of each workshop. Internally, staff at the Secretariat have benefited from the following:

- Language training (French and English)
- Project Management
- Change Management - 2015
- Performance Management – 2016
- Conflict Management
- Use of Project Management software to manage projects
- Oracle Platform Management (for use of accounting software package Quick-books)

Discussions with staff suggest that the quality of facilitation has been exemplary and the exposure to new and more effective ways of achieving operational tasks has enhanced the working environment at the Secretariat. Institutionalisation of some of these initiatives may be hampered by the institutional culture of multi-tasking referred to elsewhere in this report. There is an expectation that all senior Secretariat staff will run an external workshop each month. Topics range from *University Advancement - Role of Vice Chancellors in the 21st Century*, to Social Media. These workshops are held across the continent and include the delivery of LEDEV, MADEV and the Africa Centres of Excellence Workshops delivered as part of the Project Steering Committee Meetings (annex 9).

9. Describe to what extent donor coordination has been implemented/improved at AAU, and if funding partners' complementarity and/or programme overlap has

been considered by AAU (being a basis for strategic planning/decision-making).

Donor coordination has two dimensions. The first is in relation to the AAU coordinating its own donors, the second is the AAU coordinating with others donors in its programme delivery to universities. On the former, we understand that AAU's practice has been to invite donors to the COREVIP meetings to make them aware of and stimulate interest in the AAU agenda. We have limited evidence that these have directly led to funding although the COREVIP meetings have undoubtedly been used to promote activities. Less clear is the extent to which there have been formal donor coordination mechanisms and there appear more to be bilateral relations between AAU and individual donors. In part this reflects the fact that certain donors prefer to act more bilaterally. This would appear also to reflect AAU's positioning in relation to donors, placing itself more as a recipient rather than as a partner.

On the coordination with universities, two scenarios can be identified at the university level where a multiplicity of sources of funding can lead to competition or unnecessary duplication. The first is the case of Rwanda (UR). Donor coordination in Rwanda is exemplary at national level, where the Minister chairs a donor coordination forum on a regular basis. While no formal structure exists at the university level, the national code of practice is strictly followed to ensure transparency and accountability. There are plans to replicate a donor coordination forum at UR with all its partners to create coordination and synergies across funding priorities and their respective programmes. The second is the case of Addis Ababa University where donor coordination is done at institutional level through a dedicated fund-raising structure, the Grants Coordination Office, which reports to the Vice President – Research. It has the advantage of tying donors to programme coordination to maximize the distribution and utilisation of resources, although it is not clear how effective this is. It also promotes greater transparency, accountability and academic integrity.

In both cases, it was reported that the AAU support does not feature in institutional donor, grants or programme coordination arrangements. Given the multiplicity of capacity building activities undertaken by the universities, there is a need for better synchronisation of these with the AAU support. If this was done, the AAU support could have far reaching outcomes and impact.

10. Assess AAUs procedures for advertising the grants programmes and the procedures for calls, is for example affirmative action used in an appropriate way to target under-represented gender, regions, countries and language groups?

Universities get to know about AAU's activities via formal invitations, newsletters and the AAU website for those who visit it. Informants indicated that no formal communication structures exist to coordinate the flow of information between the AAU and the universities beyond the COREVIP arrangements in the offices of the Vice-Chancellors.

But the demand for small grants have always been overwhelming. Calls used to be made on the website, sent by email to the Listserve and responses received by email.

Processing made use of some electronic tools such as Google Drive and Excel, but was primarily manual and extremely time-consuming. In the last year the process has benefitted from the introduction both *Data Brain*, the AAU's institution-wide management information system comprising a centralised database, including subscriptions and invoicing, and an Online Management System that facilitates more accurate and speedy processing of applications. These management tools form part of the new internal communications system and allow for online applications, disaggregation of data relevant to administrators or to reviewers and, since 2016, online in-house review of compliance to institutional requirements such as gender and regional balance.

There is a strong focus on quality in post-graduate research. Proposals meeting pre-defined quality criteria are first vetted for regional balance. Usually most applications / and most that meet the quality criteria are from West Africa and Nigeria in particular.

In response to complaints about a perceived regional bias, the Secretariat also then prioritised East, South and Central Africa. Where a male and female candidate who meet the quality and regional standards achieve the same score, priority is given to the female candidate. Additionally, the automated system, can now ensure topic alignment with Sida themes / areas of focus since 2016. Chronic understaffing at the Secretariat has impacted its ability to serve its Francophone constituents as it struggles both to put out a Call in French and secondly, to find French-speaking reviewers.

11. Assess how AAU follow-up on grantees and participants performance. How is feedback from participants and beneficiaries taken care of by the AAU?

The demand for places on AAU programmes has always exceeded the number of places. Until the introduction of the centralised data base in 2015, the processing was manual and it was almost impossible to generate participant feedback. As noted above, both under the LEDEV and the MADEV participant feedback has always been sought. The ability to build on the information generation has been hampered by the pressure on staff to continuously deliver projects and workshops, with seemingly little time officially set aside for reflection. There has been some reluctance by participants and beneficiaries to use the new online application systems but this may be indicative of normal teething problems associated with innovation.

In 2013, as part of its efforts to directly support students, first with funding from Sida, and later counterpart funding from the ACBF, the AAU piloted a Graduate Internship Programme (GIP) aimed at preparing students for the world of work. A tracer study on the progress made by interns after they completed the programme was conducted. Graduate feedback was disseminated via the AAU website. As greater functionality continues to be built into the new online system, lessons learned from this process may be integrated.

4.2.4 Effectiveness

12. Assess the effectiveness of the governance structures (board, members and strategic plan) as governing (evaluation, planning and decision-making) of AAU and

the secretariat as implementing the programmes.

The governance structure of the AAU has five tiers. At the highest level is the General Conference which is held once every four years. It is made up of representatives of member institutions, associate members and observers and is responsible for determining the general policies of the Association and elects the governing board and its members. At the second tier is the Conference of Rectors, Vice Chancellors and Presidents (COREVIP) which is a permanent organ of the AAU. It meets every two years and is responsible for debating and promoting inter-university co-operation. It is made up of the Executive Heads of member and associate member institutions. The third tier is the Governing Board which meets annually. Its membership includes the President of the Association, three Vice-Presidents, 11 other executive heads of member institutions elected at the General Conference to represent the five sub-regions of Africa and the Secretary-General. The Board has oversight for the implementation of the decisions of the General Conference. A sub-committee or Executive Committee of the Board is the fourth tier made up of five members of the board (the President of the Board, the three Vice Presidents and the Secretary-General) is meant to meet more regularly within the year. Finally, there is the Secretariat which is the Permanent Executive Organ of the Association and operates under the supervision of the Governing Board and the direction of the Secretary-General.

The President of the Association is elected for a fixed one term (four years) post and it is stipulated that the President and Secretary General should not come from the same country. The Secretary General is also appointed for a four-year term but with the option to renew for a further term. All senior staff within the Secretariat are also on fixed term contracts of four years with the possibility of a renewal for a further term. The record¹² shows that the top tiers – The General Conference, COREVIP and the Board – have met at the stipulated times although the Executive Committee did not appear to meet at all in 2016 and had not met so far in 2017. What is less clear, and difficult to assess given the available information is how effective the Governing Board and the Executive Committee actually are and how well the governance structure works. It is understood that the AAU went through a difficult time in the past which brought the Association to a low point but to what extent that reflected governance or individual issues is unknown.

Two observations might be made about the membership of the Governing Board and the staffing of the Secretariat. It is unknown what the past membership of the Board was but it would appear that at present it is almost entirely made up of men. The Secretariat has just one women in a senior position as the Head of Knowledge and

¹² Presentation by Professor Mba to the Review Team, October 30th 2017.

Communication and this is the first woman to be appointed to a senior position in the Secretariat. For an Association that seeks to promote gender and equity in higher education¹³ this seems a striking inequity. The second observation is that the Board membership is drawn entirely from senior university management. Given the issues around the coherence of the Strategic Plans and Core Programme coherence, which are approved by the higher-level governance structures, one might question whether the time or skills to carefully scrutinise the programmes and their impacts are covered in the board representation.

No evidence was found or reported from the field of poor programme implementation but issues of internal communication within AAU (see EQ13) and coordination with other actors at national institutional levels might question how effective governance practices are.

13. Analyse if management at the secretariat and effectiveness of the AAU staff have improved by the institutional support provided by Sida.

Sida has been providing support to develop the individual, organisational and institutional capacities of the AAU not only for programme period 2013-2017 but also for the preceding period. We have however no baseline against which changes in effectiveness of the management and operational practices of the AAU can be assessed. During the 2013-2017 period training activities under staff development included project management, leadership skills, performance management, conflict resolution as well as French language training, and meetings for Strategic Plan and Business Plan development. The reporting shows that these activities were implemented and found to be useful (or even valuable in terms of the recent conflict resolution training), but there is no documentation of the changes that these training activities actually led to in terms of performance.

From discussions and observations we believe there is evidence in specific areas of positive change. Many spoke of the value of the language training, for example, since many of the staff were not from French speaking Africa. They spoke of increased confidence in being able to deal with their French speaking constituency. We were particularly struck by the effect of the mobilisation of integrated IT systems in the AAU, which has made, for example, the processing of grant applications through on line systems extremely transparent, efficient and effective. The transformations that have been made in the communication and knowledge management systems and discussed earlier (see Annex 7) point to some very significant and positive change.

¹³ Objective 8 of the purpose of the Association, Article 2 in the Constitution

But there are also areas where progress has been more limited. Despite meetings to work on the Strategic Plan and develop it, the Strategic Plan does not yet have a robust structure or ambition that helps frame the long-term vision of the AAU and the contribution of its programmes. The attempt to develop a business plan also revealed a need for further competencies and guidance to take it forward. The comment that “the issue was discussed over and over again. We even started its development. But we could not continue because (we were not clear) of what constitutes a business plan as opposed to a strategic plan” is revealing.

We have one final observation and it is an impressionistic one, gleaned from small comments and observations that surfaced in interviews. We question whether the Secretariat’s institutional culture supports the necessary space for debate and robust discussion that a small organisation with AAU’s mandate needs. We have been struck by the quality of staff and the exciting ideas that they have offered in discussion. We are less clear regarding the extent to which these ideas get the space and currency that they deserve. We have the impression that there is a degree of compartmentalisation or creation of siloes between the departments, and as a result ideas and debate do not flow easily. We may be wrong but this has a direct bearing on the Secretariat’s effectiveness.

14. Assess cost effectiveness of the Sida funded programme. 1) In relation to the core programme, with particular reference to synergies between the activities and if the activities add value to one and another. 2) With particular reference to procurement of goods and consultancy services for training activities. How can AAU improve performance? What other alternative forms of cooperation could Sida consider to achieve the expected results, including cooperation with other partners?

In the time available it has not been possible to undertake any form of audit on costs and procurement procedures. Such an exercise requires specialist skills in tracking finances, procurement processes and an audit of financial procedures. The assessment that can be offered therefore is to a degree impressionistic and relatively superficial, and drawn from discussions and some documentation.

There is nothing to suggest that there are major issues of poor cost effectiveness in relation to value for money of particular activities. Many activities are cost shared with recipients and there is already a move towards charging for certain courses. The most expensive event (and funded by Sida), the biennial COREVIP costs AAU in the region of USD500,000 each time, with the balance covered by the institution hosting the event. The attendees, who number in their hundreds, pay their own costs and the major costs are incurred for financing the key speakers at the conference and the attendance by the Secretariat. It should be noted that internal flight cost in Africa are particularly high. However, and as observed earlier, the spread of the AAU programme activities across diverse areas raise questions of coherence, focus and depth. Activities such as the small grants programme, for example, have high transaction costs in the processing of applications and the awarding of grants and their subsequent tracking. This activity has no obvious spillovers/ synergies with other parts of the AAU programme portfolio and is something of a stand-alone

activity. There are plans to increase the number of workshops being run in part to generate revenue (see Annex 9). This may speak to an income agenda but not necessarily coherence and focus in the programme and will have consequences for staff time. In sum there are concerns that the programme is not as tight and focussed as it could be, and that this has consequences for building synergies between activities. There are clear and defined procedures for all procurement processes and while it was not possible to explore these in detail no obvious inefficiencies were identified.

What alternative forms of cooperation could Sida consider in order to support the AAU achieve its goals and could cooperation with other partners be a route to follow? During the 2012-17 programme period Sida has been a relatively important funder contributing in 2014-15 some 25% of donor funding and about 17% of total AAU income. Other partners, such as the World Bank for example, have funded very specific projects and have been less focused on AAU as an institution. It is not clear therefore that if Sida's interests lie in the institutional development of the AU that partnering with other donors would be an effective alternative.

15. Assess AAU's outreach capacity, in terms of communication of publications, setting the agenda and raising priority areas on the Higher Education agenda in Africa

The AAU generates several publications. These include inter alia commissioned studies, policy briefs, a regular AAU periodical and newsletters. These publications are circulated to university authorities. Unfortunately, when circulated, these publications, according to informants are almost exclusively confined to the liaison person in the Office of the Vice-Chancellor. Studies are very often presented at COREVIP meetings with member universities. No mechanisms exist to ensure that these publications reach a wider audience within the university communities. The AAU website is not very effective in disseminating these. Ironically, publications, which should be foregrounded in the AAU, are not easily accessible via the website. At the University level it was found that there is limited knowledge about publications produced by the AAU. Some universities are of the opinion that the AAU could make greater impact by producing and disseminating high level studies about core and common challenges facing African universities, cross-country patterns and trends analysis, emerging perspectives and developments in leadership, management and governance of universities in Africa, etc. This sentiment was well articulated by one senior administrator who indicated that the AAU is seen as a platform for knowledge sharing where best practices are disseminated not just as experience but also in the form of codified knowledge amongst member universities.

"The AAU has the comparative advantage of being a continental organization and the observatory of the African experience [emphasis added]. It should explore the wealth of knowledge of this experience - on how universities in Africa have been developed and transformed - synthesize and share it with the universities. It could bring experienced actors such as retired Vice-Chancellors for the task. This is more than to

bring Vice-Chancellors to speak at COREVIP meetings. Are they doing it? If so, we have not seen it”.

4.2.5 Sustainability

16. Assess the sustainability and ownership of the Sida funded programme. Analyse preliminary indications of the degree to which the Sida funded programme results are likely to be sustainable beyond the project’s lifetime and provide recommendations for strengthening sustainability.

Sida funding has supported both the institutional development of AAU and specific components of its programme. The institutional support has been provided through three rather diverse elements. The first is COREVIP which is a central part of AAU’s governance structure and central to the AAU’s convening role. There can be no question of its centrality to AAU’s identity as an organisation and its commitment, so ownership is clearly not an issue. On the other hand, Sida’s funding of COREVIP has been central to its continuing role and there is as yet no evidence of the full costs being borne by a core budget that the AAU generates. This is a challenge for the future.

As noted above, the Virtual Resource Centre has so far not been established, although it will be in place in the near future, albeit in a different form than originally envisaged. This is because subscriptions to higher education e-sources proved to be greater than the budget provided by the Sida funding. AAU has persisted in finding a way to get it working showing AAU’s commitment to its creation and, once it is in operation, maintenance costs are likely to be low. The internal systems within AAU that Sida has contributed to, and staff training are elements of this, and have clearly become central to AAU operations. Ownership is again not in question, and the capacities are there to maintain and develop them.

On the programmatic side, the specific components that Sida has funded are all seen as central to AAU’s programme structure and some have a long history within it. Other functions, e.g. the University-Industry linkages project, are more peripheral. They are all well regarded and AAU and some external observers see them as central to AAU’s identity. In contrast note should be made of the emerging ICT and DATAD activities which are going from strength to strength and in which the AAU is becoming a leader in the field and central to its expertise. The longer-term issues of funding and paying for the upkeep of the websites and databases do raise questions of financial sustainability.

There is however a bigger issue of ownership. We gained an impression that the AAU sees the Sida funded component as a discrete Sida funded project rather than as an element of its core programme and managed to contribute to its overall direction. This was reflected in the discussion over the scope of the evaluation at the inception phase. We also sense that the AAU has engaged with Sida more in a traditional funder – beneficiary mode rather than in an equal partnership. We are not clear why but we think there are issues here both for the AAU and Sida to address. But in our view we think that the AAU has never claimed the full ownership and authority over the project that it could have done.

17. Discuss possible consequences for the core programme in case Sida would withdraw from supporting AAU.

Sida has the reputation of being a quality funder. This quality comes not so much from the level of its funding, but from the fact that it provides funding that is not particularly tied to specific project outputs that it, as a donor, has determined. Thus, the AAU has not been a project implementation agency for Sida, as it has been in the case of the World Bank and the ACE project. Rather Sida sees its role as contributing to broader processes in which it believes, and its funding to the AAU has reflected a commitment to the value of higher education in Africa and AAU's contribution to that. It is not clear that this understanding has been fully institutionalised within the AAU. The loss of funding to AAU were Sida to withdraw would have consequences, but we do not think it would be disastrous in itself and lead in the short or perhaps even medium term to a terminal decline in the AAU. But if Sida were to withdraw there would be wider reputational effects for the AAU from the loss of a high quality funder and this would send a wider message about the AAU. So we consider that if Sida were to withdraw at this stage it would be detrimental of the AAU.

18. Assess the implementation of a gender equality approach and transparency, accountability and anti-corruption approaches in the programme. This should include an assessment of institutional codes of ethics that articulate promotion of academic integrity and prevent academic dishonesty and unethical behaviour in the academic community.

There are three levels at which ethical issues, gender equality and operating standards can be considered. The first is at the Secretariat, the second is in the AAU programme and the third is within the academic community with which the AAU engages. AAU's greatest influence is a reputational one generated from the way that the AAU itself is seen to operate both in its internal standards and in the implementation of its programmes. Its influence is least in the operational practices of African universities and while many of Africa's leading universities have robust measure in place to address these issues, there are others that do not. There is little that the AAU can do about that directly.

Within the AAU Secretariat itself there is no reason to doubt that the highest ethical standards are observed in its internal operations. Appointments are merit based, fixed term and the governance structures ensure that this is the case. Transparent procedures are in place over tendering.

But there has been no female General Secretary and only two years ago was the first woman appointed at a Director level. The contrast the very visible presence of women at a senior level of university management in African Universities is striking. In terms of its programmes, and notably in the Small Grants Programmes, as noted earlier the procedures are exemplary and transparent. That said we have not found any formal codes of ethics either internally or on the AAU website were in comparison for example with many of the leading African universities¹⁴

¹⁴ See for example Addis Ababa University <http://www.aau.edu.et/offices/president-offices/ethics-office/downloadable-documents/>

5 Conclusions

The AAU can be seen to have three roles: that of convening, setting the intellectual agenda and project implementation. There is no doubt that a key strength of the AAU is its convening role and it is widely recognised for that. This in part is reflected in the projects that it has been entrusted with, notably that of the World Bank ACE project and PASET-RSIF. The AAU also implements various projects and activities in its own right such as the leadership and management activities and the administration of the small grants programmes. All these activities have given the AAU a certain recognition and it is valued for what it does and it does this well. In terms of building its internal capacities, it has made strong progress and has developed some very clear expertise in its knowledge, ICT and communication activities. But what is striking about the AAU programme is the degree of continuity in its activities and the absence of change. This stands in strong contrast to major shifts that are taking place in higher education that are leading to a much more diversified and differentiated university landscape in Africa. On the one hand we see the programmes driving centres of excellence, in which the AAU is a player but not a leader, new regional networks in which the AAU has not engaged and an expansion in poor quality private universities where AAU appears to have no position.

The AAU sees itself as the leading organisation for higher education in Africa but it is far from clear what it is leading on and for whom and whether that is how others see it? While there are certainly those younger universities that value the specific courses that the AAU offers and the opportunity to meet other Vice Chancellors in the COREVIP meetings there are others for whom the AAU is not really on their radar. It suggests that the AAU is not as visible and present as it could and should be. The AAU, for example, was not leading on the emerging approaches to creating centres of excellence as reflected in the ACE project or the establishment of the ARUA network. Rather it has become an implementer of one of the regional ACE projects, which in the eyes of one Deputy Vice Chancellor positions it more as a regional rather than a Pan-African organisation. We do not therefore see the AAU as currently leading on the intellectual agenda for higher education in Africa, although it is undoubtedly a player. Why is it that the AAU does not appear to have the authority and recognition that would give it the weight to make it a leader?

In part we feel it is because the AAU has stuck too closely to its role as a convenor rather than as an advocate. After all, a convenor's primary responsibility is to serve as the organiser and administrator of the collaboration and provide a platform for the process. We think the AAU needs to think much more of itself as an advocacy organisation and a champion for Africa of higher education rather than simply a convenor. It should through its work provide a strong platform through which members universities can demonstrate the value of their work to other in the African academic com-

munity as well as to a wider audience outside Africa. We are not convinced that the COREVIP fully does this. We are struck by the invisibility of the deliberations of COREVIP meetings to the wider education community public and the absence of effective communication activities on the AAU website although this has been improving and a short piece on the last COREVIP is now on the AAU blog.

The AAU should also, through analysis and review, be adding to the body of evidence on lessons being learnt through various initiatives and investments in higher education in Africa and leading on the critical agenda. It needs to be the key learning organisation on higher education in Africa, sharing knowledge, lessons learnt and effective practices. Its new collaboration with Education Sub-Saharan Africa (ESSA) and the Population Reference Bureau (PRB) on the demography of African faculty will help build a higher education database that will underpin an Annual State of Higher Education in Africa by the AAU. This speaks to a new intellectual ambition that should be encouraged. This would provide the basis for a strong analytical assessment on key education themes written by commissioned experts drawing on the data that the AAU should be gradually building up. This could be seen as a flagship publication for the AAU that helps establish its position.

What does this mean for the AAU's current core programme? We have struggled to find coherence and synergies within it. There are too many results areas and most cannot be assessed because there is no systematic data on outcomes and impacts and the AAU clearly needs to improve its M&E systems. Activities within result areas are too spread out. We think that the AAU is undertaking activities and projects where it now has no comparative advantage and the effect is to dilute what could be distinctive about the AAU. A theme that runs through this evaluation is that while existing programmes may be seen as central to what the AAU is, there is the danger that they keep AAU locked in a role that might have made sense in the past but may not necessarily be appropriate to now or the future. These are fiercely defended by the AAU and one can understand why and recognise the contribution that they make to keeping AAU connected to universities. But we do not believe, for example, that it should still be funding PhD grants where it is a small player in the overall scheme of things. If it can clearly identify a niche that is not being addressed by existing grant programmes this would provide a signature grant programme. Equally, and as identified by the Secretary General, universities in countries undergoing conflict and insecurity have very special needs: mounting a programme to address this group of universities would be distinctive and unique. It will of course be a challenge to balance the convening, advocacy, intellectual agenda setting and project implementation roles and we recognise that all these elements are needed to maintain and build for AAU's authority and recognition.

The AAU cannot afford to ignore the role of other organizations and networks in the development of regional and institutional capacity. Given its wide acceptance, we wonder why, for example, Regional University Associations do not appear to be the planned home for the proposed AAU regional offices. A careful review and perhaps an overhaul of current AAU programme and intervention strategies are needed. We

see distinct areas where it is far from clear that AAU does have comparative advantages. More visibility and presence are needed in the way the AAU advertises its events and disseminates its information suggesting a complete rethink of a communication strategy.

We think there is a future and important role for the AAU, albeit something rather different from what it is doing now. This is not an invitation for Sida to consider funding as before. Rather it is a recommendation that Sida recalibrates its relationship with the AAU and tune its funding to help the AAU move towards institutional maturity, and thus build on the investments and achievements it has made already.

We consider that Sida could play an invaluable role in helping AAU to develop its strategic agenda (for beyond 2020) by supporting a mentoring process that allows the AAU to develop a new strategic agenda with a corresponding theory of change along with a financial strategy that moves AAU beyond its current donor model. This financial strategy could have elements of both an endowment fund and a trust fund for the pooling of donor contributions. Moreover given the aim of the AAU to speak to the role of higher education in meeting broader societal needs, is it not time that those broader social needs are represented in the senior governance structures of the AAU?

Over the past few years, the AAU Secretariat has consolidated its position, stabilised its financial affairs, built the capacity of its staff to better deliver on AUU's mandate and relocated to improved premises (a marker of the esteem in which they are held by the Government of Ghana). Now is the time to rethink its strategy and position and begin to co-ordinate donor inputs to complement a higher order strategic direction.

In sum, we think that the AAU needs to rethink, simplify and refocus its programme, increase its ambitions, build on its strengths and clearly identify where it provides added value in the higher education field in Africa.

6 Lessons learnt and recommendations

We would reiterate that many of the lessons that we have drawn in doing this review reflect discussions that we held during the review. We see the progress that has been made in the ICT and knowledge management, for example, as offering a clear indicator of the potential that the AAU has and the directions in which it could go. We see the need for a guided change management process that would over the few years lay the ground for a completely rethought Strategy and Programme structure beyond 2021 with a view to clearly repositioning the AAU. We recognize that this would have to be negotiated within the governance structures of the AAU. But we do not consider continuing business as usual as an option, or in AAU's best interests, whereas we certainly see a role for continuing support by Sida. But this should be contingent on a more active partnership between the AAU and Sida. Sida could support a change management process over the next two years that would help AAU reposition itself and its programme structure.

Key findings and Recommendations

	Key Findings	Recommendations to AAU
1	The AAU's programme is characterised more by continuity than change in a context where the university landscape is becoming increasingly differentiated. AAU's programme is not particularly distinctive and in certain areas it has no competitive advantage. While the AAU is effective as a convenor it has not been so visible as an advocate for higher education. This requires actions in a number of areas:	<i>Rethink the level of ambition:</i> the convening authority of the AAU is widely recognised across its constituency and amongst the donor community. Its ability to operate at a Pan African level and command the attention of organisations such as the AUC is uncommon. It is uniquely placed to drive an innovative higher education agenda for Africa and more effectively contribute to its mandate, e.g. through the development of a seminal annual publication on the state of HE in Africa, including analysis of trends and key issues.
2	<i>Publicity, visibility and advocacy.</i> Programme implementation at university level suffers from inadequate publicity and communication mechanisms, leaving the university communities with a general lack of awareness of the opportunities offered by the AAU. The AAU has not been able to assert its presence and visibility.	<i>Rethink communication, publicity, visibility and advocacy strategies.</i> This should entail a review of the structural communication arrangements between the AAU and member universities, a logical next step to the bolstering of an internal communication strategy at the Secretariat.
3	<i>Ownership and relevance.</i> Regional delivery represents not only an economic mode of delivery in the current context of austerity but also offers an opportunity for stimulating inter-institutional and regional knowledge	<i>Consider joint planning with participating institutions to ensure ownership and enhance relevance.</i> Greater coordination is needed with its partners. This would optimize the distribution and use of resources, create synergies with parallel institutional

	and experience sharing. However, it appears that it has not always taken into account the specificities of participating institutions.	programmes and maximize the impact of AAU's activities.
4	<i>Emergence of new players.</i> The emergence of regional associations, research networks, research-training consortia, including the WB centres of excellence is repositioning current forms of national and regional collaboration with profound implications for AAU's engagement with universities.	<i>Redefine the forms of engagement at regional level.</i> Regional associations, research networks and research-training consortia have established themselves as important partners for universities. The AAU needs to find effective ways of engaging with these organisations and find its niche within them.
5	<i>Modes of delivery.</i> The training programmes not as effective as they could be and their mode of delivery reduces impact	<i>Improve delivery and pedagogy strategies.</i> Space should be given to allow lessons learnt from running the training programmes to be applied to their continuing development.
6	<i>Prioritization and synergy.</i> There are parallel programmes that interface with the AAU capacity building agenda and the value of AAU's contribution is unclear and does not appear to be catalytic or have multiplier effects	<i>Re-prioritize and synergize the programme with reference to related institutional activities.</i> An area identified as a priority, for example, is the role of the AAU as a platform for cutting edge knowledge sharing where best practices are disseminated, not just as experience but also as codified knowledge for use by member universities.
8	The diversity and scope of the programme is too great for current staffing levels causing an over-load of multi-tasking and a lack of reflection and learning in the programmes.	<i>Focus:</i> The breadth of programmes given current staffing needs to be reduced to allow for focus and deeper learning processes in programme implementation.
9	There are no systematic M&E processes in place that focus on higher level learning at the outcome and impact level. This is in part caused by a muddled Strategy and Programme structure.	<i>M&E in relation to current strategy:</i> There is a need to develop for the 2017 Strategy a fully elaborated Theory of Change; this will provide the basis for identifying the key monitoring and evaluation activities that need to be undertaken by the overall programme linked to an operational plan.
		Recommendations to Sida
1	Sida has not engaged sufficiently as a partner with the AAU, contributing to the persistence of a donor-beneficiary relationship.	Sida needs to engage more in the partnership and support AAU to undergo a mentored process of change over the remaining period of the current strategic plan.
2	Sida should not continue to fund AAU on the current basis, although its funding has made a strong contribution to AAU overall capacities. Change processes are needed at the AAU and Sida is in a strong position to provide that support.	Sida should continue to support the AAU through a change management process that should lead to a different level of ambition and a strategy and work-plan that truly reflects the contribution that AAU could make as an apex Pan-African institution.

Annexes

ANNEX 1: TERMS OF REFERENCE

1. Background

AAU, Association of African Universities, is a regional Pan-African independent organisation, its vision is to be the leading advocate for higher education in Africa, with the capacity to provide support for its member institutions in meeting national, continental and global needs. AAU's mission, as phrased in its Strategic Plan 2016–2020 is “to enhance the quality and relevance of higher education in Africa and strengthen its contribution to Africa's development”.

Sida has supported AAU since 1993 and the current agreement covers the period 2013–2017 with the total amount of 16,5 MSEK. The agreement is coming to an end 31st December 2017. Sida's support to AAU is divided into two components: the first component is institutional support to a) AAU General Conference and Conference of Vice Chancellors, Rectors and Presidents (COREVIP), b) AAU Virtual Resource Centre and c) AAU staff training. The second component is program support for African Higher Education Institutions which includes a) Leadership and Management Development, b) Publication and Dissemination of Research Results, c) Academic Mobility (Staff Exchange and Small Grants), e) ICTs and DATAD and f) University-Industry Linkages. A number of other donors support the core programme, i.e. The World Bank, African Capacity Building Foundation, ECOWAS.

2. Evaluation Purpose

The purpose of the evaluation is to analyse, assess, generate knowledge and provide lessons from the Sida funded research cooperation support to AAU during the period 2013–2017. The Sida funded program shall be assessed in relation to Sida's Strategy for research cooperation and research in development cooperation 2015–2021 and in relation to AAU's Strategic Plan 2011–2015, AAU Strategic Plan 2016–2020, as well as in relation to the programs and projects funded by other donors in the core program 2013–2017.

The direct intended users of this evaluation are AAU and Sida. The evaluation of the implementation and results of the Sida funded program will provide AAU with recommendations on how to improve performance. For Sida the evaluation will provide a basis for the future decision on support. The analysis and assessment of the Sida funded program is expected to generate answers on three general concerns of relevance for Sida's decision: 1) The relevance of AAU's core program in relation to Sida's “Strategy for research cooperation and research in development cooperation 2015–2021”. 2) AAU's capacity to implement activities of high quality and generate expected results, 3) the demand for AAU's service and activities, its visibility and status as leading advocate for higher education in Africa. In addition, this evaluation will be important for all collaborating partners in the ongoing and future collaboration with AAU.

3. Evaluation Questions

Impact

1. Assess the impact/outcomes and overall level of achievements made by the core program 2013–2017 from the view point of the Strategic plans.
2. Assess the impact/outcomes and overall level of achievements made by the Sida funded program 2013–2017.

Relevance

3. Assess the relevance of AAU's core program 2013–2017 and the Sida funded program 2013–2017 in relation to Sida's "Strategy for research cooperation and research in development co-operation 2015–2021".
4. Assess the relevance of AAU's core program 2013–2017 in relation to AAU's two Strategic Plans for the period. Are the selected activities the most relevant to reach the set objectives? What are the current strengths and weaknesses with the core program? How can strengths be enhanced and weaknesses remedied?
5. Assess AAU's comparative advantage compared to other actors at the continent of the activities (tools/instruments/inputs) in the core programme.
6. Analyse and assess whether AAU's core program address the needs and demands of the beneficiaries; institutional members of AAU (especially those in Sweden's partner countries; University of Rwanda, University of Dar Es Salaam, Eduardo Mondlane University, Addis Abeba University and Makerere University), individual beneficiaries; MSc, Ma, MPhil and PhD students, lecturers and researchers in a disaggregated manner (for men and women).
7. Assess the relevance and effect of capacity building for Higher Education Leaders and managers.

Efficiency

8. Assess the quality of the training and learning components in the Sida funded program.
9. Describe to what extent donor coordination has been implemented/improved at AAU, and if funding partners' complementarity and/or programme overlap has been considered by AAU (being a basis for strategic planning/decision-making)
10. Assess AAUs procedures for advertising the grants programmes and the procedures for calls, is for example affirmative action used in an appropriate way to target under-represented gender, regions, countries and language groups?
11. Assess how AAU follow-up on grantees and participants performance. How is feedback from participants and beneficiaries taken care of by the AAU?

Effectiveness

12. Assess the effectiveness of the governance structures (board, members and strategic plan) as governing (evaluation, planning and decision-making) of AAU and the secretariat as implementing the programs.
13. Analyse if management at the secretariat and effectiveness of the AAU staff have improved by the institutional support provided by Sida.
14. Assess cost effectiveness of the Sida funded program. 1) In relation to the core program, with particular reference to synergies between the activities and if the activities add value to one and another. 2) With particular reference to procurement of goods and consultancy services for training activities. How can AAU improve performance? What other alternative forms of cooperation could Sida consider to achieve the expected results, including cooperation with other partners?
15. Assess AAU's outreach capacity, in terms of communication of publications, setting the agenda and raising priority areas on the Higher Education agenda in Africa.

Sustainability

16. Assess the sustainability and ownership of the Sida funded program. Analyse preliminary indications of the degree to which the Sida funded program results are likely to be sustainable beyond the project's lifetime and provide recommendations for strengthening sustainability.

17. Discuss possible consequences for the core program in case Sida would withdraw from supporting AAU.
18. Assess the implementation of a gender equality approach and transparency, accountability and anti-corruption approaches in the program. Institutional code of ethics that articulate promotion of academic integrity and prevent academic dishonesty and unethical behaviour in the academic community.

4. Recommendations and lessons learnt for the future

Besides assessing the results (quality, relevance, efficiency and sustainability) of the different components, the review is expected to generate brief recommendations and lessons learnt. Recommendations and lessons learnt could include, but not necessarily be restricted to, the following issues.

- Recommendations for development of content, objectives and priorities
- Recommendations for institutional development
- Identify significant lessons or conclusions which can be drawn from the core program and the Sida funded program in terms of relevance, effectiveness, efficiency and sustainability
- Based on the findings, recommend whether extension of the program is warranted
- Recommend any adjustments necessary to improve the effectiveness and impact of the core program in general and the Sida funded program in particular

5. Approach and Method

The approach should be consultative and participative to engage different actors, within AAU and outside. This will include field visits to project sites and meetings (both face-to-face and virtual interactions) with beneficiaries of the project to collect first-hand information¹⁵. The consultants will also meet with the Project team, relevant partners at both national and regional level if necessary and with other donors.

The consultants shall provide Sida with an inception report outlining the methodology and design and give a detailed time and work plan. The inception report will form the basis for the continued evaluation process and methods to be used. The inception report shall be discussed and agreed upon.

However, a brief section on suggested methods shall be part of the consultant's response to the call. The methods employed for this evaluation shall facilitate the collection and analysis of data, be relevant to the questions outlined above and make optimal use of existing data.

Sida suggests an evaluation design that mixes research methods and triangulates sources. Qualitative sources such as interviews will be valuable and sample of informants must be done carefully. The consultants shall visit the Secretariat in Accra and conduct interviews with management staff of AAU. Interviews (telephone or face to face) should also be conducted with selected members of the board and members, key persons in the African academic community, as well as university faculties, especially in Sida's partner countries. The consultants should find an unbiased sample of informants to answer question 6 and 7.

¹⁵ The consultants will discuss and finalize the data collection tools and success indicators in consultation with AAU.

Sida also suggests that the key analytical concepts: results, achievements, relevance, quality, efficiency and sustainability are carefully defined in relation to AAU's specific context of higher education and that a methodological discussion on how the concepts will be used and measured is presented in the report.

Background documents

- AAU's strategic plan 2011–2015 and the strategic plan for 2016–2020,
- Annual reports covering the projects and programs in the AAU core program
- Sida's Strategy for research cooperation and research in development cooperation 2015–2021
- Grant Agreement
- Overall Project Documents
- Quarterly Progress Reports 2013 – to date
- Minutes of the Annual Sida Review Missions to AAU.

Any relevant documents will be provided by Sida and AAU. The consultants are also expected – when it is deemed necessary – to independently look for sources, on for example trends, challenges and development in higher education in Africa.

6. Stakeholder Involvement

It is expected that different stakeholders are involved in the evaluation process. How different stakeholders will be involved in the evaluation process should be elaborated on in the tender and inception report. The inception report shall be communicated with Sida and draft of the evaluation report shall be communicated with Sida and AAU.

The evaluation team will complete and submit a draft final report at the end of the evaluation. The team leader will finalize the report in the light of comments / suggestions of stakeholders. The key outputs of the Evaluation are:

- (a) Inception report: the inception report will be submitted to Sida for comments.
- (b) Draft Report: the draft report will be submitted to Sida and AAU. Based on the comments and discussions the evaluation team will finalize the report.
- (c) The Final Report: the report should be logically structured, contain evidence-based findings, conclusions, lessons and recommendations according to the evaluation questions as outlined above. It should include a set of specific recommendations formulated for the project, and identify the necessary actions required to be undertaken, who should undertake those and possible time-lines (where possible).

7. Evaluation Quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluations. These standards provide a guide to good practice in development evaluation, and identify the key pillars needed for a quality evaluation process and product. The evaluators shall use the Sida

¹⁸ AAU. Office of the Academic Staff Affairs. (2017). The 2016/2017 (2009 E.C.) Academic Staff Profile, p.iii. See also Addis Ababa University Strategic Plan (2015/16 – 2019/20 G.C) August 2015.

OECD/DAC glossary of Key Terms in Evaluation. The evaluators shall specify how quality assurance will be handled during the evaluation process.

8. Time Schedule, Reporting and Communication

The consultants shall send an overall time and work plan in the consultant's proposal including: field visits and meetings with different stakeholders.

The evaluation should preferably be made of a team of consultants. The evaluation should be carried out during the period from 1 July to 30 December 2017. A first start-up meeting will take place at Sida after signing of the contract.

The consultants shall deliver an *inception report* of maximum 15 pages by 31st August, with a brief description of operationalization of the evaluation questions, methods, timeframe and delimitations. The consultants should submit a *draft report* to Sida, no later than 31 October 2017. After receiving comments from Sida and AAU, the final report should be submitted to Sida no later than 30 December 2017.

The report is expected to follow the structure suggested in Sida's Evaluation Manual, Annex B. The report shall not exceed 30 pages (excluding annexes) and shall include an Executive Summary and a chapter of recommendations.

Language and layout of the report must be of a quality that may allow direct publication. The evaluators shall, upon approval of the final report, insert the report into the Sida template for decentralised evaluations and submit it to Sida's consultant responsible for Sida's graphic profile (currently Sitrus), for publication and release in the Sida publication data base.

The budget ceiling for the evaluation is 800 000 SEK.

9. Evaluation Team Qualification

Sida envisages a team of two-four consultants fluent in English and at least one fluent in French. The evaluators must be independent of the evaluated activities and have no stake in the outcome of the evaluation.

Expected qualifications of the evaluation team:

- All team members shall have expert knowledge of and experience in conducting evaluations.
- All team members should have a strong analysis, report writing and communication skills in English.
- The team members should have good knowledge of policy-science/stakeholder dialogue in developing countries.
- The team members must have at least MA degrees and have at least 15 years of experience of higher education.
- At least the team leader must have a PhD degree and experience in research and capacity building, preferably in diverse regional contexts, including the African context.
- At least one team member shall have significant experience and knowledge of support to higher education and working with higher education institutions, including good understanding of institution building and strengthening within higher education
- At least one team member should have knowledge of and/or experience from working within or with international membership associations.

¹⁸ AAU. Office of the Academic Staff Affairs. (2017). The 2016/2017 (2009 E.C.) Academic Staff Profile, p.iii. See also Addis Ababa University Strategic Plan (2015/16 – 2019/20 G.C) August 2015.

- At least one member should have knowledge of organisational management and research management.

10. Appendices

AAU's strategic plan 2011–2015 and the strategic plan for 2016–2020,

Annual reports covering the projects and programs in the AAU core program

Sida's Strategy for research cooperation and research in development cooperation 2015–2021

Grant Agreement

Overall Project Documents

Quarterly Progress Reports 2013 – to date

Sida's Template for Evaluation Report

ANNEX 2: ITINERARIES AND PEOPLE MET

Date	Country & Team Member	Name	Position
AAU Secretariat: Adam Pain and Jennifer Ngugu			
30/10	Introductory Meeting	Update on Sida Programme Scope of Evaluation Reconciling the Programme Structure	Prof. Etienne Prof Jonathan Mba Adam Pain All
31/10	Meetings with Heads of Department		
1/11	Meeting with Secretary General etc	Adam Pain and Jennifer Ngugu	
2/11	Meeting with Heads of Department	Adam Pain and Jennifer Ngugu	
3/11	Drafting Debriefing Note Presentation of Debriefing	Adam Pain and Jennifer Ngugu	
4/11	Depart	AP to Tanzania	
Dar Es Salaam Universities (Adam Pain)			
6/11	University of Dar Es Salaam	Professor Cuthbert Kikambo	Deputy Vice Chancellor, Research
		Professor Shukran Manyamba	Director of Research and Sida Coordinator
7/11	University of Health Science	Dr Joyce Masalu	Director of Research and Sida Coordinator
		Professor Haya	Recent Vice Chancellor
8/11		Conference on 40 years of Research Cooperation, between Sweden and Tanzania Professor Evaristo Liwa	Vice Chancellor, Ardhi University
9/11	Ardhi University	Dr Sarah Phoya Dr Hidayat Kayuza	Head Links and International Affairs, ARU Sida Coordinator
Uganda, Makerere University, (Jennifer Sesabo)			
6/11 – 10/11	Prof Ernest Okello Ogwang –	Deputy Vice Chancellor - Academics	
	Prof Buyinza Mukadasi –	Director (Directorate of Research and Graduate Training)	
	Dr. Vicent A Ssembatya –	Director – Quality Assurance Directorate	
	Dr. Aminah Zawedde -	Senior Research Fellow - College of Computing and IS	
	Mr. Fred Tuhairwe-	Technical Officer – Uganda National Renewable Energy and Energy Efficiency Alliance	

University of Rwanda (UR) (October 30th to November 3rd 2017) (Michael Cross)

1.	Professor Philip Cotton	Vice-Chancellor
2.	Dr. Charles Murigande	Deputy Vice Chancellor –Institutional Advancement
3.	Dr Jean Pierre Nkuranga	Acting Deputy Vice-Chancellor – Administration and Finance
4.	Dr. Raymond Ndikumana,	Overall Program Coordinator for UR-Sweden Program for Research, Higher Education and Institutional Advancement
5.	Dr Pierre Claver Rutayisire	UR-CARTA Foca Person, Applied Statistics Department, CBE-UR
6.	Eng. Vivian Munyaburanga	Coordinator, ARES - The Belgian support program
Addis Ababa University (AAU) (November 7th to November 8th 2017) (Michael Cross)		
1.	Dr Jeilu Oumer	Acting President and Academic Vice-President
2.	Professor Tassew Woldehana	Vice President for Research and Technology Transfer
3.	Professor Brook Lemma	Grants Coordinator
4.	Dr Ahmed Mustefa	Head of Department of Chemistry
5.	Professor Behele Gutema	Professor Behele Gutema
6.	Mr Yosef Shiferan	ICT Director
7.	Mr Girma Aweke	Assistant to the AAU Chief of the Libraries
8.	Ms Mastewal Moges	Assistant to the Grants Coordinator
9.		
10.	Dr Wondwosen Bogale	Director of University-Industry Linkage and Technology Transfer
11.	Dr Wondwossen Mulgeta	Associate Dean for the College of Natural and Occupational Sciences
12.	Professor Abebe Getahun	Head of Department of Zoological Sciences
13.	Dr Ahmed Mustefa	Head of Department of Chemistry
African Union Commission (AUC) 8th November 2017) (Michael Cross		
1	Dr Beatrice Khamati Njenga	Head, Education Division; Department of Human Resources, Science and Technology

ANNEX 3: REPORT ON VISITS TO UNIVERSITIES IN ETHIOPIA, RWANDA, TANZANIA AND UGANDA AND THE AFRICAN UNIVERSITY COMMISSION

PREFACE

This section presents the findings from the site visits undertaken at the following universities: University of Dar es Salaam (UDSM), Muhumbili University of Health and Allied Sciences (MUHAS) and Ardhi University (ARU) in Tanzania; Makerere University (MAK) in Uganda; University of Rwanda (UR) in Rwanda; and Addis Ababa University (AAU) in Ethiopia. The aim of the visits was to assess the outcomes, overall level of achievement and impact of the AAU – Sida supported programme (2013-2017) as outlined in the AAU's strategic plan from the view point of beneficiary universities. It draws on the documentation provided by the AAU and respective universities, website sources and interviews conducted with relevant university representatives.

Given the decline in government funding in recent years, most universities depend largely on external funding for their research and development programmes. They are also increasingly opting for regional partnerships and bilateral collaboration to attract or maximize the use of available resources. External funding is generally provided by NORAD, Sida, Carnegie, USAID, World Bank, the African Development Bank, and DAAD. Sida support has been instrumental in all instances in staff development, improving research environment, research and postgraduate training, ICT and Library infrastructure development as well as in the development of in house postgraduate programmes (for PhD and Master students). With support of Sida, some institutions have already developed a significant number of local or in-house programmes, though training in partnership with Swedish universities still remains mainstream form of doctoral training.

Besides membership to international associations (e.g. Association of Commonwealth Universities, and International Association of Universities), and membership to regional associations (e.g. Association of Francophone Universities, Association of Africa Universities, Inter-University Council for East Africa and the South African Regional Universities), new trends in university affiliation include membership to research or academic networks (e.g. African Research Universities Alliance and Consortium for Advanced Research Training in Africa (CARTA), etc.). These associations not only provide alternative and new opportunities for participation of African universities in the global world but also new opportunities for knowledge and resource sharing as well as capacity building.

Regarding the AAU support programme, there is no evidence that AAU support programme has directly contributed to or had a specific impact to institutional capacity. Striking to us is the fact that very few university leaders showed awareness of the main activities of AAU core programme under assessment. No formal linkages between the AAU and the universities could be found, and no institutional coordination mechanisms and systematic monitoring and evaluation systems exist. Coupled with lack of visibility and adequate publicity and advocacy from the side of the AAU, these problems militate against the effectiveness of the AAU activities. Positive responses were however given by those individuals who benefited from attending training workshops and accessing small grants for Ph.D. and internship.

ADDIS ABABA UNIVERSITY (AAU) – ETHIOPIA

1. Addis Ababa University (AAU) is the oldest and the largest university in Ethiopia. It is currently entrusted with the task of producing qualified academic staff for the higher education system in the country. From 33 students in 1950, the AAU is currently enrolling around 52 839 students. It employs over 8 625 staff (2 790 academic and 5835 support staff). It aims to have at least 30% of its staff with Ph.D. degrees (from current 21%). It offers 76 undergraduate and 322 graduate programs, which include 82 Ph.D. and 189 Masters.¹⁸ It comprises ten Colleges, two Technology Institutes, three Institutes that run both teaching and research, and six Research Institutes that predominantly conduct research. Within these academic units, there are about fifty-five departments, twelve centers, nine schools, and two teaching hospitals. Amongst its challenges feature: (i) improving its international recognition through the ranking system (to be amongst the top 10); (ii) expanding its graduate program to address the national development priorities and meet its commitment as the provider of human resource for higher education institutions in the country; and (iii) consolidate its efforts towards internationalization and bringing in an African focus.
2. The University Administration of Addis Ababa University acknowledges with concern that there is ‘limited connectivity’ at the African level: ‘the continent is too far for us, and our South-South relations remain very weak’. It has operated primarily on a bilateral basis with institutions from the North, ‘a tradition that cannot easily be broken’ for financial reasons. They highlighted however that the emergence of regional associations, consortia and the current establishment of centers of excellence have gone a long way towards repositioning the University in the continent. Similarly, Addis Ababa University does not consider itself an active member of the Association of African Universities: ‘it should have been more proactive in this process’.
3. Addis Ababa university receives over 90% of its funding from Government, which increases the chances of sustainability in its capacity building programs through external funding, ‘third stream’ income generation activities, public and private partnerships (engagement with industry), and cost-sharing strategies. An important highlight in this regard is the establishment of the Technology Business Incubation Centre (TBIC) and the Science and Technology Park in the context of university-industry linkages to strengthen research and development activities. According to the University authorities, the TBIC will offer unique opportunities for research, innovation, and commercialization of research outputs.
4. There is no systematic link between the Addis Ababa University and the AAU, beyond the arrangement for membership and membership contributions. Neither is the AAU program object of coordination mechanisms that the University has with all its partners under Grants Coordination Office – it does not feature in the Grants Office. The existing forms of collaboration that the University officials are aware of appear fragmented or

¹⁸ AAU. Office of the Academic Staff Affairs. (2017). The 2016/2017 (2009 E.C.) Academic Staff Profile, p.iii. See also Addis Ababa University Strategic Plan (2015/16 – 2019/20 G.C) August 2015.

based on individuals who have benefitted from the AAU in the past. University systems do not recognize individual links.

5. Lack of visibility, voice, and presence describes how the AAU is perceived at Addis Ababa University. There appears to be what was referred to as a 'gap of clarity' concerning this particular program at Addis Ababa University. Those who are familiar with its activities refer to the AAU website, newsletters, and invitations sent to the Office of the President/Vice President. More and better publicity is needed about the way the AAU presents itself and communicates with the universities. The general sentiment is that, although 'its program has the potential of making a considerable impact, the AAU capacity appears questionable'.
6. Although there seems to be a generalized lack of awareness about the AAU core programmes, the general impression is that, from what is displayed on the web, the relevance of its programme remains unquestionable. Effective implementation of its program would 'optimize resources needed at least at the level of existing library support, external examiners, etc., and other overlapping activities'. Opportunities exist at the level of information resource mobilization, library and ICT infrastructure development, leadership and management training and university-industry linkages.
7. Addis Ababa university's research program is structured along 26 research priority areas aligned with Ethiopia's Growth and Transformation Plan and the university's commitment to becoming regionally and globally competitive. They are distributed through the following main domains: agriculture and natural resources, environment, infrastructure, ICT and STEM, health, language, and culture; land and tenure policies, business and economics, gender and gender relations. With this program, Addis Ababa University aims to promote (inter) disciplinary and multifaceted collaboration within the different research units, and international collaboration. As in the case of the University of Rwanda, capacity building programmes linked to these priority areas are overwhelmingly bilateral. For example,
 - a. Under the UR-Sweden Cooperation in Research, Higher Education, and Institutional Advancement, SIDA provides support that has played a central role in the improvement of the research environment, research and postgraduate training, ICT and library infrastructure development.
 - b. The centers of excellence are seen as providing a strong basis to promote regional specialization among participating universities in development and research areas that address regional challenges and strengthen the capacity of the university to develop quality training and applied research.

Addis Ababa University has established a Grants Coordination Office to deal with fundraising and donor coordination issues. It has the advantage of tying donor coordination with programme coordination to maximize the distribution and utilization of resources, though more details are needed for any judgment in this regard. It also serves other purposes such as promoting greater transparency, accountability, and academic integrity.

8. Underpinning Addis Ababa University's capacity building and institutional advancement strategies is a massive production of Ph.D. graduates and the increase of postgraduate programs. The AAU runs 293 graduate programs (72 Ph.D., 221 Masters) with a total of

approximately 13,000 Master's and 1733 Ph.D. students.¹⁹ Although the university receives considerable government support for these programmes, the SIDA block grant and collaboration with Swedish universities remain the most important forms of support.

9. Gender equality and equity are one of the core values underpinning SIDA support. Ethiopia is one of the countries in the continent that faces a serious gender imbalance in the education arena, particularly at the highest level of university education, where the share of female enrolment remains extremely low. The following diagram highlights the gap between male and female Ph.D. graduates at Addis Ababa University:

UNIVERSITY OF RWANDA

1. The University of Rwanda (UR) was formed in 2015 out of a merger of seven Public Higher Education Institutions in 2013 to improve the quality of higher education, research, postgraduate provision, and rationalize the use of resources. The merged Institutions were: the National University of Rwanda (NUR), Kigali Institute of Science and Technology (KIST), Kigali Institute of Education (KIE), Institute of Agriculture and Animal Husbandry (ISAE), Kigali Health Institute (KHI), School of Finance and Banking (SFB) and Umutara Polytechnic (UP). Two Nursing Colleges and two teacher training colleges have recently been added to the list. Currently, it enrolls 30,214 students of which 1 435 are postgraduates in 16 campuses across the country in six colleges, namely the College of Arts and Social Sciences, College of Agriculture, Animal Sciences and Veterinary Medicine, College of Business and Economics, College of Education, College of Medicine and Health Sciences and College of Science and Technology.²⁰ UR offers 67 undergraduate programs and 51 postgraduate programs.²¹ Its programmes reflect a pragmatic emphasis on science, technology, engineering and ICT and STEM education.

Efforts have been undertaken to build connections with international and Regional networks such as Association of Commonwealth Universities, Association of Francophone Universities, Association of Africa Universities, Inter-University Council for East Africa, The Regional Universities Forum for Capacity Building in Agriculture (RUFORUM), ASARECA, OSSREA, AERIMA, CODESRIA, etc.

2. "There seems to be a problem with the way they do their work", this sums up the general perception about the interface of the AAU with the University of Rwanda. Two major concerns were raised in this regard. First, although the old University of Rwanda was among the founding members of the AAU, a lack of clarity about AAU activities persists within the University. The University concedes however that internal communication mechanisms may also be to blame for this state of affairs. This is illustrated by the fact that a limited number of individuals have been consistently involved with AAU activities.

¹⁹ Addis Ababa University Strategic Plan (2015/16 – 2019/20 G.C) August 2015, p.5.

²⁰ University of Rwanda. (2017). Towards the University of Rwanda we want: UR Concept Note for Research Capacity Development and Institutional Advancement 2018 – 2023, p. 5.

²¹ University of Rwanda. (2017). Towards the University of Rwanda we want..., p.

The second is the fact that there seems to be no joint planning of the AAU activities with the institutions concerned (“we only receive invitations to nominate people to attend”). It appears however that this concern does not apply to the COREVIP planning, which involved MINEDUC and UR.

3. There is lack of visibility in the way the AAU advertises its events and disseminates its information. University gets to know about the AAU activities via formal invitations, newsletters and the AAU website for those who visit it. There should be a direct formal articulation between the AAU and the university to enhance its publicity.
4. The relevance of the AAU’s core programmes is seen as unquestionable. As highlighted in point 5, the problem lies in the planning, particularly at the institutional level. The fact that, in generic terms, the line items of the programme seem to overlap with what individual universities do for capacity building and institutional advancement, and what they do differs in scope and nature across universities, requires better engagement at the planning level to enhance joint ownership. Joint planning, devolution, and ownership were the principles that, according to UR university authorities, should inform how the AAU engages with individual universities. These would minimize the problems that militate against relevance and would increase the possibilities of creating synergies with existing programmes. In this regard, the Information Resources on Higher Education or Library development project supported by SIDA is a very good example. In this instance, the AAU brought experts of high calibre, which allowed UR to build some synergy between its programme and the AAU support.
5. Joint planning was also suggested for the AAU Leadership and Management Capacity programme, delivered through regional workshops. The institutional view at the University of Rwanda is that workshops have not significant value, particularly when there is no follow up. Workshops do not necessarily change behavior and practice, which amounts to a waste of money, it was argued. They do not constitute a sustainable strategy. It is too costly to send staff for workshops due to budgetary constraints.
6. There are suggestions that the emphasis placed on training workshops could well be channeled to advocacy around funding for universities, addressing issues of employability and standards. On funding, training in grant-making is of considerable importance under current circumstances. Also on funding, a question was posed on whether the provision of scholarships from the AAU was strategic.
7. The question of relevance led to a number of focal areas for AAU activities being flagged:
 - a. UR was the only African university to win four centers of excellence (ACE’s) through competitive funding from the World Bank (ACE in the Internet of Things, ACE in Energy for Sustainable Development, ACE in Data Science, ACE for Innovative Teaching and Learning Mathematics and Science). Although the promotion and establishment of Centres of Excellence is part of the AAU brief, there is no evidence that it has been involved in these developments.
 - b. For UR, the sub-theme 3, Promoting the Socio-Economic Relevance, which entails strengthening university-industry relations and developing the employable African graduate, is a strategic area in Rwanda in demand of considerable support, which has not been available from the AAU
 - c. An important issue was raised concerning the AAU’s outreach capacity more

specifically concerning communication or dissemination of publications. Promoting Knowledge Generation and Management, i.e. becoming a think tank for African universities, should also be one of the core activities of the AAU. A senior university official articulated this view as follows: “The AAU has the comparative advantage of being a continental organization and *the observatory of the African experience* [my emphasis]. It should explore the wealth of knowledge of this experience - on how universities in Africa have been developed and transformed - synthesize and share it with the universities. It could bring experienced actors such as retired Vice-Chancellors for the task. This is more than to bring Vice-Chancellors to speak in COREVIT meetings. Are they doing it? If so, we have not seen it”. The AAU is thus perceived as a platform for knowledge sharing where best practices are disseminated not just as experience but also in the form of codified knowledge amongst member universities.

- d. To maximize its comparative advantage and enhance its impact at the university level, the articulation of the AAU with the emerging regional associations require careful attention (e.g. Southern African Regional Universities Association (SARUA), an association for 63 public universities in SADC region; Association of West African Universities (AWAU); African Research Universities alliance (ARUA), launched in early 2015 as a response to the growing challenges faced by African universities; etc.) From the point of view of the UR, which is actively involved with some of these associations, there is no clarity about such articulation.
8. UR’s research plan entail 10 interdisciplinary research clusters aligned national development priorities and goals: (i) Agricultural transformation and food security; (ii) Socio-Economic Transformation and Sustainable Development; (iii) Environment, Natural Resources Management and Climate Change; (iv) Inclusive Governance, Peace and Security; (v) Urbanization, Green Cities, and Human Settlement; (vi) Transformative ICT and Knowledge Management; (vii) Health and Wellbeing for All; (viii) Sustainable Energy and Manufacturing; (ix) Transformative Education, Culture and Creative Arts; and (x) Transport and Logistics. These areas require support in ICT infrastructure, business solutions, library and research management capacities, research funding and facility development and maintenance. Compared to the AAU programmes, capacity-building programmes linked to these priority areas are *overwhelmingly bilateral* (though regional linkages are beginning to emerge), institutionally concentrated, focused, targeted and heavily funded. The following are examples of some of the key forms of support:²²
 - a. Under the UR-Sweden Cooperation in Research, Higher Education and Institutional Advancement, SIDA leads donor support with funding for the period 2013-2018 amounts to approximately USD 50 million for the introduction of new “in-house programmes” Master’s and PhD programmes at UR, improvement of the research environment, research training and Research Support/grants and Research Management Sub-programs, including ICT and library Infrastructure development, Instructional Technology in Education. Given its size and scope, SIDA supports a sepa-

²² See details in University of Rwanda. (2017). Towards the University of Rwanda we want ..., p.20. Other details were obtained from the interviews.

- rate coordination mechanism with a Project Coordination Office and team leaders who head the subprograms at different UR Colleges. The impact of SIDA support is visible at the level of infrastructure (library and ICT infrastructure) and human resources development across the university and all levels of seniority.
- b. The World Bank provides loans for the Centres of excellence as follows: USD 14 million for the EAC Regional Centre of Excellence for Vaccines, Immunization and Health Supply Chain Management; USD 784,612 for the Centre of Excellence for Health Systems Strengthening; and USD 17.3 million for the Centre of Excellence in Biomedical Engineering and E-Health. The centers of excellence are still at the incipient level and fit in UR's futuristic framework. They have visibly opened opportunities for inter-institutional collaboration at national and regional levels.
 - c. The African Development Bank (ADB) provided a loan of USD 18,911,606 to build the Centre of Excellence in Biomedical Engineering and E-Health.
 - d. The Exim Bank of South Korea provided a loan of USD 46,832,180 for building UR headquarters, establishing four distance learning centers and the School of Geology and Mining. Currently, University Administration occupies some of the premises of the College of Business and Economics, Gikondo Campus. The new head office is presently under construction on the Nyarugenge Campus.
 - e. The Clinton Foundation provides support to enable American doctors and nurses to teach in the College of Medicine. It has opened opportunities for collaboration at the regional level.
 - f. The Consortium for Advanced Research Training in Africa (CARTA) to promote multidisciplinary research with positive impact on public and population health, and enhance the capacity of African universities to lead globally-competitive research and training programs.
 - g. The African Research Universities Alliance, or ARUA to strengthen research and postgraduate training in higher education
 - h. The Netherlands and DAAD provide scholarships for doctoral students. There is no evidence of any scholarships or small grants being provided by the AAU.
 - i. The Association of French-speaking universities in Belgium provides support for research and training in the biotechnology programme. A feature of this programme, which was highly celebrated by the coordinator, is the fact that it puts UR in touch with outstanding African scholars and scientists on the diaspora, who are perceived as role models.
9. Two important observations emerge from the experience in dealing with this multiplicity of sources of funding. The first is about donor coordination, which is excellent at the national level, where the Minister chairs a donor coordination forum on a regular basis, but it remains at very incipient stage at the university level. There are plans to replicate a donor coordination forum at UR with all its partners to create coordination and synergies in funding priorities, schemes, and strategies for increased impact of donor and development partner support to UR. The second is the synergy with the AAU programme and activities, which, in line with the sentiments expressed during site visits, requires sensitivity to the institutional complexity and paying careful attention to the programmes being undertaken at UR for a better choice of activities and coordination. If well reconciled with these programmes, the AAU support could have far-reaching outcomes and impact.
 10. Central to the institutional demands of UR is a massive production of Ph.D. graduates and the increase of postgraduate programs. According to the document *Towards the University of Rwanda, we want: UR Concept Note for Research Capacity Development*

and Institutional Advancement 2018 – 2023, Rwanda has currently 30,214 students of whom 1,435 are postgraduates. It has a pool of 1,375 academic staff. Of this only 19 % of them (262) hold Ph.D. degrees (the ideal level is 60% according to IUCEA). Ph.D. graduates are needed for research and training tasks and for supervising postgraduate students. This is an area where SIDA support has played more than a pivotal role. Besides infrastructure development, it has contributed considerably to staff development through partnerships with leading Swedish universities, the so-called ‘sandwich model’, and the development of ‘in-house’ masters and Ph.D. programmes. However, we found little evidence of AAU intervention in this domain either through research training or through scholarships. There is no record of support for staff or students under the AAU mobility program.

11. Gender equality and equity are one of the core values underpinning any form of SIDA support. In the context of Rwanda discrimination redress strategies, UR has made considerable progress in the implementation of a gender equality strategy and transparency, but it still faces considerable challenges particularly in the composition of its staff and students. Of the 1035 academic staff who hold a postgraduate degree, 20.8% (216) are female and 79.2% (819) male.²³ The document indicates that “the number of female academic staff beyond the rank of lecturer is very low; among senior lecturers and professors, only 11% (20) are female and only four are professors”. In terms of female student participation in higher education, of the 30,214 students registered at UR, 33% are female, and of the total of 1,435 postgraduates, 34% are female. Female representation is much better at the level of administrative staff: 40% of the 750 administrative staff is female, but only 17% of the administrative staff has MSc or Ph.D. degrees.²⁴ It is not clear however how gender redress strategies are related to AAU activities. While UR institutional strategies for gender redress are made explicit, we have no evidence to assess whether gender concerns are being addressed in AAU interventions at the university level.
12. From the interviews and available university documentation, we were made aware of at least four main AAU-related interventions involving the AAU: (i) the 1915 COREVIP in 2015 at Serena hotel, June 2-5 2015; (ii) the workshop on leadership and management development at Mahatma Gandhi University; (iii) the workshop on promoting university advancement through industrial linkages and external partnerships (Lomigo Hotel, October 14-16 2015); and (iv) the provision of experts to support information resources mobilization. The 2015 COREVIP on the “Internationalisation of Higher Education in Africa”, which included the meeting of the Governing Board of the AAU, was jointly planned by the AAU Secretariat, the Ministry of Education of Rwanda (MINEDUC) and the University of Rwanda with roles and responsibilities clearly specified in an MOU. It was a consultative workshop to discuss the findings of three of its commissioned reports on

²³ University of Rwanda. (2017). *Towards the University of Rwanda we want: UR Concept Note for Research Capacity Development and Institutional Advancement 2018 – 2023*, p. 6.

²⁴ University of Rwanda. (2017). *Towards the University of Rwanda we want: UR Concept Note for Research Capacity Development and Institutional Advancement 2018 – 2023*, p. 5.

university-industry collaboration, share experiences and good practices from universities in the North and South on strategies adopted by them in building and sustaining inter-institutional partnerships (North-South and South-South), and partnerships with external stakeholders, including the private sector, civil society and the State. The former Vice-Chancellor, Prof James McWa, and the Deputy Vice-Chancellor, Prof Nelson Ijumba, represented UR. We have no details on the training workshops. However as already mentioned, university authorities expressed concern about training workshops for their focus and approach. They are very pleased for the support of much-needed experts for library information mobilization.

13. The question of transparency, accountability, and anti-corruption is a major national and institutional governance priority in Rwanda. A national code and practice of ethics in the mobilization and use of national assets and resources govern issues of anti-corruption. At the university level, it provides an effective basis for promoting academic integrity and prevents academic dishonesty and unethical behavior in the academic community. It hardly leaves space for major transgression.

TANZANIAN UNIVERSITY CASE STUDIES

Tanzania has currently 26 universities 10 of which are public and 16 private, many of which are linked to religious orders and have been established since the start of this century. There are also 15 University Colleges that do not have full university status. The Tanzanian Commission for Universities (TCU) regulates the Universities and, as with most African countries, there has been a dramatic growth in the number of universities and students over the last decade. This has had major effects on the quality of education provided and recently the TCU has acted to close courses and even Universities that do not meet the required quality standards²⁵.

UNIVERSITY OF DAR ES SALAAM (UDSM)

1. The University of Dar Es Salaam (UDSM) is the older public university in Tanzania and was established in 1970 although its origins can be traced back to 1961. It is also one of the largest universities in the country with about 17,000 undergraduates and 2500 post-graduates. As with all public universities in Tanzania, there was a 10 year period that ended in 2005 where no new recruitment was allowed leading to a distorted age structure. While the university is seen to have some of the best qualified academic staff in the country this year some 30 senior professors retired and there are major challenges in dealing with the bottleneck of many younger staff and their desire for promotion.
2. The spinning off of some constituent colleges in 2007, including both MUNHAS and ARU, discussed below but also Sokoine College of Agriculture, into independent universities had consequences for UDSM in that it lost key disciplines reducing the scope of its education. This led to an internal review of UDSM and where it saw its future and over the

²⁵ <https://www.timeshighereducation.com/news/tanzania-government-threatens-close-more-universities>
Accessed November 7th 2017

last few years it has tried to re-establish the disciplines that it lost including those of architecture, agriculture, and health sciences. It established a new health programme, largely staffed by MUNHAS faculty and using the MUNHAS curricula but the Tanzanian Commission for Universities has recently ruled that it does not have the competence to provide this programme.

3. However UDSM has wider recognition as one of the leading Universities in Africa and last year became a founding member of Africa Research Universities Alliance (ARUA²⁶), a group of the continents 16 leading universities. Membership of ARUA, like the Russell group of Universities in the UK, seeks to establish a collaborative network of research excellence and gain higher levels of funding from donors. This is where UDSM sees its future.
4. Regarding the **bilateral support**, UDSM has had long-term support from bilateral donors but Nordic funding has been of major significance. NORAD (Norwegian) was a major funder for 40 years until 2012 when it established a competitive research fund for which they have to compete with other universities in East Africa. Sida, however, has continued a key donor and has played a major role in funding Masters and Ph.D. training in a number of key areas in Sciences including the Business School, Marine Sciences, Pollution Control, Resource Conflicts, and Mushrooms. In the past, Sida provided major support to architecture and health sciences allowing the colleges to establish themselves as independent universities.
5. Of the total of 528 current Ph.D. students, Sida is supporting 64 of them with the Korean, Dutch and USAID funding, for example supporting about 3-5 PhDs each. Many of the Ph.D. students are now supported through research project funding, 95 percent of which comes from the 100 hundred or so externally funded international projects funded by a range of sources including the EU and the US. A limited amount of research funding is also available through COSTECH (The Tanzania Commission for Science and Technology), which is also supported by Sida.
6. However, as Professor Many, the Director of Research pointed out there are many other areas in which the University has limited capacity. One case in point is the skills in relation to petroleum geology with the emergence of a potential natural gas and oil economy in the country. Another example is in molecular biology. Equally, most of the donor funding, in general, is going to sciences and there is a relative neglect of funding for the social sciences.
7. Concerning the **wider networks**, the UDSM has been a long-term member of the AAU as well as a number of other networks including the Association of Commonwealth Universities (ACU), the University Council of East Africa (IUCEA), the South African Regional Universities Association (SARUA), the Research and Innovation Management Associations (RIMA) of South and East Africa (SERIMA and EARIMA) and ARUA as noted above.

²⁶ <http://arua.org.za>

8. The Deputy Vice Chancellor for Research saw particular benefits from the courses on Quality Assurance and Management provided by EARIMA in Kampala but saw engagement with ARUA as where the future of the UDSM lay. While he had attended one COREVIP meeting of the AAU Kigali, he was not aware of any other activities funded by the AAU that senior UDSM staff had attended during the last three years. Indeed he was inclined to the view that the AAU was more of a West African body rather than a Pan African institution as reflected its management of the West African programme of the World Bank Academic Centres of Excellence (ACE). He also considered that the Pan African University (PAU), operating under the African Union but also supported by the AAU, and as a postgraduate training and teaching network promoting mobility of students and teachers and harmonizing programmes and degrees, had essentially taken over this role from the AAU.
9. The Deputy VC was doubtful that the future debates around higher education would be taking place at a Pan African level and saw stronger regional networks, such as ARUA, and at national levels as for where the debate lay. He particularly stressed the role of IUCEA in harmonizing, promoting mobility and ensuring quality assurance. In general, he felt that there were probably too many networks for them all to be useful but said that UDSM came under pressure whenever it considered withdrawing from any of them. Some role for the AAU as a convenor of regional networks might be a possibility.

MUHIMBILI UNIVERSITY OF HEALTH AND ALLIED SCIENCES (MUHAS)

1. MUHAS specializes in the health sciences and was founded in 2007. Along with Sokoine (Agriculture) and ARDHI (Architecture and Land Use Planning), it was a constituent college of the University of Dar Es Salaam (UDES) until 2007 when all three colleges were separated from UDES and established as separate public universities. This meant that MUHAS which had previously been dependent on the management systems of UDES had to establish its own. While there was a transition hand over period to allow this, there has been a steep learning curve to establish its management systems and to build its teaching and research capacity.
2. As with all public universities in Tanzania, there was a decade during the period of structural adjustment in the 1990s when almost no recruitment was allowed and even since 2007 there have been restrictions on staff recruitment. The result has been that there is a missing generation of staff with a cohort at or beyond retiring age, a few more middle-aged staff, and much younger staff. This has caused major problems for the teaching programmes.
3. These challenges have been confounded by the relentless expansion of student numbers driven by the government. Equipped with the infrastructure and teaching staff to have an annual intake of 250 students across the diverse range of health sciences (Doctors, Dentists, Pharmacists etc.) the University this year has had an intake of 750 students, three times what it is equipped to handle. This year has been particularly difficult since with the forced closure by the Tanzanian University Commission on grounds of quality standards of four of the nine medical courses that were being taught in the public and private universities, the student demand has been concentrated into the remaining five. One of the courses that was closed was a Medical Faculty that UDES had been trying to re-establish but using teaching staff from MUNHAS and also their curriculum.
4. While the student numbers have expanded there are also, even within the medical pro-

professions major issues of unemployment for the graduates. Only some 15-20% of the graduate doctors find employment in the Tanzanian public health services and or in the private sector and either and for the health service professions perhaps some 40% find employment. Many of them seek work overseas elsewhere in Africa or in Europe, particularly in the UK.

5. Pertaining to Bilateral Support, Government support for the development of MUHAS as a relatively young public university has been very limited. It has supported the building of a new teaching hospital but little beyond that. Few donors provide support for such infrastructure and the recent Centre for Health Education was built with a combination of funds provided by the Gates Foundation and savings that MUHAS has been able to make.
6. However, there has been a major support for the development of teaching and research capacity and this has mainly come for Sida who have been the core long-term funder. Scholarships for Ph.D. training provided by Sida have contributed nearly 70 of the total of 155 number of PhDs among the medical profession and supported key research programme areas such as that in HIV Aids. Sida support has included research infrastructures such as libraries and ICT. While there has been a range of other donors none have provided the scale or continuity of support that Sida has given.
7. Apart from national associations, MUHAS is a member of a number of regional, pan-African and international associations including ACU, AAU, SARUA, EARIMA and IUCEA. Its membership of AAU is relatively recent as they only joined in 2015. However, it was a clear decision by the VC who was of the view that the AAU offered two things that they needed and could not get elsewhere. The first was the COREVIP meetings that gave him the opportunity to meet a wider cohort of VCs from across the continent and benefit from their experience and understanding. He felt this was particularly important to get this wider exposure particularly for a young state university specialized in the health sector.
8. The second aspect was the training in management and particularly the LEDEV programme, which he praised for its quality and utility. There have been four courses since they had joined the AAU that they had attended. Two of these he had gone with some of his senior staff and the two others other staff attended. This included the Director of Research who also reported how valuable the course on Management and Strategic Planning that she had attended. As the VC noted, as well as the membership fee of US\$2000 per year, they had to pay their own costs but he saw this as of value. They have more recently faced constraints given the embargo that the Tanzanian government had put on international travel being funded by the Universities. The VC also commented that while they were a member of the ACU, the costs were simply too high to participate. The VC as quite clear that the AAU had a unique niche and need for the services that it offered was likely to continue into the future.
9. The IUCEA was a network that they had also benefitted from particularly in relation to curricula development and quality assurance and he noted that the Tanzanian University Commission also made use of the guidelines offered by the IEUCEA.
10. In sum the VC felt that MUHAS still had a long way to go in terms of developing the quality of its systems particularly for admissions, examinations, teaching quality assurance and so forth and would continue to benefit from the networks that they are members of.

ARDHI UNIVERSITY (AU)

1. Like MUHAS, Ardhi University was a constituent college of UDSM when it was the University College of Lands and Architectural Studies. It also gained independent status as a University in 2007 and now focuses on Architecture and Design, Construction, Geospatial Sciences, Real Estate Studies, Urban and Regional Planning and Environmental Sciences. It is thus a relatively specialized university addressing the spectrum of land-based disciplines. It is a relatively small university with about 2500 undergraduates and 200 postgraduates. It has faced many of the challenges that MUHAS has encountered in expanding student numbers, constraints on staff recruitment and unbalanced age structure in the faculties.
2. When it comes to Bilateral Funding, Sida has been a major funder of its staff capacity programme and over 34 PhDs have been trained through Sida funding in addition to many masters students. Funding has also been provided by Danida and German funding but the Swedish funding and long-term support has been the largest.
3. For the wider Networks, Ardhi has been a member of the AAU for more than five years and the Vice-Chancellor reported that he was a regular attendee at the COREVIP meetings. He also commented that a number of senior managers of the University had attended the training courses offered by the AAU. However, amongst the Academic staff, the AAU is much less known about. The Sida coordinator asked first what the AAU was as she had not heard of it and the head of Links and International Affairs said that the only encounter she had had with the AAU was when she was asked to send information on the University to the AAU for a benchmarking exercise.
4. Much more familiar to her were the other networks such as ACU, SARUA, EARIMA and IUCEA and she thought that the university was more engaged with these than the AAU. Ardhi was also an active member of the Land Policy Initiative (LPI) with about 20 other African states in a consortium consisting of the African Union Commission (AUC), The African Development Bank (AfDB) and the United Nations Commission for Africa (ECA). However, this is more of a development and governance initiative around land policy rather than focused on higher education.

MAKERERE UNIVERSITY – UGANDA

1. Makerere University (MAK) is an oldest public university in Uganda. It has graduated more than 200,000 students since its establishment in 1970. It holds over 50% of all students in public universities and 20 percent of the total enrolment in Higher education in Uganda.²⁷ In the academic year 2015/2016, MAK enrolled 39,546 students. Of these 17,533 (44%) were female and a total of 2,599 were postgraduate students²⁸. In December 2016 the MAK had about 1,434 academic staff (excluding visiting staff and part-time staff). Currently, the university is made up of several constituent colleges including Agri-

²⁷ Makerere University Self Assessment Report 2017

²⁸ Makerere University Annual Report 2016

culture and Environmental Sciences, Engineering, Design, Art and Technology, Health Sciences, Humanities and Social Sciences, Business and Management Sciences, Computing and Information Sciences, Education and External Studies, Natural Sciences, Veterinary Medicine, Animal Resources, and Biosecurity.

2. MAK has asserted itself as a major player in research and development (R&D) in the Health Sciences, Agriculture, Veterinary, Engineering Sciences and Technology, etc. This enabled it to consistently be among the top 10 ranked African Universities.
3. Lack of visibility and presence were also the general perceptions about the AAU at MAK. Only the few individuals who have attended activities organized by the AAU, obtained small grants, or participated in an AAU exchange programme, expressed familiarity about the AAU programme. Although the Deputy Vice-Chancellor represented the VC in one of the AAU's meetings, he was not aware that MAK was a member of AAU. He was not aware of the mandate and activities of AAU and potential benefits. Similarly, the Director of Research and Postgraduate Training, who has the mandate of foreseeing all issues related to research, showed no familiarity with AAU activities. He emphasized the need for the AAU to communicate with the universities to monitor the implementation of its activities and measure the impact at the end of the support.
4. The Strategic Plan of MAK privileges partnerships and collaboration at national and global levels as essential to the achievement of its vision and objectives. In this regard, the University receives support from Government of Uganda and external agencies such as Sida, Norad, USAID, and the Carnegie Corporation of New York. Support is used to leverage delivery capacity in its core functions, which are teaching and Learning, Research and Innovations and Knowledge Transfer Partnerships and Networking. The main programmes include: Sida supported joint/collaborative research projects; the Norwegian Programme for Capacity Development in Higher Education and Research for Development (NORHED); the Cambridge Africa Partnership for Research Excellence (CAPREx) project; and Carnegie supported projects on capacity building. University contribution for research is 1% of its budget for research activities.
5. Besides regional associations such as Inter-University Council for East Africa (IUCEA) and ARUA, Makerere University has also been involved in international associations particularly the Association of Commonwealth Universities (ACU).
6. SIDA support to Makerere University goes back to 2000. Through SIDA support, more than 200 university staff have attained Ph.D. degrees and more than 300 research projects have been undertaken in the areas such as health, engineering and technology, agricultural and the humanities in collaboration with Swedish universities. MAK has also benefited tremendously from SIDA support in improving the research and training environment including library resources, ICT and laboratory infrastructure. Currently, SIDA support focus on human resource development programme at post-doctoral, Ph.D. and Master levels targeting Makerere University, Kyambogo University, Gulu University, Busitema University and Mbarara University of Science and Technology. The programme aims at enhancing the institutional capacity of public universities in Uganda to generate knowledge and promote research for national and regional development.
7. MAK participates in Agricultural and Agricultural Engineering research with Perdue University Indiana, USA. MAK is also involved in collaborative work with several networks. Funded by USAID, the Resilient Africa Network (RAN) is a partnership of 20 African uni-

versities in 16 countries with the aim of strengthening resilience of communities by nurturing and scaling innovations from the different universities. The Africa Regional International Staff/Student Exchange is concerned with student mobility. The Food Security and Sustainable Human Wellbeing (ARISE) offers resources and opportunities for student and staff mobility throughout four regions of Africa, support for Masters and Doctoral studies as well as support for short research and administrative visits between consortium partners. The Consortium for Advanced Research Training in Africa (CARTA) under the Research Capacity Strengthening (RCS) division of the African Population and Health Research Center (APHRC) aims at developing a vibrant African academy to promote world-class multidisciplinary research that impacts positively on public and population health.

8. However, these collaborative arrangements and the rapid increase of student enrolment have added new challenges to the university. First, human resource capacity remains limited and constrained in terms of quality to address the expanding needs in teaching and learning, research training, research management, student supervision and outreach services. The multiplicity of donors and development partners also pose serious coordination challenges.
9. Both Prof Deputy Vice Chancellor – Academics, Director of Research and Graduate Training, and the Director of quality assurance agree that the support obtained from various bilateral programmes has significantly contributed to the enhancement of institutional and individual capacity in teaching and learning as well as research. However, they pointed out that, given the rapid changes in the global and national economies, MAK needs to modify its mandate to be able to address the national development agenda more effectively.
10. Concerns were raised by about the need to balance STEM education with humanities and social sciences. In this respect, the DVC - Academic pointed out that most of the donors are interested in the Science, Engineering, Mathematics, and Technology disciplines and provide more funds to these disciplines compared to social sciences. Medical research stands out as the most privileged by development partners, and this is reflected in the volume of its research outputs. This trend limits the contribution of humanities and social sciences in the national developmental agenda. High-quality research in these fields is needed for addressing immediate social and policy issues.
11. Provision of small grants for Ph.D. candidates and internship training were among two of activities supported by AAU Sida programme. Two informants indicated that they got information of this type of grants from their friends and made an application. From the point of view of the recipients, the value of these kinds of support is incontestable. One informant pointed out that the support was crucial for her completion of work at the final stage of her Ph.D. studies:

AAU small grant it was very helpful because I was in the final stage of my Ph.D. programme. The grant allowed me to complete my data analysis and writing phase without a problem. (Ph.D. candidate).

The second informant, a Master student, obtained a grant to undertake an internship:

Having done my internship training at the Centre for Research in Energy and Energy Conservation (CREEC), a non-profit organization for research, training, consultancy, and testing, the internship provided an opportunity for hands-on and analytical skills

for solar installations, mini-grid planning and management, energy audits as well as project planning and management. Likewise, I had an opportunity to meet other people working in the area of Renewable Energy (Intern)

12. Regarding the grant process, concerns were expressed regarding the amount (perceived as too small) and delays in the payment.

African Union Commission (AUC) Addis Ababa

1. The vision and the role of the African Union Commission (AUC) in relation to the AAU is articulated in the MOU - *Establishing the Framework for Cooperation and Collaboration between the African Union Commission and the Association of African Universities*. The MOU is centred on the implementation of the AU's strategic pillars, including the Agenda 2063, the Continental Education Strategy for Africa (CESA) and the Science, Technology and Innovation Strategy for Africa (STISA).

Priority Areas

2. The main priority areas for cooperation and collaboration between the AUC and the AU include: (i) promotion of applied research in health, agriculture and STEM education in collaboration with the Pan-African University; (ii) quality assurance including the development and implementation of a Continental Quality Assurance and Accreditation Agency for HE in Africa; (iii) development and harmonization of Regional and Continental Qualification Frameworks; (iv) university linkages; (v) research networks; (vi) contribution of HE institutions; (vii) leadership and management training; (viii) resource mobilization and fund raising; and (ix) promotion of African scholarly work.

Collaboration Agenda

3. With reference to these areas, the AUC work with and through agencies, and in this regard, the AAU is seen a natural partner. It represents the most important agency through which the AUC interfaces with African higher education institutions in the continent. In collaboration with the AAU, the AUC has the following implementation agenda:
 - Integration strategies: to promote student mobility, mutual recognition of qualifications across the borders, programme and credit mobility; facilitate acceptance or admission of students; and address security issues.
 - Jointly influencing the global world through in research and innovation.
 - Jointly articulating the vision, policies, strategies and coordinating the necessary practices in higher education. Operating as a collective places African higher education in a position of strength both regionally and globally.
 - Promotion of quality in higher education and continuous improvement of standards, innovation, employability, entrepreneurship and innovation.
 - Implementation of the AUC Continental Strategy. The AUC expects collaboration in the engagement with ministers, settings goals and targets, the development of the indicators framework, and in building institutional capacity.

Challenges and strategies

4. The AUC collaboration with the AAU faces serious challenges and constraints. The conflicting agendas from other international networks (associations attached to the Commonwealth, the EU, etc.) tend to constraint the AAU work if not coordinated effectively. There is a need for reconciling the African agenda with the global agenda. As for the AAU, it is important to articulate a common position towards global agendas when they

convene with these networks. This is only possible if the sense of ownership within the AAU is strengthened.

5. The AAU needs to strengthen its voice and presence through stronger advocacy of its work at university level: 'It is not for lack of value' that sometimes it experiences lack of participation. Universities need to know the AAU and the value of its work. This would certainly require 'packaging the value and making sure that it reaches its destination repeatedly' - taking into account the diverse situation of the universities. This would also require active engagement with governments - the AAU cannot operate outside government instructions.
6. Prioritization remains a challenge for the AAU. The AAU should consider placing emphasis on more strategic and catalytic aspects of its program, i.e. those with great potential of multiplier effect in building institutional and developing fund raising capacity.
7. More structured engagement with emerging regional associations/research networks may be needed taking into account regional capacity circumstances. These are closer to the actual situations in which universities operate and can represent powerful conduits of advocacy and voice for the AAU.

ANNEX 4: KEY UNIVERSITY NETWORKS IN AFRICA

Organisation	Acronym	Key details
Interuniversity Council for East Africa https://www.iucea.org	IUCEA	Dating back to the 1980s, IUCEA was established by a 2009 Act into the East African Community with the membership of Kenya, Tanzania, Uganda, Rwanda and Burundi universities
Association of Commonwealth Universities https://www.acu.ac.uk	ACU	The ACU is the world's first and oldest international university network, established in 1913. The ACU has over 500 member institutions in 40 countries across the Commonwealth. A key programme focusses on research management and uptake
African Research Universities Alliance http://arua.org.za	ARUA	Established in 2015 by 16 of the region's leading universities. It aims to expand and enhance the quality of research done in Africa by African researchers through pooling their limited resources, so generating a critical mass that can more effectively support their limited, but growing numbers of researchers. Underlying this was the conviction that they could thereby leverage this effectively for additional resources from outside.
South African Regional Universities Association http://www.sarua.org	SARUA	Founded 2005, an association of 65 public universities in the SADC region
Organisation for Social Science Research in Eastern and Southern Africa http://www.ossrea.net	OSSREA	Formed in 1980 and based in Addis Ababa is a regional membership-based and donor-supported research and capacity-building organization whose mission is to promote dialogue and interaction between researchers and policy-makers in Eastern and Southern Africa with a view to enhancing the impact of research on policy-making and development planning.
Southern African Research and Innovation Management Association http://www.sarima.co.za	SERIMA	SARIMA is a membership organisation of Research and Innovation Managers that operates at an institutional, national and international level, as well as across the value chain, from research through to successful innovation (commercialization). The purpose of the association is to promote research and innovation management for the benefit of southern Africa. Has sister associations in East Africa (EARIMA) and West Africa (WARIMA)
Africa Regional Staff Student Exchange http://www.intra-acp-arise.org	ARISE	A programme designed to provide resources and opportunities for student and staff mobility throughout four regions of Africa, offering support for Masters and Doctoral studies as well as for shorter research and administrative visits between consortium partners. ARISE will offer approximately 100 mobility opportunities in Masters, Doctorate and Staff Mobility Opportunities.
The Consortium for Advanced Research Training in Africa http://cartafrica.org/about-	CARTA	CARTA is a south-south partnership with a south-north collaboration jointly led by the African Population and Health Research Center (APHRC), Kenya, and the University of Witwatersrand (Wits), South Africa. The consortium is built on a merit driven sys-

carta/		tem that ensures transparency and accountability to its members. It was formed with a mandate of establishing a vibrant African academy able to lead world-class multidisciplinary research that impacts on population and health.
Association of Franco-phone Universities https://www.auf.org/a-propos/	AUF	A global network of Universities in French Speaking countries with over 800 members.
The Regional Universities Forum for Capacity Building in Agriculture http://www.ruforum.org	RUFORUM	RUFORUM established by ten Vice Chancellors in 2004, is a consortium of 85 African universities operating within 35 countries spanning the African continent. RUFORUM is coordinated by a Secretariat hosted by Makerere University in Kampala, Uganda.
Association of West African Universities http://www.awau.org	AWAU	(AWAU) was inaugurated was established in 2011 for the purpose of Initiating collaboration among Universities in West Africa, Enhancing higher Education in the sub-region as it is the case in other Africa sub-regions, Enhancing the improvement of infrastructure across the sub-region which will also serve to improve manpower development and contributing to the goals of the Association of African Universities (AAU).

ANNEX 5: AAU REVISED PROGRAMME STRUCTURE FOR GOALS 2 AND 3

GOAL 2 - Capacity to assist and serve member institutions

KRA 3: Strengthening HEIs delivery capacity in Africa

Strategic Objective	Programme	Outcome
Improve QA Capacity in African HEIs	Promote Quality Assurance in African HEIs, train on QA & support the setting up of QA units within HEIs	AAU partnering with AUC, EUA, etc. for a number of continental initiatives on QA
Increase Recruitment and Retention of Staff in African HEIs	Organise workshops for HEIs to develop strategies on staff recruitment and retention	Not implemented
	Establish links with organisations working with Diaspora	Limited collaboration with Diaspora. Funding a challenge
	Support short-term Academic Mobility within HEIs in Africa	
Improve ICT capacity, networking and collaboration among HEIs	Support the creation /establishment of Research and Education Networks at national and regional levels	- Partnerships developed for increased collaboration between and among RENs - Annual meetings co-organised by AAU
Enhance leadership and management capacity in HEIs.	Organise Leadership and Management workshops	Positive evaluation from participants, and workshops flagship programmes of AAU Insufficient support to undertake executive attachments after the learning process
Improve university – industry linkages in Africa	Strengthen HEIs stakeholder relations in Africa through surveys and training	- Funding received to ACBF for capacity building in U-I linkages - Internships have intensified linkages between universities and industry
Increase Access to African HE through Open and Distance Learning	Facilitate the establishment of ODL units in HEIs	

Increase Internationalisation of African HE	Promote Internationalization of African Higher Education	Sensitisation done through General Conference theme in 2015 in Kigali
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KRA4: Knowledge Generation, Management and Dissemination

Strategic Objective	Programme	Outcome
Improve capacity for knowledge production and management	Link DATAD with more HEIs Establish harvest of online resource centres for HEIs Collect, store, and manage data on and from African HEIs	Exposure of African scholarly works, particularly full text through established national repositories
Increase relevant studies and publications on HEIs	Commission studies on topical HE issues	

KRA5: Community and Student Engagement in HEIs

Strategic Objective	Programme	Outcome
Enhance participation of students in community engagement in HEIs O.J./Araba	Capacity building and appropriate programmes designed for students	Exposure of students to the world of work through Graduate internships
Enhance collaboration between AAU and student bodies	Establish strong links with continental student organizations and implement joint programmes	AAU engagement with AASU

GOAL 3 - Capacity to meet broader societal needs**KRA6: Engagement with African and International Partners in Development for Improved Collaboration**

Strategic Objective	Programme	Outcome
Increase collaboration with International partners in development	Map areas of collaboration/ Conference participation	Several Partnerships initiated with international partners and governments World Bank, PASET, ENAAMS

Enhance strategic relations with Ghana, the host country	Greater involvement of government in AAU events	Increased visibility of AAU in Ghana Negotiation on-going for full diplomatic status
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KRA7 : Supporting HEI's Responses to Local and Regional Challenges

Strategic Objective	Programme	Outcome
Enhance the capacity to meet Millennium Development Goals (MDGs)	Strengthen capacity of AAU membership to assist African countries to achieve MDGs	• Publications from MRCI • AAU now lead implementing agency for CESA
	Support HIV/AIDS & HE Programme	• Development of maiden HIV and Anti-Sexual Harassment Institutional Policies in African universities • HIV mainstreaming in curriculum
Increase promotion of Education for Sustainable Development(ESD) in Africa	Encourage participation in MESA Project & commission survey	• Partnership with UNEP, GUNI & IAU enhanced
Increase contribution to Education For All (EFA) targets and emphasizing Teacher Training	Participate in implementation of AUC teacher education programmes (TESSA & UNESCO Bamako Cluster)	•
	Collaborate with ACDE on QA in distance and open learning programmes	
	Support surveys on status of attainment of EFA targets in selected countries	• Information (data) on status of attainment of EFA targets produced by 2014
Increase support for conflict management programmes in HEIs	Commission Case Studies on good practice in conflict prevention, resolution & mgmt. in HEIs Develop module for incorporation in LEDEV/MADEV curricula	Not done

ANNEX 6: AAU PRESENTATION OF SIDA FUNDED PROJECT RESULTS.

PROJECT RESULTS: JAN 2014 – OCT 2017

ACTIVITY PLANNED AND EXECUTED	ACTIVITY TIMELINE	REMARKS
STAFF DEVELOPMENT		
2014:		
- Train 10 Staff in Project Mgt. 10 Staff in Functional French. - Project Staff in Leadership and Mgt skills. - Review, finalise and operationalize staff policy and manual (Conditions of Service)	- Training done in September 2014 - Year-long activity - Undertaken in June 2014 - Finalized and approved by the AAU Governing Board in 2016.	
2015:		
Procure MS. Project software		
Train Senior Management in Leadership & Governance	6-Day Workshop on Project Management (MS Project), Fundraising & Proposal writing held .	Training theme changed based on need for programme sustainability and donor knew about it.
AAU Staff Retreat (Brainstorming Session for development of new Strategic Plan)	Two-day retreat held in May 2015 to discuss new Strategic Plan (2016 - 2020)	The Strategic Plan is now operational
2016:		
Train Staff on Performance Management	3-Day Workshop on Project Management held in May 2016	
AAU Staff Retreat (Brainstorming Session for development of new Business Plan)	Two-day retreat held in Nov 2016 to discuss modalities for new Business Plan	The issue was discussed over and over again. We even started its development. But we could not continue because of what constitutes a business plan as opposed to a strategic plan
2017:		
Train staff in conflict resolution in a multi-cultural environment for better project management	The two day training workshop was held from 19 – 20 July at the Volta Hotel Akosombo	- Staff found training very useful and relevant to their work - Provided different per-

		spective on work place conflict management Helped to improve relationship with colleagues.
AAU STATUTORY MEETINGS		
2014:		
- Organise 2014 Executive Committee Meeting - Organise 2014 Governing Board Meeting	- Executive committee meeting held in May 2014 - Board meeting held end June 2014	
2015:		
2015 COREVIP Preparation. Organise preparatory meetings and develop concept note	Venue for COREVIP decided; Concept Paper developed; and preparatory meetings started in September 2014 with visit to host country (Rwanda)	
Organise 2015 AAU Executive Committee Meeting	Exec. Committee meeting held	Meeting time was changed based on availability of Committee members
Organise 2015 AAU Governing Board Meeting	Governing Board meeting held in Kigali, Rwanda	Meeting timeline aligned with COREVIP to minimise cost
Organise preliminary meetings and one visit to conference site (Rwanda)	Preliminary visits made to Kigali to arrange logistics and garner government support for the conference.	
Organise COREVIP 2015 conference	COREVIP 2015 held in Kigali, Rwanda	
2016:		
Organise 2016 AAU Executive Committee Meeting	Not held	Due to unavailability of Committee members
Organise 2016 AAU Governing Board Meeting	Governing Board meeting held in Accra, Ghana in June 2016	
Organise preparatory meetings towards general conference 2017 and jubilee celebrations	Preliminary visits made to Kigali to arrange logistics and garner government support for the conference.	
Visits to conference site to meet with local Organising Committee and to arrange logistics	COREVIP 2015 held in Kigali, Rwanda	Meeting was highly successful

2017:		
Organise 2017 AAU Governing Board Meeting	Governing Board meeting held in Accra, Ghana in June 2017	
Organise the 2017 General Conference and Golden Jubilee Celebrations	General Conference was held on 5-8 June 2017 at La Palm Royal Beach	Meeting was a huge success. It was officially opened by the President of the Republic of Ghana, HE Nana Addo Dankwa Akuffo-Addo
INFORMATION RESOURCES IN HIGHER EDUCATION		
2014: - Production and dissemination of HE publications and information. - Management of AAU library on HE with query and answer facility. - AAU website development and maintenance.	- Key HE publications produced and disseminated at various conferences, workshops, and other events. - AAU library services have been revitalised and upgraded. - AAU website redesigned, enhanced and managed in 2014.	Uptime of site increased to 100%; visibility of site increased and DATAD platform linked to site
2015:		
(i) Peer review and publication of papers on New Funding Models for Africa's HEIs; (ii) Publication of Conference Report	Report of the commissioned studies and conference proceedings edited and published	
Peer review and publication of Synthesis Report of MDG research results	Research reports produced under MRCI peer reviewed and published in 2015	Peer Reviewers not available during initial planned period
Subscription to online journals, purchase license for use of online educational resources	6-month's subscription paid to harvest African HE news to inform programme direction and provide content for AAU newsletter .	
Develop and manage AAU website	Website updated and redesigned. AAU Blog and social media pages introduced	
2016:		
(i) International Conference on Private Universities in Africa; (ii) Publication of Conference Report	Private Higher Education Conference held in Addis. Conference Proceedings published	
Subscription to online journals, purchase license for use of online educational resources	6-month's subscription paid to harvest African HE news to inform programme direction and provide content for AAU newsletter	

Develop and manage AAU website	Website updated and redesigned. AAU Blog and social media pages introduced	
2017:		
Develop and manage AAU website	Plugins and other necessary support apps acquired to secure the site and improve its functional requirements	
ACADEMIC MOBILITY		
2014: - Award 20 inter-Africa exchange fellowships - Award 8 diaspora-Africa exchange fellowships	6 inter-Africa exchange fellowships awarded for teaching, research, theses supervision and seminar presentations for 3 months maximum 4 institutions (two each from Nigeria and South Africa) benefitted - Flyers printed and disseminated for publicity	Due to the amount of money involved, difficult to get academics from the diaspora to undertake the exchange programme
2015:		
10 Inter-Africa academic exchange missions	13 Inter-Africa exchange missions undertaken	Target exceeded
5 Diaspora-Africa academic exchange missions	2 Diaspora-Africa exchange missions undertaken	Difficulty in attracting faculty from Diaspora. Low honorarium seems to be a challenge
Publicity/Outreach	Flyers on academic mobility produced and disseminated at AAU events	
2015:		
Award 20 PhD grants	57 PhD grants awarded	Target exceeded
Award 10 Masters grants	17 Masters grants awarded	Target exceeded
Selection Panel	6 Faculty of African universities engaged to review 127 Proposals	

2016:		
4 Inter-Africa academic exchange missions	7 Inter-Africa exchange missions undertaken	Target exceeded because of funding from elsewhere
1 Diaspora-Africa academic exchange missions	1 Diaspora-Africa exchange missions undertaken	Target met
Award 20 PhD grants	24 PhD grants awarded	Target exceeded because of funding from elsewhere
Award 12 Masters grants	12 Masters grants awarded	Target met
2017:		
Award 20 PhD grants	25 PhD grants awarded	Target exceeded
Award 15 Masters grants	Previous successful proposals did not include masters. Call reopened and review of proposals ongoing	Ongoing
Selection Panel	2 Faculty of African universities engaged to review Proposals. Initial screening of 849 proposals ongoing	Ongoing
Sponsor 4 Inter-Africa academic exchange missions	10 Inter-Africa exchange missions undertaken	Target exceeded
Sponsor 1 Diaspora-Africa academic exchange missions	3 Diaspora-Africa exchange missions undertaken	Target exceeded
ICT & DATAD		
2014: - Organise training on set up of institutional repositories for 35 university library staff - Support set up of 3 new national repositories	- Training workshop held for 35 people in April 2014 on set up of institutional repositories (Nairobi, Kenya) - Training workshop held for 90 in May 2014 on set up of institutional repositories (Abidjan, Côte d'Ivoire) 3 new national repositories set up in Kenya, Rwanda and Sudan	

2015:		
Organise 1 Regional Policy Development Workshop	1 Policy development workshop was held for 50 ICT managers	
	Set up of 3 new national repositories supported	
Organise annual DATAD workshops	DATAD annual workshop held in Entebbe, Uganda.	Decision taken at meeting to introduce quality control checks before IRs are harvested to DATAD
ICT & DATAD		
2016:		
Organise 1 Regional Policy Development Workshop	1 Policy development workshop was held for 50 ICT managers in September 2016 in Botswana	Workshop organized in collaboration with African Network Operators Group.
Organise annual DATAD workshops	DATAD annual workshop held in November 2016 in Bulawayo	Organized in conjunction with Academy of Sciences of South African and the decision to taken to 1. Include research from faculty and 2. For ASSAf to host DATAD-R
2017:		
1 Policy development workshop was held for 50 ICT managers in June 2017 in Nairobi	Workshop organized in collaboration with African Network Operators Group. Training provided on network security for African HEIs	
First DATAD-R Workshop held in June in Lilongwe, Malawi Second held in November in Pretoria	Two workshops held in 2017 to provide hands-on training for the new DATAD-R platform and to evaluate and to upgrade old setups to the latest version of IR software	
UNIVERSITY-INDUSTRY LINKAGES		
2014: 30 fellowships awarded for internships with productive sector	▪ 49 fellowships awarded and internships undertaken from June to September 2014 • Beneficiaries were from 10 countries (BF, CM, CAR, CI, GH, NG, SN, RSA, UG& ZM) and included: ✓ 33 (67%), 16 Females (33%)	

	✓ 80% Masters, 16% PhDs, 4% Bachelors	
2015:		
Award 35 student internship grants	• 47 internship grants awarded • Beneficiaries were from 24 Institutions in 12 African countries • 26% females	Target exceeded
Cover related administrative charges	Bank transfer charges covered	
EVALUATION		
Undertake annual audit of project accounts		
UNIVERSITY-INDUSTRY LINKAGES		
2016:		
Award 30 student internship grants	• 70 internship grants awarded • Beneficiaries were from 29 Institutions in 12 African countries • 39% females	Target exceeded
2017:		
Award 42 student internship grants	• 42 internship grants awarded • Beneficiaries were from 29 Institutions in 12 African countries • 52% females	
EVALUATION		
2016:		
Undertake annual audit of project accounts		
2017:		
Undertake annual audit of project accounts		

AAU GLOBAL IMPACT

- ☐ COREVIP/GC
- ☐ Academic Mobility
- ☐ Information Resources on Higher Education
- ☐ Quality Assurance
- ☐ African Higher Education Statistics

AAU PAST GENERAL CONFERENCE / COREVIP

Event	Venue	Year	Theme
14th General Conference	Accra, Ghana	June 5 – 8, 2017	AAU@50: Achievements, Challenges and Prospects for Sustainable Development in Africa
COREVIP	Kigali, Rwanda	June 2 – 5, 2015	Internationalisation of Higher Education in Africa
13th General Conference	Libreville, Gabon	May 28 – 31, 2013	Transforming African Higher Education for Graduate Employability and Socio-Economic Development
COREVIP	Stellenbosch, South Africa	May 30 - June 3, 2011	Strengthening the Space of Higher Education in Africa
12th General Conference	Abuja, Nigeria	May 4 – 9, 2009	Sustainable Development in Africa: The Role of Higher Education
Event	Venue	Year	Theme
COREVIP	Tripoli, Libya	2007	The African Brain Drain: Managing the Drain, Working with the Diaspora
11th General Conference	Cape Town, South Africa	February 21 - 25, 2005	Transnational Provision and the Future of Higher Education in Africa
COREVIP	Mauritius	March 17 - 21, 2003	The Role of African Higher Education Institutions in the Building of the African Union

10th General Conference	ABIDJAN, Cote d'Ivoire	February 5 - 9, 2001	African Universities and the Challenge of Knowledge Creation and Application in the New Century
COREVIP	Arusha, Tanzania	February 1 - 4, 1999	Revitalizing Universities in Africa: Strategy for the 21st Century

General Conference / COREVIP IMPACT

- ❑ Continental Summit on African Higher Education in Dakar, Senegal on 12-13 March 2015 under the theme: ***Revitalizing Higher Education for Africa's Future***
- ❑ The African Union Commission (AUC) requested the Government of Senegal to add the Summit Declaration to the agenda of the AU Heads of State summit in June 2015 in Johannesburg, South Africa. And President Macky Sall of Senegal agreed to be the flag bearer for Africa's Higher Education Top 10 Heads of State.
- ❑ MasterCard Foundation requested AAU to organize Consultation on Higher Education in Africa in Dakar, Senegal, on 21-22 November 2016. One of the recommendations of the Consultation is the "Demography of African Faculty" being implemented by AAU, PRB, and ESSA.

GC / COREVIP IMPACT: OTHER ISSUES (HIV)

- ❑ Because of the biennial meeting of African Universities CEOs, AAU was funded to launch aggressive advocacy campaigns on university campuses. This led to the AAU HIV/AIDS programme, funded by Sida, and which contributed to awareness creation on campuses about the harmful effects of HIV/AIDS.

GC / COREVIP IMPACT: OTHER ISSUES (QA)

- ❑ The AAU Statutory Meetings contributed to bringing to the fore the importance of assuring quality in educational delivery. As a result, AAU launched the AAU Quality Assurance Programme which has raised contributed in raising awareness on quality assurance via workshops; in-service training; voluntary peer-reviews, etc.
- ❑ Additionally, AAU established the AfriQAN in 2009 for NRAs and HEIs, which brings them together every year to share knowledge and ideas on recent developments in the field. As a result of these efforts, many universities across Africa now have QA units, while countries that do not have QAAs now have them including Senegal and Gambia.
- ❑ This has also motivated the AUC to designate AAU as its main implementing agency on HE and the Coordinator of the HE Cluster in implementing CESA-25.
- ❑ AAU hence played a key role in the development of the AUC PAQAF and AQRM tools, which has led to the HAQAA Initiative of which AAU is the only African partner in the five-institution consortium.

- ❑ AAU is also part of Tuning Africa Initiative

GC / COREVIP IMPACT: OTHER ISSUES (POLICY RESEARCH)

The theme of the Statutory Meeting in 2009 was [“Sustainable Development in Africa: The Role of Higher Education”](#).

- ❑ That same year AAU got funding from DFID to execute the MRCI geared toward funding policy relevant research that would address the MDGs. 35 policy briefs on MDGs were published; 6 regional networks were either established or strengthened; many HEIs and organizations from 31 countries in Africa collaborated in undertaking the policy research. A Synthesis Report of all the funded projects entitled **CONTRIBUTION OF AFRICAN UNIVERSITIES TO THE ATTAINMENT OF THE MDGs** is available upon request.
- ❑ These efforts are currently being supported at a smaller scale by African Capacity Building Foundation to address the Sustainable Development Goals (SDGs).
- ❑ Furthermore, AAU was a partner with UNEP in developing the training modules on ‘**Mainstreaming Environmental Sustainability in African Universities**’ which are the tools many African universities have adopted and adapted for inter-disciplinary studies.
- ❑ The AAU further partnered with IAU and GUNI to conduct a baseline research on the **Promotion of Sustainable Development in African Universities**.

GC / COREVIP IMPACT: OTHER ISSUES (ACE)

- ❑ The World Bank’s renewed interest in HE led to the launch of the ACE Project in 2013. AAU was chosen as the RFU because of its niche in mobilizing African higher education community as evidenced by the huge numbers of university leaders, policy makers, scientists and development partners that attend our GC & COREVIP, as well as the Association’s enviable record of effective project management.
- ❑ There are 22 ACEs in 21 universities across 8 West and Central African countries. Some of them are making a difference (eg. ACEGID played a key role in Ebola diagnosis and management in Nigeria; WACCI, 2iE, ACEGID and WACCBIP have secured additional funding from other donors; WACCI is currently working with the Government of Ghana to promote the national agenda of **Planting for Food & Jobs**).
- ❑ The project will continue till **June 2020**. Because of the impressive performance of the RFU and the ACEs, **World Bank has approved Phase III** of the project.

GC / COREVIP IMPACT: OTHER ISSUES (PASET-RSIF)

- ❑ Because of AAU’s capacity to implement large-scale projects and its ability to mobilize HE stakeholders, clearly demonstrated in its statutory meetings, it has been designated by participating African countries as the implementing agency for the PASET-RSIF which began this year – a ten-year project to produce 10,000 PhDs in key disciplines.

AAU GLOBAL IMPACT: ACADEMIC MOBILITY

- ❑ **Small Grants Programme:** Many of the recipients have completed their edu-

cation and gone on to become lecturers; HODs; Deans; Directors; etc. at various sectors of the economy.

- ❑ **Staff Exchange Programme:** Beneficiary institutions were better served and students were happy with the Exchange Fellows as shown by the various reports received on the programme. Collaborative research work and networking have also been established among the teaching colleagues.

AAU GLOBAL IMPACT: LEDEV/MADEV

- ❑ While no causality can be conclusively established, many of the beneficiaries of the AAU LEDEV and MADEV Programmes have gone on to become successful university leaders and have filled important positions in their countries. For example, the first woman vice chancellor of a public university in Ghana (Prof. Naana Jane Opoku-Agyeman) was elevated to that post after attending the AAU MADEV Training. She later became the Hon. Minister of Education of Ghana. Similarly, other academics who benefitted from these training were subsequently appointed positions such as VCs; Deputy VCs; Deans; etc.).

AAU GLOBAL IMPACT: INFORMATION RESOURCES ON HIGHER EDUCATION

- ❑ **Publications:** Several HE publications have been made during this period including Towards Innovative Models for Funding Higher Education in Africa .
- ❑ **Website Development and Maintenance:** Following the redesign of the AAU website in January 2014, uptime, number of hits per day, time spent on the site and bounce rate improved tremendously. This performance was sustained over the reporting period. Additionally, there was an increase in records on the DATAD platform that show cases indigenous African research, from 21,000 to 38,782. This represents an 85% increase.
- ❑ **DATAD:** Through DATAD, AAU has been providing access to Africa's scholarly works (theses, dissertations and publications) both full text and abstracts
- ❑ Trains universities on management and dissemination of these resources

ANNEX 7: OUTCOMES ATTRIBUTED TO SIDA FUNDING ICT

Outcomes attributed to the Sida funding – ICT Services, Corporate Communications and Knowledge Management

	Before	After
DATAD		
	Content of DATAD was on CD and circulated to subscribers. Those not subscribing could not have access to the content	DATAD-R is now an Open Access to the global academic community
	DATAD content was metadata and in some instances abstracts were included	Content on DATAD now is metadata, abstracts plus full texts of real work.
	Initial software (Endnote) used for managing DATAD was proprietary, restrictive and did not support online hosting changed	DATAD platform switched to DSpace which is open source and Librarians/IT support staff trained to set up institutional repositories and manage them online using the DSpace software (see sample list of repositories below)
	Limited institutional policies that committed the institution to support the operation of their repositories	New institutional policies based on senate approved policies to govern institutional repository operations. This has aided the sustainability of institutional repositories.
		Capacity of librarians built on IPR to mitigate the challenge of copyright preventing open dissemination of research on their institutional repositories
		In the last 4 years over 80 University librarians and University ICT support staff trained to setup, move to DSpace, upgrade to newer versions or improve knowledge/content management
		20 institutional repositories setup or upgraded, and improved content.
New Direction		
	Advocacy to enhance DATAD further by (i) Including primary or supporting data for each research to allow verifiability of research conclusion (Aimed at promoting quality analysis of data and promote sharing of primary data) (ii) including research articles/findings from faculty (iii) Quality control Instrument developed to evaluate repositories and to harvest only those meeting a certain level of quality and consistency (tool here https://drive.google.com/file/d/0B6w8fGuczXqZ2hKaINDZVRyaVU/view?usp=sharing) (iv) DATAD-R application for evaluation and inclusion link here https://docs.google.com/forms/d/e/1FAIpQLSdLx5toNR3cP39R2entXEXVG1O-AXu4B2sqjDU4jDIHv1VqjQ/viewform A.	
Communication		
	AAU had no social media presence to help in the outreach and communication activities	AAU has a vibrant social media presence with a Facebook account, YouTube account, twitter handle, blogs and 9 websites a Flickr account that also serves as online album to display pictures from the AAU activi-

	ties. These are used to share information and knowledge created from the various AAU activities Responses from survey indicated that people are hearing more about the activities of AAU through the social media platforms than from the former means of advertising by print and website alone. AAU Secretariat recruited 118 volunteer online social media reporters across Africa to support the 2015 African University Day visibility campaign In September 2015, the AAU Secretariat issued a call for volunteer online social media reporters to support the African University Day campaign for 2015. The Social Media Reporters helped to build AAU's visibility through this campaign and the experience was also beneficial to the 118 young people in terms of their learning and practical exposure to African higher education issues. The roles of the Online Volunteer Social Media Reporters was to 'like' and follow the various AAU Social Media platforms, regularly visit AAU platforms to retweet and share interesting posts. Guided by their team leaders, they conducted research and originated quality posts using the hashtag #AUDAY2015 focusing on the agreed themes. The benefits to the Online Volunteer Social Media Reporters were that they learned about social media reporting in addition to learning about African higher education issues through the research that they conducted. They were also given e-certificates signed by the AAU Secretary General Online Volunteer Social Media Reporters are now recruited annually to support the visibility strategy of the AAU As a result more diverse stakeholders are becoming aware of the AAU
Absence of regular AAU Newsletter	Issuance of AAU newsletter (Electronic) introduced – 62 Issues to date http://us8.campaign-archive.com/home/?u=6cc9eba9342422628d5639f6e&id=4a5ee28197
No tracking of African Higher Education News online	Subscription to intelligence systems that filters news about academia from internet for inclusion in newsletter paid by SIDA funds Meltwater Platform
No Mailing List for the AAU	MailChimp Mailing system for newsletter distribution acquired. System also helps with metrics to inform AAU which news interest our readership
No systems to support operations and management of projects at AAU Secretariat. HIGH AAU CARBON FOOT-PRINT	Systems have been developed to help improve the following activities (i) AAU Membership Application System (ii) Application System for Small Grants and Dissertation (iii) Application and Review System for the ENNAMS Fellowship (iv) Application System for Graduate Internships (v) Application System for Staff Exchange (vi) Application System for the Quality Assurance Trainees under HAQAA (vii) Regional Scholarship and Innovation Fund Online Application &

		Review System (viii) Online Registration System for 14th General Conference (ix) Online submission and Review System for the 14th General Conference papers
		Modern websites with enhanced features developed and launched that keep the people informed about our activities and opportunities.
	Unreliable email system at the AAU Secretariat	The AAU Email system which was hosted at the Secretariat was not reliable because of frequent power outages. This also presented the Secretariat staff in a poor light if they responded late to emails because of the unreliability of the system. A decision was made to subscribe to the Microsoft Office 365 system which is hosted on the cloud. Hosting on the cloud has improved the uptime of the email system and enabled ICT staff to focus on the core business of strengthening the management information systems and the communication function of the Secretariat.
	Unattractive websites	1. Main AAU Website: https://www.aau.org/ 2. Blog: http://blog.aau.org/ 3. Events: http://events.aau.org/ 4. HAQAA: https://haqaa.aau.org/ 5. AFRIQAN: https://afriqan.aau.org/ 6. ENAAMS: https://ams.aau.org/ 7. Online Forums: https://forum.aau.org/ 8. ACE: https://ace.aau.org 9. https://events.aau.org/gencon14 10. https://events.aau.org/aris 11. https://events.aau.org/auday/ 12. RSIF: https://www.rsif-paset.org/

	Institution	Repository link	Contact details
1	MMUST	https://ir-library.mmust.ac.ke/	Wikana Robinson
2	KNUST	http://ir.knust.edu.gh	Michael Thompson <thompson.mdo@gmail.com>
3	University of Rwanda	http://dr.ru.ac.rw	Dr Robinah Namuleme <namulemerobinah@gmail.com>
4	University of Ghana	http://ugspace.ug.edu.gh/	Henry Atsu <atsu.agbodza@gmail.com>
5	AVCNU Headquarters Nigeria	Offline/intranet	Mr Adigun Olayiwola <aoadigun@gmail.com>
6	Federal University of Technology, Owerri		Colette Onyebinama okcoletto@yahoo.com Nkeiru Emezie < enkamy@yahoo.com >
7	Makerere University		Agnes Namaganda <namaganda.agnes@gmail.com>
8	Covenant University, Nigeria		
9	University of Jos, Nigeria	http://irepos.unijos.edu.ng/jspui/	
10	Great Zimbabwe Uni-	http://ir.gzu.ac.zw:8080/jspui/	Shedrick Ndinde < sndinde@gzu.ac.zw >

	versity		
11	University of Dar es Salaam, Tanzania	Intranet	Dr E. F. Elia
12	Midlands State University, Zimbabwe	http://ir.msu.ac.zw:8080/jspui/	Faith Mudavanhuf < mudavanhuf@staff.msu.ac.zw>
13	East African Community, Tanzania	http://repository.eac.int:8080/	Roselyn Nyamato-Kwenda <rkwenda@eachq.org>
14	University of Khartoum		Yassir Hassan <yassirhassan78@gmail.com>
15	Sudan University of Science and Technology	http://repository.sustech.edu/	Contact no more with Sustech
16	University of Education, Winneba, Ghana	http://ir.uew.edu.gh:8080/jspui/	Fiakpui Frank <frankfiakpui@gmail.com>
17	Lupane State University, Zimbabwe	http://ir.lsu.ac.zw/	Nyathi Aibongwe Mabusa <anyathi@lsu.ac.zw>
	Masinde Muliro University of Science and Technology	http://ir-library.mmust.ac.ke:8080/xmlui	

ANNEX 8: MOBILITY GRANTS

(a) Staff Exchange Beneficiaries 2014 - 2017

Data provided by the Secretariat is not in a form that is easy to disaggregate. What we can say is that staff exchanges have been conducted between African universities and, in a few instance, international and African universities. The duration of the exchange has ranged from two weeks to three months. However, we are not in a position to assess the impact of this program on either the staff or the beneficiary institution.

As per the table below, within the period 2014 – 2017, forty-four such exchanges occurred. Exchange Fellows originated from institutions across twelve African countries, as well as institutions in North America and Germany. These beneficiaries were hosted by institutions from seven African countries with three Fellows going to Canada, Finland and the USA respectively.

	EXCHANGE FELLOW	INSTITUTION OF ORIGIN	COUNTRY OF INSTITUTION OF ORIGIN	HOST (BENEFICIARY) INSTITUTION	COUNTRY OF HOST INSTITUTION	DURATION OF MISSION
1	PROF. STEPHEN MITI KAPUNDA	UNIVERSITY OF BOTSWANA	Botswana	OPEN UNIVERSITY OF TANZANIA	Tanzania	62 DAYS
2	DR. SEIDOU OUSMANE	UNIVERSITY OF OTTAWA, CANADA	Canada	ZiE, BURKINA FASO	Burkina Faso	28 DAYS
3	ALLALI PATRICK DROGUI	INSTITUT NATIONAL POLYTECHNIQUE HOUPHOUET-BOIGNY, COTE D'IVOIRE	Cote D'ivoire	UNIVERSITE JEAN-FRANCOIS BLAIS, CANADA	Canada	4 WEEKS
4	LEONARD AFOUDA	UNIVERSITE FELIX HOUPHOUET-BOIGNY, COTE D'IVOIRE	Cote D'ivoire	UNIVERSITY OF PARAKOU, BENIN REPUBLIC	Benin Republic	3 WEEKS
5	MR. SIFAN ABERA KORICHE	JIMMA UNIVERSITY, ETHIOPIA	Ethiopia	CENTRAL UNIVERSITY OF TECHNOLOGY, FREE STATE, SOUTH AFRICA	South Africa	61 DAYS
6	DR. ABEBAW YIRGA ADAMU	UNIVERSITY OF ADDIS ABABA, ETHIOPIA	Ethiopia	UNIVERSITY OF PROFESSIONAL STUDIES, ACCRA (GHANA)	Ghana	3 WEEKS
7	PROF. JOHN OLAOMI	UNIVERSITY OF ADDIS ABABA, ETHIOPIA	Ethiopia	LADOKE AKINTOLA UNIVERSITY OF TECHNOLOGY,	Nigeria	

	EXCHANGE FELLOW	INSTITUTION OF ORIGIN	COUNTRY OF INSTITUTION OF ORIGIN	HOST (BENEFICIARY) INSTITUTION	COUNTRY OF HOST INSTITUTION	DURATION OF MISSION
				NIGERIA		
8	ADEGOKE AREMU	MEKELLE UNIVERSITY , ETHIOPIA	Ethiopia	UNIVERSITY OF IBADAN, NIGERIA	Nigeria	2 WEEKS
9	DR. COSMAS LAMBINI	BAYREUTH UNIVERSITY, GERMANY	Germany	UNIVERSITY OF PROFESSIONAL STUDIES, ACCRA (GHANA)	Ghana	1 MONTH
10	PROF. KAFUI ETSEY	UNIVERSITY OF CAPE COAST, GHANA	Ghana	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	28 DAYS
11	MRS. CHISARA OGBOGBO	UNIVERSITY OF GHANA, GHANA	Ghana	FEDERAL UNIV. OF TECHNOLOGY, OWERRI, NIGERIA	Nigeria	14 DAYS
12	DR. ALBERT PUNI	UNIVERSITY OF PROFESSIONAL STUDIES, ACCRA (GHANA)	Ghana	CRAWFORD UNIVERSITY, NIGERIA	Nigeria	1 MONTH
13	PROF. DOMWINI KUUPOLE	UNIVERSITY OF CAPE COAST, GHANA	Ghana	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	
14	MR. FRED AWAAH	UNIVERSITY OF PROFESSIONAL STUDIES, ACCRA (GHANA)	Ghana	BOTHO UNIVERSITY, BOTSWANA	Botswana	
15	PROF. PRINCE DIDIA OZU- RUIGBO	KINGS UNIVERSITY COLLEGE, GHANA	Ghana	UNIVERSITY OF GAMBIA, THE GAMBIA	The Gambia	
16	MR. SPRAUVE WAYNE	UNIVERSITY OF GHANA,	Ghana	United Kingdoms of Africa , MARYLAND, USA	USA	8 WEEKS
17	VICTOR TAIWO	KWAME NKRUMAH UNIV. OF S&T, GHANA	Ghana	UNIVERSITY OF IBADAN, NIGERIA	Nigeria	4 WEEKS
18	JOHN OLAOMI	UNIVERSITY FOR DEVELOPMENT STUDIES , GHANA	Ghana	UNIVERSITY OF SOUTH AFRICA	South Africa	4 WEEKS
19	DR. SHITAL MARU	KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY	Ghana	UNIVERSITY OF NAIROBI	Kenya	2 WEEKS
20	PROF. GENEVIEVE WAN-	UNIVERSITY OF NAIROBI, KENYA	Kenya	UNIVERSITY OF CAPE COAST,	Ghana	92 DAYS

	EXCHANGE FELLOW	INSTITUTION OF ORIGIN	COUNTRY OF INSTITUTION OF ORIGIN	HOST (BENEFICIARY) INSTITUTION	COUNTRY OF HOST INSTITUTION	DURATION OF MISSION
	JALA			GHANA		
21	PROF. EM-MANUEL ACHUENU	UNIVERSITY OF JOS, NIGERIA	Nigeria	CENTRAL UNIVERSITY OF TECHNOLOGY, FREE STATE, SOUTH AFRICA	South Africa	92 DAYS
22	PROF. GABRIEL ADEGOKE	UNIVERSITY OF IBADAN, NIGERIA	Nigeria	UNIVERSITY OF JOHANNESBURG, SOUTH AFRICA	South Africa	60 DAYS
23	DR. FOLARANMI BABALOLA	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	UNIVERSITY OF PRETORIA, SOUTH AFRICA	South Africa	22 DAYS
24	PROF. KAYODE AYINDE	LADOKE AKINTOLA UNIVERSITY OF TECHNOLOGY, NIGERIA	Nigeria	UNIVERSITY FOR DEVELOPMENT STUDIES, GHANA	Ghana	30 DAYS
25	PROF. ELKANAH OYETUNJI	LAGOS STATE UNIVERSITY, NIGERIA	Nigeria	UNIVERSITY FOR DEVELOPMENT STUDIES, GHANA	Ghana	30 DAYS
26	PROF. OLADIJI	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	UNIVERSITY OF CAPE COAST, GHANA	Ghana	90 DAYS
27	PROF. ODEKU	UNIVERSITY OF IBADAN, NIGERIA	Nigeria	KWAME NKRUMAH UNIV. OF SCIENCE AND TECHNOLOGY, GHANA	Ghana	14 DAYS
28	PROF. TEMIDAYO OLADIJI	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	UNIVERSITY OF CAPE COAST, GHANA	Ghana	
29	PROF. DIXON TORIMIRO	OBAFEMI AWOLOWO UNIVERSITY, NIGERIA	Nigeria	NORTH-WEST UNIVERSITY, SOUTH AFRICA	South Africa	
30	PASCAL DOE	UNIVERSITE CHEIKH ANTA DIOP, SENEGAL	Senegal	UNIVERSITY OF TEMPERE, HEC-ADEV FINLAND	Finland	3 WEEKS
31	BENJAMIN EMIKPE	NJALA UNIVERSITY, SIERRA LEONE	Sierra Leone	UNIVERSITY OF IBADAN, NIGERIA	Nigeria	3 WEEKS
32	PROF. JOHN OLAOMI	UNIVERSITY OF SOUTH AFRICA	South Africa	MICHAEL OKPARA UNIVERSITY OF AGRICULTURE, NIGERIA	Nigeria	49 DAYS

	EXCHANGE FELLOW	INSTITUTION OF ORIGIN	COUNTRY OF INSTITUTION OF ORIGIN	HOST (BENEFICIARY) INSTITUTION	COUNTRY OF HOST INSTITUTION	DURATION OF MISSION
33	PROF. SUNNY IYUKE	UNIVERSITY OF WITSWATERSRAND, SOUTH AFRICA	South Africa	UNIVERSITY OF PORT HARCOURT, NIGERIA	Nigeria	92 DAYS
34	PROF. FATOKI	CAPE PENNINSULA UNIVERSITY OF TECHNOLOGY, SOUTH AFRICA	South Africa	UNIVERSITY OF ILORIN, NIGERIA	Nigeria	21 DAYS
35	PROF. NYABADZA FARAI	STELLENBOSCH UNIVERSITY, SOUTH AFRICA	South Africa	UNIVERSITY OF MALAWI, MALAWI	Malawi	1 MONTH
36	PROF. JAN BOTHA	STELLENBOSCH UNIVERSITY, SOUTH AFRICA	South Africa	UNIVERSITY OF MALAWI, MALAWI	Malawi	3 WEEKS
37	DR. RACHEL WAEMA MBOGO	STELLENBOSCH UNIVERSITY, SOUTH AFRICA	South Africa	STRATHMORE UNIVERSITY, KENYA	Kenya	4 WEEKS
38	DR. EUGENIA KAFANABO	UNIVERSITY OF DAR ES SALAM, TANZANIA	Tanzania	OBAFEMI AWOLOWO UNIVERSITY, NIGERIA	Nigeria	90 DAYS
39	YARNEY LILY	UNIVERSITY OF THE GAMBIA, THE GAMBIA	The Gambia	UNIVERSITY OF GHANA , BUSINESS SCHOOL	Ghana	2 WEEKS
40	PROF. D. O. OWINY	MAKERERE UNIVERSITY, UGANDA	Uganda	UNIVERSITY OF VENDA, SOUTH AFRICA	South Africa	30 DAYS
41	PROF. VINCENT IDEMYOR	UNIVERSITY OF ILLINOIS AT CHICAGO, USA	USA	UNIVERSITY OF PORT HARCOURT, NIGERIA	Nigeria	61 DAYS
42	PROF. ADE-FEMI SUMUNO	CITY UNIVERSITY OF NEW YORK, USA	USA	CRAWFORD UNIVERSITY, NIGERIA	Nigeria	14 DAYS
43	DR. ERIC FORI BEKOE	THE COLLEGE OF NEW ROCHELLE, USA	USA	UNIVERSITY OF GHANA, GHANA	Ghana	
44	PRINCE DIDIA	MIDLANDS STATE UNIVERSITY , ZIMBABWE	Zimbabwe	KINGS BUSINESS SCHOOL , GHANA	Ghana	4 WEEKS

(b) Small Grants for Theses and Dissertations Programme

Within the period 2014 to 2017, the AAU awarded 162 small grants for the completion of dissertations and theses. Efforts towards inclusivity have borne fruit as there is a good split across the regions represented by the AU's membership. In the period, 90 grantees were from West Africa, split across five countries, two of which are Francophone and one, Cameroon, being mixed in terms of language affiliation. East Africa – in which we have included Mauritius with one grantee, received 52 awards spread across five countries including Ethiopia, Kenya, Tanzania and Uganda. Finally, Southern Africa had 22 recipients, unevenly spread across South Africa, Zimbabwe and Zambia

Of the 162 awards, the vast majority (115) went towards the completion of PhDs. 41 PhD recipients were female. Other awards went to the completion of Masters Degrees (20 MScs, 16 MPhils and 11 MAs). Within this category, 19 recipients were female and 28 male.

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
1	2014	JOSEPH BARE	MIDLANDS STATE UNIVERSITY	PHD	M	ZIMBABWE
2	2014	CHIGOZIRIM AJAEGBU	BABCOCK UNIVERSITY	PHD	F	NIGERIA
3	2014	ABDUL-MUMUNI ABDALLAH	UNIVERSITY OF PROFESSIONAL STUDIES, ACCRA	PHD	M	GHANA
4	2014	MOHAMMED HUSSEIN ABUBEKER	ST. MARY'S UNIVERSITY	PHD	M	ETHIOPIA
5	2014	MIRIAM ABDULRAHEEM- MUSTAPHA	UNIVERSITY OF ILORIN	PHD	F	NIGERIA
6	2014	YVONNE ACQUAH	UNIVERSITY OF GHANA	PHD	F	GHANA
7	2014	ESTHER ADELOYE	UNIVERSITY OF ILORIN	PHD	F	NIGERIA
8	2014	ADEBOWALE AJAYI	BABCOCK UNIVERSITY	PHD	M	NIGERIA
9	2014	ESTHER AKOMANING	KWAME NKRUMAH UNIV. OF SC. & TECH	PHD	F	GHANA
10	2014	DANIEL AMOAKO-DARKO	UNIVERSITY OF GHANA	PHD	M	GHANA
11	2014	JACOB ANANKWARE	KWAME NKRUMAH UNIV. OF SC. & TECH	PHD	M	GHANA
12	2014	NAANA BOAKYE- AGYEMANG*	KUMASI POLYTECHNIC	PHD	F	GHANA
13	2014	OLATUNDE ELUDYOIN	UNIVERSITY OF PORT HARCOURT	PHD	M	NIGERIA
14	2014	STEPHEN EROMORBOR	CENTRAL UNIVERSITY OF TECHNOLOGY	PHD	M	SOUTH AFRICA
15	2014	OYINDAMOLA FILANI	FEDERAL UNIVERSITY OF AGRIC. ABEOKUTA	PHD	M	NIGERIA
16	2014	GRACE FRIMPONG	KUMASI POLYTECHNIC	PHD	F	GHANA
17	2014	KAWANGA KAPALAYI	UNIVERSITY OF LUSAKA	PHD	M	ZAMBIA
18	2014	GIBSON KAPILI	UNIVERSITY OF LUSAKA	PHD	M	ZAMBIA
19	2014	JULIANA KIIO	KENYATTA UNIVERSITY	PHD	F	KENYA

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
20	2014	FAUSAT KOLAWOLE	UNIVERSITY OF ILORIN	PHD	F	NIGERIA
21	2014	DORIS MENSAH-WONKYI	UNIVERSITY OF CAPE COAST	PHD	F	GHANA
22	2014	THOKOZANI MHLAMBI	UNIVERSITY OF CAPE TOWN	PHD	F	SOUTH AFRI- CA
23	2014	GERALD MURIITHI	CENTRAL UNIVERSITY OF TECHNOLOGY	PHD	M	SOUTH AFRI- CA
24	2014	KENNETH NWALA	BABCOCK UNIVERSITY	PHD	M	NIGERIA
25	2014	BEATRICE NWANKWO	UNIVERSITY OF PORT HAR- COURT	PHD	F	NIGERIA
26	2014	LUKMON ODERINDE*	REDEEMER'S UNIVERSITY	PHD	M	NIGERIA
27	2014	ANTHONY ONOJA	UNIV ERSITY OF PORT HAR- COURT	PHD	M	NIGERIA
28	2014	OLUWABUKOLA OTUSILE*	BABCOCK UNIVERSITY	PHD	F	NIGERIA
29	2014	INNOCENT PAHLA	MIDLANDS STATE UNIVER- SITY	PHD	M	ZIMBABWE
30	2014	STEPHEN DAUADA RA- SAKI	REDEEMER'S UNIVERSITY	PHD	M	NIGERIA
31	2014	SAMSON RWAWIIRE	BUSITEMA UNIVERSITY	PHD	M	UGANDA
32	2014	GETAHUN SEMEON	ST. MARY'S UNIVERSITY	PHD	M	ETHIOPIA
33	2014	NASIBATU TAAHIRU- SWALLAH	UNIVERSITY OF CAPE COAST	PHD	F	GHANA
34	2014	ESTHER TOLORUNJO*	FEDERAL UNIV. OF AGRIC, ABEOKUTA	PHD	F	NIGERIA
35	2014	TAYE GIRMA	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA
36	2015	ALEMAYEHU ASSEFA AYELE	UNIVERSITY OF SOUTH AFRICA	PHD	M	SOUTH AFRI- CA
37	2015	GODWIN EDE	ABUBAKAR TAFAWA BALEWA UNIVERSITY	PHD	M	NIGERIA
38	2015	ABEBEH TIRUNEH	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA
39	2015	DEMIS MENGIST	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA
40	2015	FELIX KWAME KUMEDZRO	KENYATTA UNIVERSITY	PHD	M	KENYA
41	2015	MIGHT KOJO ABREH	UNIVERSITY OF NAIRROBI	PHD	M	KENYA
42	2015	ALLIANCE NICAISE FOUOTSA SAHA	UNIVERSITY OF NGAOUN- DERE	PHD	F	CAMEROON
43	2015	ALPHONSE A. ALO- MASSO	UNIVERSITY OF ABOMEY CALAVI	PHD	M	BENIN
44	2015	AMINATU MEFIRE FAGNGY	UNIVERSITY OF NGAOUN- DERE	PHD	F	CAMEROON
45	2015	GADJI ALAHOU ANDRÉ GABAZÉ	UNIVERSITE NANGUI ABROGOUA	PHD	M	COTE D'IVOIRE
46	2015	KIMOU SERGE HERVE	UNIVERSITE NANGUI	PHD	M	COTE

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
			ABROGOUA			D'IVOIRE
47	2015	KOFFI KONAN	UNIVERSITE DE NANGUI ABROGOUA	PHD	M	COTE D'IVOIRE
48	2015	MATHAIS KAIMANGUI	UNIVERSITE DE NGAOUN- DERE	PHD	M	CAMEROON
49	2015	MAVIS MENSAH	UNIVERSITY OF CAPE COAST	PHD	F	GHANA
50	2015	OUSMANOU AMADOU GARGA	UNIVERSITE DE MAROUA	PHD	M	CAMEROON
51	2015	PERICLEX FOSSO TCHUN- TE	UNIVERSITY OF NGAOUN- DERE	PHD	M	CAMEROON
52	2015	TCHANGANG TCHOUAKSSO CLAUDIA	UNIVERSITE DE YAOUNDE I	PHD	F	CAMEROON
53	2015	MULAT TASSEW TADESSE	ADDIS ABABA UNIVERSITY	PHD	F	ETHIOPIA
54	2015	RAHEL TADESSE	ADDIS ABABA UNIVERSITY	PHD	F	ETHIOPIA
55	2015	SOLOMON DEBELE BE- DASA.	HARAMAYA UNIVERSITY	PHD	M	ETHIOPIA
56	2015	DAVID MATHUVA	JOMO KENYATTA UNIV OF AGRIC & TECH,	PHD	M	KENYA
57	2015	MAURINE KANG AHI	MASENO UNIVERSITY	PHD	F	KENYA
58	2015	ANTHONY WANYONYI WEKESA	MASINDE MULIRO UNIV OF SC & TECH	PHD	M	KENYA
59	2015	TSIMBIRI PAMELA FEDHA	MASINDE MULIRO UNIV OF SC & TECH	PHD	F	KENYA
60	2015	GEORGE OCHIENG'ASUDI	NORTH-WEST UNIVERSITY	PHD	M	SOUTH AFRI- CA
61	2015	LAURENE BOATENG	UNIVERSITY OF GHANA	PHD	F	GHANA
62	2015	TAKYI HARRIET	UNIVERSITY OF EDUCA- TION, WINNEBA	PHD	F	GHANA
63	2015	AKINOLA O. ADEYO	UNIVERSITY OF KWAZULU NATAL	PHD	M	SOUTH AFRI- CA
64	2015	EVANS CHIMOITA	UNIVERSITY OF NAIROBI	PHD	M	KENYA
65	2015	MARGRIETHA TRUTER	UNIVERSITY OF PRETORIA	PHD	F	SOUTH AFRI- CA
66	2016	CHRISTIAN KUETE FOFIE	UNIVERSITY OF DSCHANG	PHD	M	CAMEROON
67	2016	FRU SAMUEL BILLA	UNIVERSITY OF DSCHANG	PHD	M	CAMEROON
68	2016	HAILEEYESUS H GEBRIEL GEBREHIWOT	JOMO KENYATTA UNIV OF AGRIC & TECH,	PHD	M	ETHIOPIA
69	2016	BEYENE WUBISHAW ENDALE	UNIVERSITY OF SOUTH AFRICA	PHD	M	ETHIOPIA
70	2016	EDWIN KIMUTAI KANDA	UNIVERSITY OF KWAZULU NATAL	PHD	M	KENYA
71	2016	DEMASSU GEBRE	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
		TAFERA				
72	2016	AMANI JACKSON UISSO	STELLENBOSCH UNIVERSITY	PHD	M	TANZANIA
73	2016	GIRMAW MITIKIE GEREMEW	UNIVERSITY OF SOUTH AFRICA	PHD	M	ETHIOPIA
74	2016	JACINTER ALUOCH AMADI	UNIVERSITY OF NAIROBI	PHD	F	KENYA
75	2016	BIRHANE MULUGETA BELAINEH	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA
76	2016	FANUEL KAWAKA J	MASENO UNIVERSITY	PHD	M	KENYA
77	2016	PENINAH KARIMI MWENDA	UNIVERSITY OF NAIROBI	PHD	F	KENYA
78	2016	GEBREHIWOT WELDEGEBRIAL GEBRU	MEKELLE UNIVERSITY	PHD	M	ETHIOPIA
79	2016	GETANEH HAILE SHOD- DO	UNIVERSITY OF SOUTH AFRICA	PHD	M	ETHIOPIA
80	2016	MELAKU ABERA TEKLA	ADDIS ABABA UNIVERSITY	PHD	M	ETHIOPIA
81	2016	WEDZERAI CHIEDZA MANDUDZO	UNIEVRSITY OF PRETORIA	PHD	F	SOUTH AFRI- CA
82	2016	MARINA VICTOROVNA VISSER	UNIVERSITY OF NORTH- WEST	PHD	F	SOUTH AFRI- CA
83	2016	OLADELE VINCENT AD- ENIYI	UNIVERSITY OF FORT HARE	PHD	M	SOUTH AFRI- CA
84	2016	SITHABILE HLAHLA	UNIVERSITY OF KWAZULU NATAL	PHD	F	ZIMBABWE
85	2016	NEVER MAFUSE	UNIVERSITY OF FORT HARE	PHD	M	ZIMBABWE
86	2016	ULOMA UBANI-UKOMA	UNIVERSITY OF LAGOS	PHD	F	NIGERIA
87	2016	HAMDIAH ALHASSAN	UNIVERSITY OF GHANA	PHD	F	GHANA
88	2016	OLUSOLA JOSHUA ODU- TAYO	FEDERAL UNIVERSITY OF AGRIC, ABEOKUTA	PHD	M	NIGERIA
89	2016	AMINU DRAMANI	KWAME NKRUMAH UNIV. OF SC. & TECH	PHD	M	GHANA
90	2017	SOLOMON HISHE WOLDEGIORGIS		PHD	M	ETHIOPIA
91	2017	SAMUEL SAHLE WELDEMARIAM		PHD	M	ETHIOPIA
92	2017	MEYREMA ABDO KOMICHA		PHD	F	ETHIOPIA
93	2017	SILAS MUFAMBI MUDY- IWA		PHD	M	ZIMBABWE
94	2017	MOREBLESSING CHI- SURO		PHD	F	ZIMBABWE
95	2017	EMMANUEL ODURO- AFRIYIE		PHD	M	GHANA

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
96	2017	KOFI OSEI ADU		PHD	M	GHANA
97	2017	SAMIRAH NNDWAN ABDU-AGUYE		PHD	F	NIGERIA
98	2017	GABRIEL KOFI OSEI		PHD	M	GHANA
99	2017	BUKOLA AMINAT OSENI		PHD	F	NIGERIA
100	2017	SUNDAY ISRAEL OYEBAMIJI		PHD	M	NIGERIA
101	2017	JUSTINA ADA ACHUKA		PHD	F	NIGERIA
102	2017	EBUKA DAVID EMEANU ARTHUR		PHD	M	NIGERIA
103	2017	ALI FAISAL ABDULHAKIM		PHD	M	NIGERIA
104	2017	ISHMAEL HASHMIU		PHD	M	GHANA
105	2017	UTOM-OBONG UDOM AKPAN		PHD	M	NIGERIA
106	2017	NOIMOT ABIOLA BAKARE		PHD	F	NIGERIA
107	2017	ADEYEMI SAHEED BADEWA		PHD	M	NIGERIA
108	2017	ISAAC DERY		PHD	M	GHANA
109	2017	EMMANUEL NKE- MAKOLAM IWUALA		PHD	M	NIGERIA
110	2017	GABRIEL KALLAH- DAGADU		PHD	M	GHANA
111	2017	KABIR OLARONGBE ABDULKAREEM		PHD	M	NIGERIA
112	2017	ADEGBOYEGA ADEDOLAPO OLA		PHD	M	NIGERIA
113	2017	ABDULFATAI TEMITOPE AJIBOYE		PHD	M	NIGERIA
114	2017	ODO JONES BASSEY		PHD	F	NIGERIA
115	2017	CHIJIJOKE NNEAMAKA EZENNAKA		PHD	F	NIGERIA
116	2014	OLUWASEUN OMIKUN- LE*	FEDERAL UNIV. OF AGRIC, ABEOKUTA	MSC	M	NIGERIA
117	2015	DOURWE DOGSAYE PIERRE	UNIVERSITY OF NGAOUN- DERE	MSC	M	CAMEROON
118	2015	TEMITOPE OLUWASEYI OLOKUNDE	COVENANT UNIVERSITY	MSC	M	NIGERIA
119	2015	RINDORIA NEHEMIAH MOGOI	EGERTON UNIVERSITY	MSC	F	KENYA
120	2015	EDITH JEPCHIRCHIR KURUI	EGERTON UNIVERSITY	MSC	F	KENYA
121	2015	MWOWE JOHNSON KYALO	EGERTON UNIVERSITY	MSC	M	KENYA

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
122	2015	NGENO EMILY CHELANGAT	MASINDE MULIRO UNIV OF SC & TECH	MSC	F	KENYA
123	2015	RWEGASILA EDWARD	UNIVERSITY OF DAR ES SALAAM	MSC	M	TANZANIA
124	2015	ANTHONY OMOPARIOLA	UNIVERSITY OF ILORIN	MSC	M	NIGERIA
125	2015	STRATON NARAIN	UNIVERSITY OF PRETORIA	MSC	M	SOUTH AFRICA
126	2016	HARRISON KIPROTICH SIMOTWO	UNIVERSITY OF NAIROBI	MSC	M	KENYA
127	2016	LAWRENCE WERE OURU	EGERTON UNIVERSITY	MSC	M	KENYA
128	2016	HARRIET NATABONA MUKHONGO	JOMO KENYATTA UNIV OF AGRIC & TECH,	MSC	F	KENYA
129	2016	FIONA MELISA NANGIRA OYATSI	JOMO KENYATTA UNIV OF AGRIC & TECH,	MSC	F	KENYA
130	2016	ELIZABETH WANGUI MUORIA		MSC	F	KENYA
131	2016	GALATA GAMACHU AFETA	ADDIS ABABA UNIVERSITY	MSC	M	ETHIOPIA
132	2016	BONFACE JOEL MALALA	JOMO KENYATTA UNIV OF AGRIC & TECH,	MSC	M	KENYA
133	2016	VICTOR MTULIMBOGO KING'ANI	OPEN UNIVERSITY OF TANZANIA	MSC	M	TANZANIA
134	2016	TENSAYE WORKU DOLASSO		MSC	M	ETHIOPIA
135	2016	ABASIAMA SUNDAY UMOREN	UNIVERSITY OF NIGERIA, NSUKKA	MSC	M	NIGERIA
136	2014	PATIENCE MBA	UNIVERSITY OF PROFESSIONAL STUDIES	MPHIL	F	GHANA
137	2014	ABDULAH MUNKAILA	UNIVERSITY OF PROFESSIONAL STUDIES	MPHIL	M	GHANA
138	2014	EBENEZER APAFLO	UNIVERSITY OF GHANA	MPHIL	M	GHANA
139	2015	CHRISTIAN DONGMO TEUFACK	UNIVERSITY OF DOUALA	MPHIL	M	CAMEROON
140	2015	MAWUSI DUMENU	UNIVERSITY OF CAPE COAST	MPHIL	M	GHANA
141	2015	FORGIVE ALORVOR	UNIVERSITY OF GHANA	MPHIL	F	GHANA
142	2015	RICHARD ATINPOORE ATUNA	UNIV. FOR DEVT STUDIES	MPHIL	M	GHANA
143	2015	MUSTAPHA SALISU	UNIVERSITY FOR DEVELOPMENT STUDIES	MPHIL	M	GHANA
144	2015	THOMAS APUSIGA ATONGO	UNIVERSITY FOR DEVELOPMENT STUDIES	MPHIL	M	GHANA
145	2015	BRIGITTE SEYRAM AMENYEDZI BADGIE	UNIVERSITY OF GHANA	MPHIL	F	GHANA

	YEAR	NAME/ THESIS TITLE	HOME INSTITUTION	DEGREE (PhD/ MPhil)	M/F	COUNTRY
146	2015	LERINA BAABA COKER	UNIVERSITY OF GHANA	MPHIL	F	GHANA
147	2015	DINGILI RODGERS	UNIVERSITY OF GHANA	MPHIL	F	GHANA
148	2016	SABINA KWOFIE	UNIVERSITY OF GHANA	MPHIL	F	GHANA
149	2016	SAMUEL NYARKO AGYAPONG	UNIVERSITY OF CAPE COAST	MPHIL	M	GHANA
150	2017	ADINAN BAHAHUDEEN SHAFIWU		MPHIL	M	GHANA
151	2017	DORCAS BLANKSON		MPHIL	F	GHANA
152	2015	DILI-RAKE JACQUES	UNIVERSITY OF NGAOUN- DERE	MA	M	CAMEROON
153	2015	INNOCENT ECLOU	UNIVERSITY OF ABOMEY CALAVI	MA	M	BENIN
154	2015	SABINA APPIAH BOAT- ENG	UNIVERSITY OF CAPE COAST	MA	F	GHANA
155	2015	MAYEZANA MEDIDA	UNIVERSITY OF KWAZULU NATAL	MA	F	SOUTH AFRI- CA
156	2015	KAREN MENTZ	UNIVERSITY OF PRETORIA	MA	F	SOUTH AFRI- CA
157	2017	BIKETI SAMUEL		MA	M	KENYA
158	2017	ISHAYA USMAN GADZAMA		MA	M	NIGERIA
159	2017	TERESA MOGOI KEN- YANYA		MA	F	KENYA
160	2017	MAWULI ASEMPAH		MA	M	GHANA
161	2017	MERCY WAMBUI KUNG'U		MA	F	KENYA
162	2017	SUNEILA GOKHOOL		MA	F	MAURITIUS

ANNEX 9: FORTHCOMING WORKSHOP SCHEDULES

AAU WORKSHOP SERIES

<u>Name of Workshop</u>	<u>Venue</u>	<u>Month</u>	<u>Year Held</u>	<u>Participants</u>	<u>Responsible Officer</u>
University-Industry Linkages	Mauritius	April	2017	10	Ransford Bekoe
University-Industry Linkages	Ile Ife, Nigeria	April	2017	14	Ransford Bekoe
AAU LEDEV XI	Tutu Akuapem, Ghana	September	2017	34	Ransford Bekoe
African Quality Assurance Network (AfriQAN) Quality Assurance for Higher Education Leaders (QA-HEL)	Lagos, Nigeria	May	2017	18	Jonathan Mba
University Advancement - Higher Education in Africa at the Tipping Point	Abuja, Nigeria	August	2017	20	Yvette Quashie
University Advancement - Role of the African HEIs in an Age of Discontinuity	Victoria Falls, Zimbabwe	March	2017	20	Yvette Quashie
ACE Workshop - 7th Africa Centres of Excellence Workshop Project Steering Committee Meeting	Lagos, Nigeria	May	2017	200	Jonathan Mba
MADEV	Kigali, Rwanda	July	2017	32	Adeline Addy
MADEV	Abidjan, CDI	October	2017	26	Adeline Addy
University-Industry Linkages	Ilorin, Nigeria	May	2016	19	Ransford Bekoe
University-Industry Linkages	Addis Ababa, Ethiopia	May	2016	18	Ransford Bekoe
University-Industry Linkages	Lusaka, Zambia	July	2016	31	Ransford Bekoe
LEDEV IX	Accra, Ghana	October	2016	24	Ransford Bekoe
AAU LEDEV X	Kigali, Rwanda	October	2016	20	Ransford Bekoe
Consultative Workshop on Higher Education in Africa	Dakar, Senegal	November	2016	23	Jonathan Mba
Cutting Edge Workshop in University Advancement	Accra, Ghana	December	2016	12	Yvette Quashie

University Advancement - Role of the Registrar, CFO & CHR		September	2016	22	Yvette Quashie
University Advancement - The Key Role of the VC & Senior University Staff	Victoria Falls, Zimbabwe	June	2016	29	Yvette Quashie
University Advancement - The Entrepreneurial African University	Maputo, Mozambique	March	2016	35	Yvette Quashie
ACE Workshop - 5th Africa Centres of Excellence Workshop Project Steering Committee Meeting	Accra, Ghana	May	2016	190	Jonathan Mba
ACE Workshop - 6th Africa Centres of Excellence Workshop Project Steering Committee Meeting	Abidjan, Cote d'Ivoire	November	2016	198	Jonathan Mba
Social Media Seminar for African Universities	Accra, Ghana	March	2016	14	Nodumo Ndhlamini
LEDEV VIII	Gaborone, Botswana	August	2015	54	Ransford Bekoe
University-Industry Linkages Seminar	Kigali, Rwanda	October	2015	56	Ransford Bekoe
Systematic Entrepreneurship	Arusha, Tanzania	August	2015	30	
MADEV	Zomba, Malawi	August	2015	30	Adeline Addy
University Advancement - Role of Vice Chancellors in the 21st Century	Accra, Ghana	December	2015	40	Yvette Quashie
University Advancement - The Key Role of the Universities in the 21st Century	Arusha, Tanzania	September	2015	30	Yvette Quashie
University Advancement - Successful Governance of Universities	Victoria Falls, Zimbabwe	April	2015	52	Yvette Quashie
ACE Workshop - 3rd Africa Centres of Excellence Workshop Project Steering Committee Meeting	Banjul, The Gambia	May	2015	142	Jonathan Mba
ACE Workshop - 4th Africa Centres of Excellence Workshop Project Steering Committee Meeting	Cotonou, Benin Republic	November	2015	175	Jonathan Mba
LEDEV VII	Kampala, Uganda	February	2014	42	Ransford Bekoe
University Advancement - Leadership Role of the Vice Chancellor in a 21st Century University	Addis Ababa, Ethiopia	December	2014	30	Yvette Quashie

University Advancement - University Advancement Programme for Senior University Leaders in East Africa	Nairobi, Kenya	April	2014	31	Yvette Quashie
ACE Workshop - 1st Africa Centres of Excellence Workshop and Project Steering Committee Meeting	Abuja, Nigeria	May	2014	120	Jonathan Mba
ACE Workshop - 2nd Africa Centres of Excellence Workshop Project Steering Committee Meeting	Yaounde, Cameroun	November	2014	110	Jonathan Mba
Basic Higher Education Teaching Skills - BHETS	Ghana	November	2016		
	Ghana	February	2017		
	Zimbabwe	March	2017		
Social Media Seminar 1	Ghana				
Social Media Seminar 2	Swaziland				
Social Media Seminar 3	Burkina Faso				
E-learning Seminars	Ghana			15	



Evaluation of AAU's Core Programmes and projects under the Core Programme 2013–2017, with particular focus on Sida's institutional and program support 2013–2017

The AAU at present has three key functions: convening, setting the intellectual agenda and implementing key programmes and projects. The convening power has been strengthened over time and AAU has significantly developed its capacities to manage a comprehensive programme of work. In one area, notably in Knowledge Management and ICT the AAU has an emerging core strength. However the breadth of AAU's programme may have contributed to the fact that in the eyes of external observers that were interviewed the specific role and contribution of AAU is not entirely clear. We have been struck by the continuity of the AAU's programme framework across the three strategy plan periods which stands in contrast to the dynamics of change in the African HEI landscape. But the team also detected within the AAU an ambition to reposition itself at a higher level in the future. The programme is relevant to Sida's Strategy for Research Cooperation and internal training activities and the operations of AAU's small grants programme has been exemplary in terms of efficiency, and governance structures are generally effective. In terms of sustainability, there is little doubt that there are key parts of the AAU programme such as COREVIP which are central to its identity and clearly owned. However, the evaluation has been constrained by a lack of relevant data and analysis at the outcome and contribution level.