

Building Stronger Universities

Phase II (BSU-II)

Programme Document

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Abbreviations

AMG	Aid Management Guidelines (Danida) (http://amg.um.dk/)
BA/BSc	Bachelor of Arts/Bachelor of Science
BSU	Building Stronger Universities
Danida	Denmark's development cooperation
DFC	Danida Fellowship Centre
DKK	Danish kroner
DKUNI	Universities Denmark
GU	Gulu University (Uganda)
HRBA	Human Rights Based Approach
IO	Immediate Objective
KCMC	Kilimanjaro Christian Medical University College (Tanzania)
KNUST	Kwame Nkrumah University of Science and Technology (Ghana)
KU	Kathmandu University (Nepal)
MA/MSc	Master of Arts/Master of Science
M&E	Monitoring and Evaluation
MFA	Ministry of Foreign Affairs (of Denmark)
PhD	Doctor of Philosophy
SUA	Sokoine University of Agriculture (Tanzania)
SUZA	State University of Zanzibar (Tanzania)
ToR	Terms of Reference
TAS	Technical Advisory Services (Danida)
UG	University of Ghana (Ghana)
WBI	World Bank Institute

1 Introduction

This document presents the second phase of Danish support to developing the institutional research capacity of selected universities in a number of priority countries - the Building Stronger Universities programme, Phase II (BSU II). The programme covers the period 1 January 2014 – 1 November 2016 and provides DKK 100 million. The second phase builds upon the lessons learned and results achieved during the first phase, and many activities will continue. The organisation and management of the programme, however, has been strengthened to enhance the ownership of South institutions.

The seven programme partners in the South are: University of Ghana (UG), Ghana; Kwame Nkrumah University of Science and Technology (KNUST), Ghana; Sokoine University of Agriculture (SUA), Tanzania; Kilimanjaro Christian Medical University College (KCMC), Tanzania; State University of Zanzibar (SUZA), Tanzania; Gulu University (GU), Uganda and Kathmandu University (KU), Nepal. With the exception of Kathmandu University, all these partners also participated in the first phase of the programme (2011-2013).

In the programme, needs and priorities identified by the South partners in terms of developing their institutional and research capacity will be addressed by matching them with Danish universities, which have the skills and capacities to meet their needs in the areas identified. The latter will be selected through a match-making process where consortia of Danish universities are invited to express interest.

The formulation of BSU II has drawn from the preparation process initiated in the spring of 2013, document reviews and interaction with representatives of the supported organisations. Initially, the second phase was expected to be a consolidation phase with the same partners and activities as in the first phase, and the responsibility of Danish Universities for the overall management of the programme was expected to continue. In June, a decision was taken to change the organisation of the programme, so BSU II - in line with Danida's strategic framework for support to development research¹ - is driven by the partners in the South.

2 Programme justification

2.1 Why support research?

Universities and research institutions in developing countries are key players for sustainable national development processes. They provide locally-grounded research-based knowledge necessary to address current and emerging development challenges of the countries. Their research may lead to innovations and technological solutions that help address poverty and inform long-term sustainable development processes. It is a key international development experience that public policies work best when designed and implemented by local actors building on locally-generated data, insights and analysis. Research is a critical input to inform national political decision-making by highlighting possible positive and negative implications of interventions, including for specific population groups. Research institutions in developing countries have an important role in research uptake from international research. Research is

¹ Strategic Framework for Danish Support to Development Research, 2014-2018, draft September 2013

also important for documenting results and lessons of development processes, and research environments are critical to democratic accountability by providing a neutral and knowledge-based voice in relation to government initiatives and performance. Access to research and evidence-based knowledge can be seen as both an important common good and a political right.

Political leaders in developing countries are increasingly aware of the importance of research to national development processes. Even so, universities and national research environments in the South are struggling with major challenges of weak capacity and resources. The situation varies across and within countries, but in many institutions, research and study facilities are not up to certified standards, partly because of lack of funding for maintenance, operation and upgrading of the infrastructure and equipment. A large share of experienced staff is expected to retire without proper replacements while there are problems in providing a sufficient number of faculty positions and career paths to attract and retain qualified staff. Many universities suffer from a low proportion of PhD qualified staff and a neglect of recruitment and career development for younger staff.²

These are only some of the major constraints that hamper the research institutions in the South in their ability to play their role in national development effectively. Although several developing countries are investing government funds in research, they cannot meet the massive challenges, including the needs for country-specific research and capacity building for research uptake without external support.

2.2 Why support institutional research capacity?

Denmark and other donors have been active supporters of development research for the past many decades. Historically, donors have tended to concentrate on individual capacity development and have provided the largest share of support in the form of Master and PhD scholarships. In line with general development experience, however, there is now general recognition that the challenges should be addressed by supporting the development of national research environments to produce research, rather than by transferring internationally research-generated knowledge; that sustainability requires strengthening the capacity at institutional level instead of mainly focusing on the skills of individual researchers, and that the change processes must be driven by the partners in the South to ensure that it is owned and relevant³.

² World Bank: "Building Knowledge Economies. Advanced Strategies for Development." Washington D.C., 2007; Göran Hyden: "Mapping the World of Higher Education and Research Funders: Actors, Models, Mechanisms and Programs", Danish Development Research Network and Universities Denmark, October 2010; David Manyaza & Johan Helland: "Building Stronger Universities in Developing Countries: A program review report for Universities Denmark", Chr. Michelsen Institute Bergen, March 2013; Enrique Mendizabal, Ajoy Datta and John Young: "Developing capacity for better research uptake: the experience of ODI's Research and Policy in Development programme". ODI Background Note, December 2011.

³ E.g. Göran Hyden: "Mapping the World of Higher Education and Research Funders: Actors, Models, Mechanisms and Programs", Danish Development Research Network and Universities Denmark, October 2010 and Norad: "Evaluation of the Norwegian Programme for Development Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)", Evaluation Report 7/2009. Sweden, the Netherlands and UK are notable exceptions to the general tendency to provide capacity development support in the form of PhD and Master scholarships.

This understanding is based on a definition of development research as “the ability of individuals, organisations and systems to undertake and disseminate high quality research effectively and efficiently”⁴. The definition underlines the importance of not equating research capacity only with the skills and competences of staff in research institutions, but to consider also the wider research environment.

The definition of research capacity is derived from the OECD/DAC definition of capacity as “the ability of people, organisations and society as a whole to manage their affairs successfully”⁵. Among the strongest general lessons on what it takes for capacity development to happen are the following: As capacity development is an inherently endogenous process, it must be driven by partners themselves; it involves the complex challenge of engaging and ensuring ownership from often many different stakeholders, both among collaborating partners and inside individual organisations; a step-wise approach coupled with a long-term perspective is often necessary to ensure valuable change. Finally, capacity development activities should normally be driven by a specific purpose and facilitated by carrying out the relevant tasks in order to be effective⁶.

2.3 Danish priorities in support for development research

Danish universities have been collaborating with universities in Africa and South Asia for more than half a century in multiple ways, historically especially on research collaboration projects. The active partnerships between universities and research environments in Denmark and the South have been a cornerstone in Denmark’s long-standing support to research environments in developing countries.

Recently, the Danish engagement with development research was elevated through elaboration of a Strategic Framework for Danish Support to Development Research 2014-2018 (draft, September 2013). While the strategic framework has yet to be finalized after the public hearing processes in Denmark and in the priority countries, its main focus and principles guiding the BSU are not expected to change fundamentally, as it has been prepared to take into account lessons of recent evaluations and reviews of Danish support to development research and well-established best-practices for support to development research and capacity development.

Above all the draft strategic framework reconfirms Denmark’s engagement in development research with the objective to strengthen research capacity in developing countries and to create new knowledge capable of alleviating development problems⁷. It sets the imperative to build research capacity nationally to produce knowledge in the countries rather than transfer research-based knowledge to the countries.

⁴ Ajoy Datta, Louise Sahxson, and Arnaldo Pellini: “Capacity, Complexity and Consulting”, ODI Working Paper 344, March 2012.

⁵ OECD/DAC: “The Challenge of Capacity Development – Working towards Good Practice”, 2006.

⁶ Technical Advisory Services: “Addressing Capacity Development in Danish Development Cooperation – Guiding Principles and Operational Steps”, January 2011.

⁷ The Danish International Development Cooperation Act, 2012.

The draft Strategic Framework also defines the BSU programme as the backbone in its sub-area concerning institutional capacity development, and sets main parameters that should guide the programme. BSU should thus aim to strengthen research environments and research processes by linking up selected institutions in priority countries to Danish universities. The areas of support may include establishment of Ph.D. schools with related course development, courses in better Ph.D. supervision, training in research quality assurance, facility staff exchange, and dissemination of research results. It also defines certain principles, which should guide the detailed design of the BSU (presented later), including that the BSU programme will be managed by partners in the priority countries. These are therefore important parameters that guide the design of BSU II.

2.4 Results and lessons learned from first phase of the BSU programme

The first phase of the BSU programme has been running in less than two years (since mid-2011), and has resulted in a number of achievements and lessons, which are an important starting-point for the design of BSU II. Box 1 summarizes the elements of the first phase of BSU.

Box 1: Summary of BSU in its first phase:

BSU's first phase (August 2011-July 2013) had a budget of DKK 60 million, and the objective to enhance the capacity of South partner universities by strengthening an "enabling institutional environment for research, research-based education, and knowledge management and dissemination to promote sustainable economic, social and political development". Danish Universities had the overall responsibility for the programme and collaborated with 11 South institutions in five countries (Tanzania, Ghana, Uganda, Kenya and Nepal). The programme was organised in four thematic "platforms". These were: 1) Environment and Climate; 2) Growth and Employment; 3) Human Health, and 4) Stability, Democracy and Rights. In 2012, the programme was supplemented with two additional grants of DKK 19 million for research communication and DKK 20 million for fellowships, respectively. The programme focussed on training courses for formal research education for Ph.D. students and scientific staff, training of Ph.D. supervisors, and provision of Ph.D. scholarships. Some universities had faculty staff exchanges with Danish universities, developed research proposals together with their Danish partners, had joint accreditation workshops, organised training in research fundraising, and organised stakeholder workshops to disseminate research.

Reports show that most of the actual results are very close to the output planned. The most notable result is that twice as many PhD students and staff as initially expected have participated in formal research education (about 1,000 participants in the six institutions, which will continue in the second phase). Faculty staff exchange, on the other hand, is an area where the programme has underperformed⁸. Given the delays of starting up the programme, the achievements demonstrate strong commitment by both South institutions and Danish partners involved.

Outcome level results of the first phase are obviously more difficult to present so soon after the programme was initiated. During the preparation of the second phase, South institutions have stressed their appreciation of the strengthening of PhD training in their institutions and of building an environment more conducive for research over time. Some have expressed that BSU by addressing the wider institutional environment provides valuable assistance to a

⁸ Overview of expenditures and outputs, BSU, phase I. Data provided by Danish Universities, 24 June 2013.

transformation from a situation where they largely transmit knowledge (education) to a situation where they produce new knowledge (research). The training of PhD students and staff has made them more aware of how their research could address broader societal problems, while others have mentioned that it has become easier for them to link up with relevant international research networks.

The consistent overall message from a review of the first phase of the programme conducted by external consultants for Danish Universities in early 2013⁹ and an independent evaluation undertaken in the spring of 2013¹⁰ is confirmation of the relevance of the programme. Both also find overall appreciation of the collaboration by the partners in Denmark and the South. This underpins the relevance of continuing the support in a second phase.

Otherwise, the review and the evaluation presented very different assessments. While the review was generally positive towards the programme, the evaluation was highly critical. A key explanation of the difference appears to be that the review disregarded the design and organisational aspects of the programme, while the evaluation focussed exactly on this. The evaluation found the idea of supporting institutional capacity development sound but criticised the programme in the first phase for being top-down, based to a large extent on Danish priorities, excessively complex, and administratively costly.

The first phase of the programme gives rise to a number of lessons, of which the most important are the following:

- The partnerships that have developed between actors in South institutions and Danish universities are an important achievement, which the review and evaluation confirm. The evaluation noted that the Southern institutions were originally selected based on existing collaboration on specific research projects with the Danish partners, while also some new cooperation was established where it did not exist before. *It is also important to build on the partnerships that have now developed, especially since the initial intention was for the collaboration to be long-term.*
- The lessons also confirm “partnership among peers” as the viable approach to capacity development. South partners prefer to continue with the partnership-based activities, especially as they find that peer academic staff from Northern universities better understand the specific opportunities and challenges of processes like establishing PhD schools, and other research developmental initiatives, including the long-term perspective and requirements of building research capacity *Partnerships among peers for capacity development will thus be important to continue in BSU II.*

⁹ David Manyanza & Johan Helland: “Building Stronger Universities in Developing Countries: A program review report for Universities Denmark”, Chr. Michelsen Institute Bergen, March 2013.

¹⁰ Orbicon & ITAD: “Evaluation of Danida-supported Research on Agriculture and Natural Resource Management 2006-2011”, Ministry of Foreign Affairs of Denmark, August 2013. The evaluation included a chapter on the BSU platforms (Environment & Climate, and Growth & Employment) which fell within its thematic focus.

- The way the programme was organised did not allow the capacity development initiatives to be defined and driven by national partners, as pointed out by the evaluation which focussed on this question directly. E.g. the platforms linked to Danish strategic priorities for development were not necessarily relevant to specific needs and demands for capacity development of the Southern universities. The fact that the BSU concept and framework was mainly developed and managed by Danish partners, using what was felt to be a “once size fits all” approach to capacity development with no prior capacity needs assessment, meant the support did not always meet the needs of the South partners. These elements led to weak ownership and sustainability of the support. *In line with best practices for capacity development, the future BSU II should be organized and managed in a way where the South institutions lead the definition and main decisions around the capacity development support.*
- It is a challenge to ensure that the partners involved give the required priority to the BSU activities, as highlighted in both the review and evaluation. This includes prioritization at institutional level as well as among individual staff, and among North partners as well as South partners. *The incentives in terms of rewards and funding for individuals and institutions to spend time on capacity development for development research will be considered in BSU II.*
- Finally, the organisational set-up of the platform approach was excessively complex and administratively costly, with separate steering committees and secretariat functions for each platform. *BSU II will be designed ensure a more lean and effective administration.*

2.5 Key approaches and concepts informing BSU II

In addition to building on the achievements and lessons from first phase of the programme, BSU II will take direction from the draft Strategic Framework for Support to Development Research (hence also the “Right to a Better Life”) and incorporate some general international lessons on support to development research. By incorporating principles from the draft Strategic Framework and international lessons, some of the issues of ownership, sustainability, and effectiveness of the first phase should be addressed.

The key principles of the draft Strategic Framework guiding BSU II are the following;

- BSU II is designed and organized to enable the support to be **driven directly by the needs, demands and priorities in priority countries and partner institutions** with emphasis on partner-based ownership and accountability.
- There is emphasis on the standard aid effectiveness principles of **alignment, harmonisation, ownership, and accountability**, by putting the maximum feasible responsibility for leading and managing the support with the individual institutions based on clear definitions and monitoring of results and objectives.

- The support will be **geographically focused** to enable focus and adequate impact, limited to 5-7 Danida priority countries where partnerships currently exist.
- **The human rights-based approach (HRBA) will be incorporated** in BSU II in line with the Strategy for Denmark's Development Cooperation, *The Right to a Better Life*, by promoting that the capacity strengthening for development research puts the institutions in a position to generate research and contribute to national processes of participation, transparency, accountability and non-discrimination. It is a key challenge to ensure participation and non-discrimination through equal opportunities for all, especially that women have the same access to programme benefits as men.
- BSU II will put special emphasis on building capacity and attention to **dissemination, communication and documentation of research results** in the support.
- BSU II's support to institutional capacity development will be designed to **supplement other forms of Danish support for development research**, notably the grants provided to strategic research cooperation between researchers based in Danish institutions and in South-partner institutions, aimed to contribute directly to the production of new knowledge and PhDs, as well as under FFU.

When addressing institutional capacity development, BSU II will focus – in the first instance – primarily at the organisational level, by focussing on strengthening the capacity of the individual universities (in the selected Danida priority countries) to produce high-quality research, targeting their research environment and research processes.

In the longer term, capacity at systems level – policies and institutional frameworks for development research - will also be addressed by Danida through possible complementary support within relevant Danish country programmes. This follows the objective of the draft Strategic Framework for Support to Development Research to support for research policies and strategies at country level. However, the scope of BSU II is limited to individual research institutions since this is what Danish achievements, partnerships, and resources at this stage permit.

In sum, based on the achievements, lessons, and strategic principles outlined in the previous sections, the parameters that guide the design of BSU II are as follows:

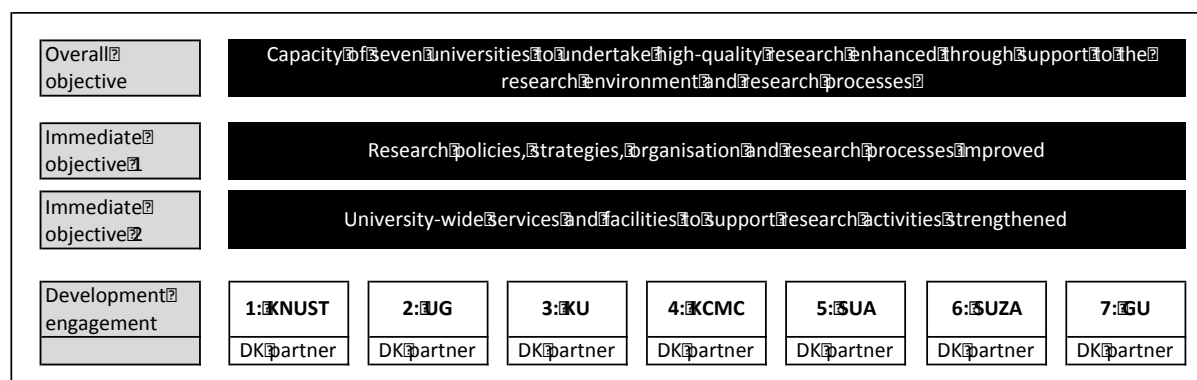
- Placing responsibility and decision-making power for identifying and implementing its activities directly with each South institution.
- A lean management set-up.
- Limitation of the support to seven universities in the South, concentrated in four Danida priority countries.

- All the institutions in the second phase were also part of the first phase, except for Kathmandu University.
- Specification of criteria for selecting institutions based on size, complexity, assistance from other donors, and experience of collaboration during the first phase.
- Selection of Danish partners based on an assessment of ability and specific needs for internal capacity development process.
- Clarity on division of resources available to each partner and mutual expectations before entering into specific partnerships.
- Emphasis on communication of research, both in terms of enhancing research planning and dissemination of results.

3 Programme overview

The programme comprises of seven development engagements, each consisting of a university in the South partnered by a consortium of universities in Denmark.

Figure 1 programme overview



3.1 Overall and Immediate Objectives

The overall objective of the programme is: *Capacity of seven universities to undertake high-quality research enhanced through support to the research environment and research processes.*

The programme will strengthen the research capacity of seven partner universities in the South through support from Danish universities to the efforts of the universities in the South. The partnership is based on needs (demand) identified by South and complimented by partner universities in the North (supply). Thus using the linkages of the universities of the South with the universities of the North as a capacity development strategy.

The overall objective is supported by two immediate objectives, which are both aligned with the Danida Strategic Framework for Danish Support to Development Research:

- *Research policies, strategies, organisation and research processes improved.*

- *University-wide services and facilities to support research activities strengthened.*

The immediate objectives are designed to be complementary. Immediate objective 1 focuses on enhancing academic aspects of the university research capacity. Immediate objective 2 focuses on building the needed administrative and infrastructure backing of the universities in the South to enable the research implementation (and thus helping facilitate immediate objective 1).

The programme is developed so that the needs – linked to immediate objectives 1 and 2 – are identified by the universities in the South to ensure maximum ownership and alignment of the Danish assistance to the priorities of the universities supported. The universities in the South then assess in what ways their needs are best met by the support offered by the Danish universities that express an interest. The universities in the North will be chosen to link up with the universities in the South through a match-making process in which Danish universities will express their interest in particular partnerships with South universities based upon the latter's BSU project outlines (see management section below).

Examples of support under Immediate Objective 1 with a focus on **improving the academic research environment and research processes** include:

- Developing or enhancing research policies and strategies at university or faculty level.
- Curriculum development to advance selected research themes.
- Strengthening of research processes e.g. through development of research concepts and proposals, pilot studies, faculty staff exchange, training in research quality assurance, ethical and quality standards, and protocol development.
- Establishing or strengthening PhD schools, including course development, courses in research methodology, scientific writing, review of theses and development of PhD supervision guidelines and training.
- PhD grants to selected younger staff at institutions facing an 'aging of staff' problem and finalisation of PhDs granted during the first phase.

In order to provide a thematic basis for improving research processes along the lines described above, it is envisaged that the programme partners may anchor their activities in a small number of research-relevant **thematic foci**. For example, research concept development, development of baselines etc. can be expected to require such a foundation. In order to maintain the programme's focus, however, the number of thematic foci available to any one partnership should be limited to three (3). The foci should be located within the research areas of a few departments/institutes.

Examples of activities under the Intermediate Objective 2 with a focus on administrative and infrastructure aspects of strengthening the research environment include:

- Development of resource mobilisation strategies and implementation.

- Strengthening financial management systems and procedures, including accounting and audit.
- Improved budgetary planning and monitoring.
- Development of grant management procedures.
- Improved procurement policies.
- Enhanced library and publication management systems.
- Strengthening of laboratory facilities (e.g. in relation to ISO certification etc.).
- Maintenance and common service systems.

A ceiling of 10% of the total budget for each institution has been put on investment costs (e.g. in the form of library and laboratory construction) in relation to the second intermediate objective.

It has been decided not to fund direct research cooperation projects, which are funded by Danida through the budget for North and South-driven research cooperation. Teaching activities at master level will not be funded either, as BSU focuses at strengthening research capacity, and MSc training is funded by many other donors. Only a relatively limited budget will be allocated to new PhD training and this will be used only for staff employed in the institutions concerned. This is based on the experience that institutions, which offered PhD grants to non-staff candidates during the first phase, in several cases found it difficult to attract applications.

As exchange of experience across institutions has been requested by South institutions during the preparation process of the programme, a mid-term seminar for all involved South and North institutions will be organised by Danida Fellowship Centre (DFC) in mid-2015. The purpose of the seminar will be both to exchange experience (e.g. on obtaining international funding for research, coordinating donor support to faculties or thematic areas, and on preparing research strategies) and to make joint stocktaking of key milestones of the programme.

3.2 Overall programme indicators

Two indicators (one for each immediate objective) have been chosen to illustrate the intervention logic and measure progress against at thematic level as set out below. These will be developed further during the inception phase with the assistance of a monitoring specialist. In particular, baselines need to be established and more specific targets defined. The generic indicators will be mirrored in the individual result frameworks applying to each development engagement.

Table 1 outcomes and indicators of BSU II

Outcome indicator 1		Strengthened research policies, strategies, organisation and research processes	
Baseline	Year	2014	To be defined during inception phase
Target	Year	2016	# % PhDs and other research products are underpinned by university agreed research policies and procedures
Output indicator 1.1		Policies and procedures for carrying out PhD research established	
Baseline	Year	2014	Partially in place. To be further defined during inception phase
Target	Year	2016	# new or revised PhD policies and standards have been developed and introduced as obligatory requirements. % of academic staff trained in their supervision/quality assurance.
Output indicator 1.2		Introductory courses for PhD students covering e.g. research methodology, research proposals, thesis presentation, academic writing, research grants etc.	
Baseline	Year	2014	To be defined during inception phase.
Target	Year	2016	# new PhD introductory courses have been developed and run as obligatory/standard parts of PhD. % of academic staff trained in course delivery.
Output indicator 1.3		Gender balance among faculty and student members	
Baseline	Year	2014	Typically 33% faculty members are women
Target	Year	2016	40% faculty and PhD students are women
Outcome indicator 2		Strengthened university-wide services and facilities to support research activities	
Baseline	Year	2014	To be identified during inception phase
Target	Year	2016	#% university services are ISO certified or similar.
Output indicator 2.1		Grant financial management system strengthening (assessment, upgrading, staff training)	
Baseline	Year	2014	To be identified
Target	Year	2017	#% success rate of applications for research grants from the university
Output indicator 2.2		Standard and capacity of research laboratory facilities	
Baseline	Year	2014	Standard variable. Precise standard to be identified
Target	Year	2016	#% Laboratory facilities satisfy standards for verifiable research in # fields
Output indicator 2.3		Standard and capacity of research library facilities	
Baseline	Year	2014	Standard varies. Precise standard to be defined
Target	Year	2016	#% Library facilities meeting key criteria for facilitating PhD level research

3.3 Programme partners

The support will be provided to seven universities in the South. The institutions were selected in the first phase by Danish Universities based on their experience of joint collaboration on specific research projects. As it is considered important to build upon experience gained and aim at collaborations, which from the beginning were meant to be long-term, all the institutions in the second phase were also part of the first phase with the exception of Kathmandu University.¹¹ The seven universities are:

1. University of Ghana (UG), Ghana
2. Kwame Nkrumah University of Science and Technology (KNUST), Ghana
3. Sokoine University of Agriculture (SUA), Tanzania
4. Kilimanjaro Christian Medical University College (KCMC), Tanzania
5. State University of Zanzibar (SUZA), Tanzania
6. Gulu University (GU), Uganda
7. Kathmandu University (KU), Nepal

These universities have identified a range of needs and service requirements falling within the overall framework provided by the BSU II objectives described in section 3.1 above. Their preliminary ideas are described in the individual project outlines that are summarised in section 4 below and at Annex C. The project outlines will form the basis for a “match-making” process through which the universities in the South will be partnered with universities in the North with the objective of meeting the BSU objectives.

The eight universities in Denmark that will be invited to participate in the match-making process are:

1. University of Copenhagen
2. Aarhus University
3. University of Southern Denmark
4. Roskilde University
5. Aalborg University
6. Technical University of Denmark
7. Copenhagen Business School
8. IT University of Copenhagen.

3.4 Description of BSU II match-making process

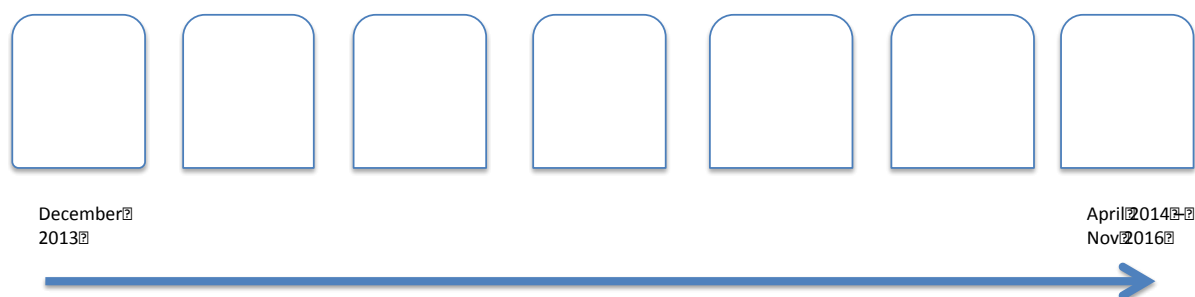
A detailed description of the match-making process is included at Annex A.

The South universities will be matched with Danish university partners for capacity development. The outcome of this process will define how the capacities of the universities in the South and North will be utilised in a complementary way that contributes to meeting

¹¹ The institutions, which were part of the programme in the first phase but where the support is being phased out, are University of Dar es Salaam, Zanzibar College of Health Sciences, National Institute of Medical Research (all in Tanzania), and Maseno University in Kenya. In Nepal, the experience from phase I has resulted in a shift of university from Tribhuvan to Kathmandu.

the BSU II programme objectives. The process is based on the needs identified by the universities of the South and the abilities of the North to meet them. It will proceed on the basis of seven logical steps as illustrated below.

Figure 3: overview of match-making processes



- **Steps 1 and 2:** Following approval of the programme by the Danish authorities, the South universities will set out their ideas for capacity development in a series of individual BSU II project outlines (one per university) and forward these to the Danida Fellowship Centre (DFC). The outlines will be based on the summaries included in this programme document that draw upon input from the South universities already provided during the programme formulation. A process consultant will be made available by DFC to assist the South universities in developing their project outlines in line with the criteria set out in this programme document. The consultant will also help with quality assurance of the project outlines. DFC will post the project outlines on its website and notify the Danish universities.
- **Step 3:** The Danish universities will then respond to the different project outlines by providing their considerations on how the South universities' outputs can best be met. In order to ensure that sufficient capacity is available, the Danish universities may submit responses as a single university or as a consortium of universities led by one single university – the aim being to ensure a best match based on the merits and relevance vis-à-vis the needs in the South.¹²
- **Step 4:** With the assistance of the process consultant made available by DFC, the South universities will assess the responses received and select the one that most closely meets their needs. They will notify DFC of their choice and the basis upon which the selection was made.
- **Step 5:** Once the match-making has been finalised and the universities twinned, the partners concerned will jointly produce development engagements (one per South

¹² The Danish universities may outsource distinct parts of the support in cases where they themselves lack sufficient expertise/experience. However, such outsourcing is not expected to exceed around 25% of their total bid.

university) setting out the detailed arrangements for the partnership during an inception phase based on the South project outlines and the North university/ies' responses.

- **Step 6:** In order to ensure a strong results framework for the programme, technical assistance regarding the setting of baselines and finalisation of the results frameworks in the development engagements will be made available via DFC.
- **Step 7:** Following approval by DFC of the development engagements, the partners will commence implementation of their joint activities.

Practical guidance regarding the content of the project outlines, responses, development engagements, timelines and responsibilities is attached at Annex A. The match-making process will be managed by DFC with the assistance of a process consultant whose Terms of Reference are at Annex C.

4 Results framework

The seven South universities supported under the programme have developed initial project outlines for the match-making process. These have been designed to be aligned with the immediate objectives of the BSU II programme, and thus focus on (1) research environment and processes, and (2) university services and facilities to support research activities.

An overview of the results expected is attached in Annex B. Outputs and activities identified by each of the seven institutions relate to one of the two intermediate objectives with emphasis put on the first objective relating to the academic environment and research processes. In the following sections, two of the proposed outputs and indicators have been selected as representative of the outputs proposed.

4.1 University of Ghana (UG), Ghana

The University of Ghana is large university with a diverse platform of teaching with arts, engineering, science, law and social sciences. It currently has over 35,000 students and just under 1,000 teaching and research staff. The university has recently revised its PhD programme so that the PhD training is now a four-year programme with the first year dedicated to course work while increasing the number of PhD students who are trained. BSU II will thus contribute directly to the achievement of this goal.

During BSU II, the university will prioritise research capacity development at both PhD level as well as at the junior level. Activities will include training in research methodology as well as concept note and baseline development. The training of junior staff is expected to facilitate the upgrading of junior faculty members to prepare them for PhD work as a means of increasing the university's pool of committed and qualified researchers. Moreover, the enhancement of research design and proposals will increase the university's success rate regarding external grants and thus expand the ability to conduct relevant research.

With regard to institutional development, the university sees key outputs as strengthening the capacity of the grants office in order to become more responsive to the needs of the researchers as well as to be able to comply with international transparency and accountability standards. These efforts will be directed at the Office of Research, Innovation and Development that coordinates grants and awards.

University of Ghana (UG)			
Output indicator		Research proposals improved	
Baseline	Year	2014	# of research proposals are approved for funding
Target	Year	2016	# of research proposals are approved for funding
Output indicator		Research Grant management improved	
Baseline	Year	2014	No courses in grant management
Target	Year	2016	Three courses in grant management for Office of Research, Innovation and Development (ORID) implemented

4.2 Kwame Nkrumah University of Science and Technology (KNUST), Ghana

The Kwame Nkrumah University of Science and Technology in Ghana was established in 1951 and has developed a decentralised collegiate system whereby the various faculties have been condensed into six colleges: agriculture and natural resources; architecture and planning; arts and social sciences; engineering; health sciences; and science. The university has the ambition to create learning environments that are research based and in dialogue with the broader society in which they are embedded. KNUST has a student population of over 37,500, of which around 5,367 are post graduates.

In BSU II, KNUST will focus its activities and expected result on establishing a foundation for improved PhD course development and management, which it sees as essential to improving the quality and efficiency of its research platform. Proposed activity areas include new courses on research methodology and scientific writing as well courses in statistics. Furthermore, the university aims at initiating activities related to distance learning and thus improved outreach of the university across Ghana and abroad.

BSU II will also strengthen institutional capacity through (1) enhancing research opportunities through improved library as well as laboratory facilities, and (2) through an improved grant management and monitoring system. The latter is in particular relevant as external grants are the second largest financial contributor to the university. Activities will also ensure that staff are capacitated to implement it, including through a financial management system.

Kwame Nkrumah University of Science and Technology (KNUST)			
Output indicator		PhD education programmes developed	
Baseline	Year	2014	No education programmes in (i) Agribusiness Management (AM) and (ii) Value Chain (VC)
Target	Year	2016	Two PhD education programmes developed in AM and VC
Output indicator		Research grant management and monitoring system improved	
Baseline	Year	2014	No grant management and monitoring system in place
Target	Year	2016	Grant management and monitoring system established and 20 staff trained in its use

4.3 Sokoine University of Agriculture (SUA), Tanzania

Sokoine University is an agricultural university in Tanzania offering training in the fields of Agriculture, Forestry and Nature Conservation and Veterinary Medicine. The University has over 8,000 students and 508 academic members of staff. Lessons learned from the PhD modality used in BSU I, including the PhD courses and training of trainers, are being integrated into SUA's own PhD programmes. As such, BSU I helped kick-start PhD study reforms and opened up new research networks – two aspects that SUA would like to extend further in BSU II.

For the new programme, SUA has identified seven thematic outputs related to enhancing research processes, including through improving the curricula and learning approaches of especially new PhD programmes and PhD education delivery approaches. This will be achieved through the establishment of research groups, stakeholder consultation, faculty exchange, methodological trainings, and participation in scientific conferences.

The outputs related to institutional capacity focus on strengthening the research infrastructure such as improved library ICT as well as more generic capacity development related to improved financial management procedures at the university.

Sokoine University of Agriculture (SUA)			
Output indicator		Curriculum based on Agricultural Value Chain (AVC) developed	
Baseline	Year	2014	No curriculum on AVC exist
Target	Year	2016	Curriculum based on AVC has been developed
Output indicator		Finance Department (FD) staff trained in grant management	
Baseline	Year	2014	No training has taken place in technological applications
Target	Year	2016	15 staff from FD trained in technological applications

4.4 Kilimanjaro Christian Medical University College (KCMC), Tanzania

KCMC is a tertiary health facility that implements the Tanzanian Government policy on education and research and provides advice to the government on health issues. The university has recently scaled up its PhD programmes and thus the objectives of BSU II will contribute directly to enhancing the quality of these. KCMC currently has around 2,100 students and 100 research staff.

In BSU I, KCMC made headway in implementing a range of reforms that are strengthening its research education capacity (including health information systems and policy research, research methodology, qualitative research methods, and research management). This underlined the value of integrating foundation courses in PhD programmes.

The research process outputs identified by the KCMC for BSU II seek to continue and further embed the progress made under the previous phase. Outputs are centered on the development of research themes, research processes through protocol development, development of concept notes, faculty exchange, protocol development, pilot studies etc., all of which will strengthen the research environment and enhance research processes. There is also an intention to improve staff quality through training of trainers, staff training on methodologies, bio-ethics, supervision and mentorship, and monitoring and evaluation/quality assurance.

On the administrative level, the emphasis will be on dissemination and knowledge transfer through the engagement of relevant stakeholders and improvement to the library and ICT related investments.

Kilimanjaro Christian Medical University Colleague (KCMC)			
Output indicator		Dissemination strategy for research products developed	
Baseline	Year	2014	No strategy exists
Target	Year	2016	Dissemination strategy developed and operationalised
Output indicator		E-library established	
Baseline	Year	2014	No e-library
Target	Year	2016	E-library established

4.5 State University of Zanzibar (SUZA), Tanzania

The State University of Zanzibar is a relatively young institution (from 1999) with a focus on marine, environment and natural resources. A core strategic objective of the university is to increase the volume of, and promote, research-oriented education, research, publications, and outreach services to the public. Research, publications and community services should be strengthened through building capacities, increasing quality, efficiency and effectiveness of

research, publications and outreach activities. BSU II will thus contribute directly to these objectives. SUZA currently has just over 3,000 students and 130 academic staff and researchers.

In BSU II, SUZA plans to improve research policies, implementation and monitoring of this across the university. The results are expected to include enhanced production of research papers to be presented at international conferences. Furthermore, SUZA underscores the importance of faculty exchange as part of this process. The thematic foci that are suggested for this are environmental science, chemistry and marine biology.

In terms of enhanced institutional capacity, BSU II will contribute to improved library and laboratory facilities. This will be in coordination with other donors. Activities will also aim at improving financial management. The approach to improve the financial management system will be a step-by-step method with a long-term goal of achieving international certification.

State University of Zanzibar (SUZA)			
Output indicator		Policies regarding Ph.D thesis support upgraded and 30 staff trained	
Baseline	Year	2014	To be confirmed
Target	Year	2016	Policies and protocols upgraded & 30 staff trained to provide competent PhD supervision
Output indicator		Library services upgraded	
Baseline	Year	2014	Limited access to research databases and international journals subscription (to be established)
Target	Year	2016	Access to # research databases and # international journals subscription

4.6 Gulu University (GU), Uganda

Gulu University in Northern Uganda offers a wide range of teaching ranging from environmental and agricultural studies to medicine and peace and strategic studies. The university sees particular needs as strengthening the academic qualifications of university staff, in particular at the PhD-level, who can conduct research and supervise graduate students' research and also produce credible publications that can attract development oriented funding. The university has around 6,400 students and 209 academic staff.

The outputs identified by Gulu University in relation to BSU II are derived from the strategic plan and aim to strengthen the human capacity development and improve the quality of teaching and learning as well as improving the efficiency and organizational management including the ICT infrastructure. BSU II will build directly on these strategic goals by strengthening research capacity in terms of skills of internal PhD level staff by enhancing their ability to develop concept notes based on qualified research questions and scientific baselines and to further develop findings into research proposals and publications of a certified international standard.

To create a more enabling environment for quality research, the university’s institutional infrastructure and management will be developed in terms of improved ICT tools and project and financial management training.

Gulu University (GU)			
Output indicator		At least five multidisciplinary concept courses at PhD level developed and implemented	
Baseline	Year	2014	No such courses exist
Target	Year	2016	Five plus multidisciplinary courses for PhD graduates developed and implemented
Output indicator		Financial management System (FMS) installed and five staff trained	
Baseline	Year	2014	No Financial management System in place
Target	Year	2016	Financial management System installed and five staff trained

4.7 Kathmandu University (KU), Nepal

Kathmandu University offers a broad teaching platform and has around 3,600 students and 523 academic and research staff. The university needs to strengthen its research environment, in particular in relation to quality assurance/peer review, supervision, funding, supporting infrastructure, and dissemination. A further issue concerns the overly centralized way in which research is managed.

The outputs identified by Kathmandu University for BSU II are mainly focused around improving research policies and action plans aimed at enhancing the academic focus of the university. This will include new PhD protocols and course development. Thematically, Kathmandu University will focus on developing new PhD courses in hydropower and development, tourism and development, renewable energy and sustainable development, and urban and local development. With regard to institutional development, the University will strengthen its financial management capacity.

Kathmandu University (KU)			
Output indicator		Comprehensive research policy and action plan established	
Baseline	Year	2014	No overall research policy
Target	Year	2016	Research policy established at least in one faculty
Output indicator		Improved procurement policies	
Baseline	Year	2014	Procurement policies need improvement
Target	Year	2016	Procurement policies meet standards for international good practice

5 Budget

5.1 Overall budget

The total budget for BSU II is DKK 100 million for the 34 months implementation period (1 January 2014 till 1 November 2016). The budget allocation by item and year is presented in the table below.

Table 5.1 BSU phase II budget in DKK million

	2014 (12 months)	2015 (12 months)	2016 (10 months)	Total
University of Ghana	5.3	5.3	4.4	15.0
Kwame Nkrumah University of Science and Technology	5.3	5.3	4.4	15.0
Sokoine University of Agriculture	4.2	4.2	3.6	12.0
Kilimanjaro Christian Medical College	2.8	2.8	2.4	8.0
State University of Zanzibar	2.8	2.8	2.4	8.0
Gulu University	2.8	2.8	2.4	8.0
Kathmandu University	1.9	1.9	1.5	5.3
Continuation of PhDs from first phase of BSU	6.8	6.8	6.6	20.2
Danida Fellowship Centre	1.0	1.0	1.0	3.0
Reviews, technical support, mid-term seminar	0.5	1.0	0.5	2.0
Unallocated	0	1.5	2.0	3.5
BSU Total	33.4	35.4	31.2	100.0

Grants allocations to the various South institutions differ according to their expected possibilities to make use of the grants. The assessment of the capacity of the institutions is based i.a. on their size, the availability of prepared strategies for their research development, their experience of cooperating with international donors, their administrative capacity, and the results of the support during the first phase. If it turns out that institutions perform better than expected, the unallocated funds will be used to consolidate their activities and possibly fund new activities relevant to achieve the overall objectives of the programme. This will be determined during the mid-term review in 2015.

A ceiling of 10% of the total budget for each institution has been put on investment costs (e.g. in the form of library and laboratory construction) in relation to the second intermediate objective.

A budget line has been dedicated to finalise the many PhD scholarships initiated during the first phase to ensure that all students who have started a PhD education will be allowed to

finalise it. Some of these students are from the five institutions, which were part of the first phase but are not included in the second phase.

DFC has been allocated a budget to undertake the administration of the programme, including visits to South institutions to follow up on progress and audit reports, when needed.

A budget line has also been included to cover the costs associated with a mid-term review and a mid-term seminar (see below for details). In addition, this budget line will finance the costs associated with the process consultant and the monitoring consultant (both to be contracted by DFC, for details see below and at Annexes C and D).

5.2 Division of budget among BSU II partners

The actual funding for the universities will take account of a division between the universities in the South and in the North. Of these funds, 60% are allocated for the universities in the South, while the remaining 40% are allocated for expenditures for the universities in the North. Disbursements to the universities in the North are subject to authorisation from the universities in the South, who are overall responsible for the implementation of the individual development engagements. Overhead costs for South partners will be 12% of their grants, and each institution will be allowed to use an additional 8% for coordination of activities across faculties. In line with the agreement with Danish universities in the first phase, overheads for Danish consortia will be 20% of the funds they receive.

The division of funds is shown in the table below.

Table 5.2 base funding allocation to the individual universities in the South in DKK mil

Development engagement	South university	North university	Total
University of Ghana (UG), Ghana	9	6	15
Kwame Nkrumah University of Science and Technology (KNUST), Ghana	9	6	15
Sokoine University of Agriculture (SUA), Tanzania	7.2	4.8	12
Kilimanjaro Christian Medical University College (KCMC), Tanzania	4.8	3.2	8
State University of Zanzibar (SUZA), Tanzania	4.8	3.2	8
Gulu University (GU), Uganda	4.8	3.2	8
Kathmandu University (KU), Nepal	3.2	2.1	5.3
Total	42.8	28.5	71.3

5.3 Remaining PhDs from BSU I

As shown in the overall budget, funds have also been allocated to enable PhDs started under the first phase to be completed. These fall within the four platforms of BSU I and also reflect the larger number of universities that were part of the programme at that time¹³. The division of PhD. funding is shown in the table below:

Table 5.3 funding allocation for PhDs begun in BSU I in DKK

	<i>KNUST</i>	<i>U Ghana</i>	<i>Gulu U</i>	<i>KCMC</i>	<i>SUA</i>	<i>SUZA</i>	<i>Sub-total</i>	<i>Others</i>	<i>Total</i>
Human Health	580,000	2,158,245	0	1,176,489	0	895,000	4,809,734	0	4,809,734
Environment & Climate	953,085	888,043	0	0	722,921	0	2,564,049	900,605	3,464,654
Growth & Employment	1,719,754	1,719,754	0	0	1,719,754	0	5,159,261	1,719,754	6,879,014
PSDR	0	0	1,010,412	0	0	0	1,010,412	3,987,446	4,997,858
	3,252,839	4,766,042	1,010,412	1,176,489	2,442,674	895,000	13,543,455	6,607,805	20,151,261

The funds shown in the table above include costs applicable to both universities in the South and the North.¹⁴

5.4 Unallocated funds

In addition to the up-front funding for the individual universities, an additional DKK 3.5 million is budgeted as unallocated funds. These will be used for universities that have achieved good results in the initial phase of the programme. The scheduled 2015 mid-term review will provide recommendations to the distribution of unallocated resources. Based on the review findings, TAS will decide on the allocation of remaining funds.

6 Management and Organisation

The management of the programme is based on three levels: the university level, Danida Fellowship Centre (DFC) and Danish MFA (Technical Advisory Services). The principle used here is to devolve the management of the individual programmes to the universities on the basis of the development engagements, while DFC acts as overall coordinator and financial management agent, and TAS as overall responsible authority for the programme.

6.1 Management at MFA level

The overall responsibility for the BSU II programme rests with the Technical Advisory Services (TAS) in the Ministry of Foreign Affairs of Denmark. The main activities of TAS will include:

- Receive and approve progress reports from DFC
- Draft Terms of Reference and arrange mid-term review of BSU II
- Decision on allocation of unallocated funds

¹³ The BSU I partners not included in BSU II are: Masano University, Kenya; University of Dar es Salaam, Tanzania; Zanzibar College of Health Sciences, and Tribhuvan University, Nepal.

¹⁴ Documentation relating to the distribution of costs for remaining PhDs will be made available to the BSU II partners during the inception phase.

- Inform the Danish Embassy in the relevant university country of the BSU II related activities in the country. Embassies in the four countries will, to the extent possible, take part in the on-going dialogue with the South institutions.

6.2 Management at university level in the South

Each development engagement will be anchored with one of the seven universities in the South. The South university will hold the overall responsibility for prioritising, coordinating and managing the full development engagement. The respective universities in the South will endorse all activities to be implemented and approve release of funding by DFC to the partner universities in the North. These arrangements will be set out in separate trilateral agreements with DFC to which the finalised development engagements will be attached.

The internal management setup will be defined by the universities themselves and set out in the development engagement. It should in all aspects be aligned with existing university management structures to ensure ownership and sustainability. A BSU II focal point or coordinator must be appointed in each university and act as the primary entry point for all communication between the university and DFC on the BSU II programme.

The universities in the South will furthermore be responsible for compiling evidence of progress of their development. In accordance with the Danida guidelines for programme management and the DFC guidelines, the universities will submit all relevant reporting to DFC in accordance with the trilateral agreement signed at the beginning of BSU II. The arrangements are set out in more detail below.

Possible support requirements in relation to Results-Based Management (RBM) should be highlighted in the development engagements. Technical assistance in this respect will be provided through a monitoring consultant contracted by DFC (see section below).

In short, the main management responsibilities of the universities in the South will be:

- Define needs requirements in accordance with the South university project outline
- Identify and justify the selection of the partner in the North through the match-making process
- Lead the finalisation of the development engagement and submit it to DFC
- Lead the process of developing annual workplans for the partnership in line with the development engagement
- Assess progress and endorse release of funding to partners in the North
- Report on progress and financial status to DFC on half-yearly basis against the targets and other milestones set out in the development engagement
- Undertake final project reporting to DFC.

6.3 Role of universities in the North

The universities of the North will assist the universities in the South in accordance with the joint development engagement and implemented under the leadership of the universities in the South. The activities implemented by the universities of the North will be developed jointly with the universities of the South and implemented following endorsement of the universities in the South. The universities of the North will manage their own funding when released by DFC after approval of the universities of the South. This setup is applied to ensure full ownership and demand by the universities in the South of the supportive activities from the North.

The universities of the North will monitor their own activities, compile the information on this and forward it to the universities in the South, who will compile the joint South-North monitoring and forward it to DFC for approval.

6.4 Programme administration by DFC

The programme will be implemented in accordance with the Danida guidelines for programme management and the DFC programme management guidelines. In addition to the match-making process (see above), DFC will be the focal point for all monitoring, reporting and financial management and signing the agreements with the university partners in the South. Key tasks of DFC will include:

- Sign partner agreements with the universities in the South for the Ministry of Foreign Affairs of Denmark (pending approval of TAS).
- Manage the match-making process, including quality assurance of the selection process.
- Approve final development engagements from partners.
- Transfer of funds.
- Support to the financial management of the grant as needed by the South partners.
- Monitor progress of BSU II and report to TAS.
- Receive and approve half-yearly progress reports from partners.
- Receive and approve half-yearly financial reports from partners.
- Receive and approve annual audit reports from partners.
- Undertake disbursements to partners in the South based on approved development engagement.
- Undertake disbursements to partners in the North following authorisation of this by partners in the South.
- Be focal point on all BSU II related communication with the partners in the South and North on programme management related issues.
- Organise knowledge sharing for all partners (mid-term seminar).
- Facilitate technical assistance on monitoring/results based management upon request.

6.5 Technical assistance

The programme envisages the need to contract two external experts to provide technical assistance to DFC and programme partners at critical points in its development and implementation:

- Firstly, in relation to the match-making process, it is envisaged that a process consultant will be contracted to assist in the development of evaluation criteria and the technical consideration of the project outlines from the South universities and the responses from the North. This will help inform the selection process and support DFC. This activity is expected to take place in the first half of 2014. Terms of Reference for this task are attached at Annex C.
- Secondly, to support the monitoring at output level and at outcome level, a consultant with expert knowledge on capacity development and results based management will be recruited to facilitate a common understanding within each of the seven institutions of what the key dimensions of strengthening research capacity are and what specific results should be expected. In order to support the detailed results framework for each institution and the measurement of results, the consultant will help organise a baseline survey in each institution. Institutions in the South can request this technical assistance via DFC. Terms of Reference for this support are attached at Annex D.

Funding for the above support will be drawn from the budget line for reviews and technical support in the overall programme budget.

7 Financial Management

Each university in the South as well as in the North will apply its own financial management system and procurement rules for managing the BSU II funds to ensure optimal alignment with recipient systems and procedures. However, the financial management and procurement guidelines of the individual institution must be in accordance with Danida standards, as defined in Danida's Guidelines for Programme Management¹⁵ including the Financial Management Guidelines, Joint Procurement & Procurement Policy Guidelines, and Guidelines on Joint Funding, and General Guidelines for Accounting and Auditing of Funds through Governmental and Parastatal Organisations and NGOs.

The funding will be provided to each university to a dedicated project account. The universities will undertake separate accounting of the Danish funding and provide half-yearly financial accounts to DFC for approval. The Danish funding will be subject to a designated audit on a yearly basis.

Each university will be required to comply with international accounting standards and keep books and accounts and controls in accordance with the relevant legislation, i.e. legislation of

¹⁵ www.amg.um.dk

the national authority in their country of registration. Danida will align as far as possible with the partners' financial management systems including those related to fiscal year, subject to the compliance with the international auditing standards, which will need prior approval by DFC.

DFC will serve as the overall responsible entity overseeing the application of procurement and financial management of the grants to the universities. DFC will approve all financial reports and audit reports and recommend measures for additional financial control if so required.

8 Monitoring and Reporting

8.1 Reporting schedule

Reporting will be in accordance with DFC and Danida guidelines, and partners will follow the DFC reporting format (which will be made available to them). In cases where the existing reporting formats live up to the DFC requirements, the universities may use these instead, with DFC's agreement. The following reports are to be submitted by each individual grant recipient:

- Half-yearly financial reports
- Half-yearly progress reports
- Yearly audit reports
- Annual progress reports.

Upon completion of the programme, a Completion Report will be submitted to the Danish MFA by DFC.

Monitoring and reporting will be against the indicators in this document and the individual development engagement from the universities in the South. Baselines will be presented in the respective development engagements (technical assistance will be made available to support this via the monitoring consultant recruited by DFC). It is important that the development engagements have a clear intervention logic and use indicators that are measurable (SMART).

DFC will assess and approve the individual reports in accordance with the funding criteria and the management guidelines of Danida and DFC. With the assistance of the monitoring consultant, DFC will assess performance against indicators and agreed benchmarks.

8.2 Mid-term review

TAS will undertake a mid-term review of the programme in mid-2015. The review will be conducted in accordance with the Danida Guidelines for Programme Management (and possible additions to this with the new Country Programme Guidelines). It will verify the relevance of the programme, assess progress in relation to overall objectives as well as the various development engagements, review the management of the programme, suggest

allocation of unallocated resources and update risks and risk management strategies. The review will furthermore provide initial reflections on the need for preparatory work for possible continued support to a BSU phase III.

8.3 Mid-term seminar

In order to take stock of progress and take decisions on issues and recommendations arising from the mid-term review, a seminar will be held involving all the programme partners in mid-2015. The mid-term seminar will also serve the function of bringing all programme partners together for mutual learning and discussion of key issues emerging (both from the programme and more widely) relating to strengthening of the research process and research environment. Finally, the seminar will provide a valuable role in helping to facilitate South-South dialogue and networking. This is seen as particularly relevant given the close synergy between many of the programme's outputs.

DFC will make suggestions in this regard, including in relation to location and agenda, in early 2015.

9 Risks and Risk Management

The most important risk for the programme is of insufficient commitment from institutions and key persons in the participating institutions, both in the South and in Denmark. While the South universities have a clear interest in improving their systems and had a generally positive response to BSU I, they will continue to be working under resource constraints, which may have a negative effect on their focus. South partners may be given other responsibilities and be less able to engage in BSU activities than expected. It will be highly relevant to counter this eventuality by clearly engaging with South universities (and key individuals) so that their input and ideas are reflected in the programme design. This underpins the thinking of the match-making process to be used in BSU II, whereby the South universities are placed in the driving seat.

With regard to the Danish universities, there may be some incentive issues relating to the value (to their institutions) of the programme. It will be a new experience for the Danish partners to present expressions of interest and await the selection by South institutions of the consortium they prefer, and some may find that BSU commitments are too onerous to justify the potential gains.

The main risk response is continued dialogue with South partners and potential Danish partners. During the preparation process, South institutions have continuously stressed their dedication, and Danish partners actively involved in the first phase have closely followed the preparation of the second phase. Some of the constraints characterising the first phase (notably the requirement of co-financing by Danish universities), have been removed, and based on the engagement seen so far, it is believed that the match-making process and the subsequent collaboration will take place as expected.

It may be a challenge to ensure that each of the relatively different South institutions receives support tailored to its needs and absorption capacity. The risk response by DFC is to monitor the development closely and through dialogue with the partners propose the necessary adjustments. Moreover, the two independent experts (TA) that will be made available in support of DFC's role will help the overall process by enabling tailoring and the value of synergies to be highlighted.

The use of thematic foci to anchor programme activities should also make the programme more attractive in the sense that Danish researchers can align their own research agendas to the themes selected and assist their counterparts in the South to strengthen their research processes.

In terms of institutional risks, the administrative capacity of South institutions varies, and some are likely to find the management responsibility an additional burden. DFC will closely monitor the capacity and performance of the South institutions to shoulder the task, and adjustments will be proposed accordingly.

There is always a risk of giving relatively weak institutions responsibility for financial management. Based on the experience from other research programmes, DFC will both provide the necessary financial management support and apply safeguards such as clear financial management guidelines and annual audits.

The institutions included in the programme are supported also by other donors. Although there is some information available regarding other donors, it will be a challenge to ensure that the Danish support supplements the other support in the best possible way. To mitigate this risk, the dialogue with South institutions will emphasise the importance of considering all donors' support when planning the use of Danish funds, and the Ministry of Foreign Affairs will also approach larger bilateral donors to some of the institutions directly (e.g. Norway in the case of Sokoine University of Agriculture). Likewise, this aspect will be directly considered during the preparation of the seven development engagements.

9.1 Risk Matrix

Contextual Risks					
Context: Stronger research environment including administrative conditions at university level in developing countries					
File No: 104.dan.8.L.2600					
Risk factor	Likelihood	Background to assesement	Impact	Background to assessment	Risk response if applicable / potential effect on development cooperation in context
1 Political commitment to national education strategies threatened by inadequate funding due to political instability and financial crisis	unlikely	There is a strong acknowledgement that research-based knowledge is nessesary to address existing and emerging development challenges (South) as well as underpinning the innovation and export (North)	major	If national governments stop allocating funds to higher education it will impact negatively on the universities as a vehicle of poverty reduction and innovatove and exportable research-based knowledge	Continued political dialouge with governments on the importance of research
2 Excessive pressure on higher education system (numbers of students) means that university resources are unable to provide minimum standards of research and research supervision	Likely	Reporting indicates that universities are under pressure from high numbers of students compared to staffing and other resources	major	May lead to lack of focus and weakening of programme results	BSU II focus areas will enable more effective use to be made of resources

Programmatic and Institutional Risks

Title: Building Stronger Universities (BSU II)

File No: 104.dan.8.L.2600

Programmatic Risks

Risk factor	Likelihood	Background to assessment of likelihood	Impact	Background to assessment to potential impact	Risk response	Combined residual risk
P1 Lack of commitment from institutions and insufficient incentives for key persons both in South and Denmark means that BSU II is insufficiently embedded and results are undermined	Likely	Some Danish institutions/consortiums may find that BSU commitments are too onerous to justify the potential gains and South partners may be given other responsibilities and be less able to engage in BSU activities than expected.	Significant	The BSU II programme is founded on the rationale that the needs identified by the south institutions can be met by the Danish counterparts. Hence, if the input (necessary commitment) from the involved institutions/staff is not sufficient the programme cannot deliver against the agreed objectives and the programme will under-perform	The engagement from South and Danish institutions has been substantial in the preparation phase. Building on this, it is critical that a comprehensive inception phase with emphasis on further dialogue and clarification of expectations from South and Danish institutions to enhance the ownership as the development engagements are defined are catered for. The quality assurance will be done by a process consultant.	Minor
P2 Fiduciary and financial risks increase as South institutions take over management of the programme grants	Unlikely	The general assessment is that the South universities have basic but adequate financial standards (including audit function). However, some require institutional strengthening to meet international financial management standards fully	Major	Misuse of funds would require an immediate halt of Danish funding and have implications for the respective institutions financial sustainability as it will reduce donor confidence	The universities will undertake separate accounting of the Danish funding and provide half-yearly financial accounts to DFC for approval. The Danish funding will be subject to a designated audit on a yearly basis. DFC will approve all financial reports and audit reports and recommend measures for additional financial control if so required.	Minor
P3 Diverse and unfocused needs (outputs) identified by the South partners	Likely	In the preparation phase a number of outputs have been identified by the seven South Institutions without lean thematic and sufficient synergies	Major	The programme outputs has to be aligned and focused against the immediate objectives. Otherwise it will jeopardise the impact of the programme	A process consultant with expert knowledge on capacity development will be recruited to facilitate a common understanding within each of the seven institutions of what the key dimensions of strengthening research capacity are and what specific results should be expected.	Minor
P4 The needs identified by the South cannot be met by the Danish institutions and the match-making process cannot take place and programme underperform	Unlikely	The needs identified are diverse and the Danish institutions are not experts on i.e. procurement or grant management and do not necessarily have the experts nor the capacity to meet the needs outlined by the South	Major	The programme cannot meet the objectives outlined and there is a risk of programmatic failure.	All seven south institutions except Kathmandu have a history of collaboration and are well aware of each others capacities and needs. The TA will quality assure the development engagements from a results-based point of view and each South-Danish collaboration will be approved by the DFC.	Minor
P5 Limited administrative capacity of South institutions can make the additional financial management a burden	Likely	The capacity across the seven South institutions vary a great deal - some work with more than 50 donors (KNUST) and others are very small in terms of donor funding (Kathmandu)	Minor	If the financial reporting requirements cannot be met by the South institutions there is a need for immediate support and possible adjustment of the programme activities.	DFC will closely monitor the capacity and performance of the South institutions against the requirements outlined in the monitoring framework and adjustments will be proposed accordingly.	Minor
P6 Lack of donor coordination	Likely	The South institutions refer to a diverse and (some) to a large pool of bilateral donors with different requirements	Major	Overlapping and substantive resources spent on administration of donor grants can reduce the impact of the programme and result in programmatic failure	In the comprehensive inception phase, the process consultant in close cooperation with South and Danish institutions will take existing donor projects into account when providing the DFC with recommendations regarding the development engagements suggested.	Minor

Institutional Risks

Risk factor	Likelihood	Background to assessment of likelihood	Impact	Background to assessment of potential impact	Risk response	Combined residual risk
11 Lack of commitment from institutions and insufficient incentives for key persons both in South and Denmark means that BSU II is insufficiently embedded and results are undermined	Likely	Some Danish institutions/consortiums may find that BSU commitments are too onerous to justify the potential gains and South partners may be given other responsibilities and be less able to engage in BSU activities than expected.	Major	Lack of commitment would undermine the Danish rationale for supporting the BSU through a rights based approach	Denmark in line with the Strategic Framework for Danish Support to Development Research will continue to support research capacity in priority countries	Minor
12 Fiduciary and financial risks increase as South institutions take over management of the programme grants	Unlikely	The general assessment is that the South universities have basic but adequate financial standards (including audit function). However, some require institutional strengthening to meet international financial management standards fully	Significant	Misuse of funds would provide substantial reputational risk to Danish support	Denmark will continue to support institutional development, including financial management capacity with the south partners in the driving seat based on necessary financial management support. Denmark will apply safeguards and clear financial management guidelines and annual audits in the process.	Minor
13 Diverse and unfocused needs (outputs) identified by the South partners	Likely	In the preparation phase a number of outputs have been identified by the seven South Institutions without lean thematic and sufficient synergies	Major	The institutions will not gain the needed results from the programme and the collaboration will be in danger	Denmark will continue to stress the need for coherence in the development engagements to ensure effectiveness and promote result-based management.	Minor
14 The needs identified by the South cannot be met by the Danish institutions and the match-making process cannot take place and programme underperform	Unlikely	The needs identified are diverse and the Danish institutions are not experts on i.e. procurement or grant management and do not necessarily have the experts nor the capacity to meet the needs outlined by the South	Major	This would undermine the Danish rationale for supporting the BSU through a rights based approach	Denmark in line with the Strategic Framework for Danish Support to Development Research will continue to support research capacity in priority countries	Minor
15 Limited administrative capacity of South institutions can make the additional financial management a burden	Likely	The capacity across the seven South institutions vary a great deal - some work with more than 50 donors (KNUST) and others are very small in terms of donor funding (Kathmandu)	Major	The south institutions will be overstretched and unable to perform	Denmark will continue to promote alignment with local own financial management system and procurement rules and consider to enhance the technical support to the institutions	Minor
16 Lack of donor coordination	Likely	The South institutions refer to a diverse and (some) to a large pool of bilateral donors with different requirements	Major	Denmark will continue to invest more in ensuring harmonisation	Denmark will continue to emphasise the need for harmonisation.	Minor

Programmatic and Institutional Risks

Risk factor	Likelihood	Impact	Risk response	Combined residual risk
Programmatic Risks				
Lack of commitment from institutions and insufficient incentives for key persons both in South and Denmark means that BSU II is insufficiently embedded and results are undermined	Likely	Significant	The BSU II programme is founded on the rationale that the needs identified by the south institutons can be met by the Danish counterparts. Hence, If the input (necessary commitment) from the involved institutions/staff is not sufficient the programme cannot deliver against the agreed objectives and the programme will under-perform	Minor
Fiduciary and financial risks increase as South institutions take over management of the programme grants	Unlikely	Major	Misuse of funds would require an immediate halt of Danish funding and have implications for the respective institutions financial sustainability as it will reduce donor confidence	Minor
Diverse and unfocused needs (outputs) identified by the South partners	Unlikely	Major	The programme outputs has to be aligned and focused against the immediate objectives. Otherwise it will jeopardise the impact of the programme	Minor
Institutional Risks				
Lack of commitment from institutions and insufficient incentives for key persons both in South and Denmark means that BSU II is insufficiently embedded and results are undermined	Likely	Major	Denmark in line with the Strategic Framework for Danish Support to Development Research will continue to support research capacity in priority countries	Minor
Fiduciary and financial risks increase as South institutions take over management of the programme grants	Unlikely	Significant	Misuse of funds would provide substantial reputational risk to Danish support	Minor
Diverse and unfocused needs (outputs) identified by the South partners	Likely	Major	The institutions will not gain the needed results from the programme and the collaboration will be in danger	Minor

Annex A: Description of the match-making process

The match-making process will take place during the inception phase between January – April 2014 on the basis of the South universities' project outlines and the Danish universities' responses. The match-making will be assisted by a process consultant who will provide quality assurance of the process and advise DFC regarding the selections made by the South universities.

1. Role of South universities

The South universities will prepare short project outlines that relate to research as well as institutional capacity development in line with the two immediate objectives of the BSU II programme. In order to guide the selection process, the project outlines will include:

1. Overall strategic focus of the partnership with clearly defined overall objectives aligned to the BSU II objectives
2. A statement of justification and relevance to the BSU II programme
3. A short capacity statement (staff, turnover, faculties etc.)
4. Description of university needs in terms of research capacity development based on own needs assessment and university strategy
5. Presentation of key institutional capacity development needs (e.g. strategic and shorter term planning, resource mobilisation, grant management and financial management)
6. Presentation of no more than 3 thematic foci (covering no more than 5 institutes/departments) for research cooperation with a university in the North. These foci are expected to provide a thematic anchoring for the partnership.
7. Presentation of envisaged output areas based upon the needs analysis and in line with the BSU II objectives. The description of the outputs should include sufficient detail to enable the universities in the North to assess and propose possible partnering inputs.
8. Outline of possible management structure/institutional anchoring for the partnership, including key staff likely to be involved
9. A process action plan outlining a three-month inception phase (see below) with expected outputs and deadlines.¹⁶

The project outlines provided by the universities in the South will be posted on the DFC website in January 2014.

2. Response by Danish universities

¹⁶ The project outlines should contain sufficient detail for the university/ies in the North to respond. The project outlines are expected to be 15-20 pages in length and will be generally in line with the outputs already suggested and included in section 6 of this document. The project outlines will be developed further during an inception phase in partnership with the university in the North once the selection has taken place.

The Danish universities who participated in BSU phase I will be notified of the publication of the South universities project outlines and asked to submit short responses for the partnership. The responses should illustrate how the Danish university (or consortium of universities led by one university) is best qualified as a match for any or more of the project outlines from the universities in the South. The responses will include, as a minimum:

1. Comments/clarifications regarding the project outline to which the response is being made
2. Capacity statement of the university/consortium
3. Overview of previous experience with similar activities
4. Outline of methodology and approach regarding how the university will help deliver the outputs requested by the South university
5. Overview of key personnel to be engaged, including potential role and availability
6. Suggestions for a Process Action Plan, including milestones relating to the programme development with the South university.

To be eligible for submitting responses for match making with the universities in the South, the university or consortium led by one university in the North must have participated in the BSU I, and thus build on the partnerships and lessons learnt from this.

3. Selection criteria

Based on the responses submitted by the Danish universities, the universities in the South will select one partner each as their match for the BSU phase II implementation. The match should be based on the following criteria (to be further developed with the assistance of the process consultant):

- The thematic relevance of the response, including the realism of the methodology and degree to which outputs can be expected to be met
- Demonstration of the North partner's capacity and experience in relation to the needs/outputs required by the South university, including strength of the personnel to be made available
- The appropriateness of the initial capacity development plan to the university
- Expected cost of the partnership in relation to the outputs expected and the budget available.

Supported by the process consultant, DFC will provide guidance concerning the selection process if necessary; however, the final choice will be made by the university in the South based on their assessment of the best match to their project outline. The university will document the basis for their assessment and make it available to DFC. In cases where there are competing expressions of interest, the documentation made available to DFC will include a matrix comparing the various expressions of interest according to the selection criteria. DFC will inform the Danish MFA and subsequently the selected Danish universities of the decisions of the South partners. In case of any dispute, DFC will consult the Danish MFA (TAS).

4. Development engagements

Once the match-making has been completed, the two partners will jointly develop a more detailed development engagement (i.e. a programme description) for the partnership aimed at meeting the BSU II objectives. The development engagement must be completed in three months (and no later than April 2014), when it will be submitted to DFC for final approval and disbursement of funds. The development engagement must adhere to Danida guidelines in terms of clear strategy, implementation plan and deadlines followed by a results framework with short, tangible and measurable indicators. Furthermore, it must demonstrate a lean governance structure and Value for Money (VfM). As guidance for this, the criteria outlined above regarding the content of the project outlines can be used, with the understanding that the final development engagement represents a more concrete and consensual document reflecting the partnership between the institutions concerned.

5. Process Action Plan

A process action plan of the match-making process is presented in the table below (precise dates yet to be decided).

Activity	Output	Responsible	Deadline
Development of project outlines as basis for match-making	Partner project outline clear objectives and services expected form partner in North	South partner universities	January - February 2014
Call for response to project outline from Danish universities	Internet call	DFC	February 2014
Submission of responses from Danish universities for match-making	Responses as basis for match-making	Danish universities or consortia	March 2014
Screening and selection of matches (partners)	Decision on match-making	South partner universities	March 2014
Development of joint development engagement	Final development engagement	South and North university matching partners	March - April 2014
Approval of final development engagement	Approval	DFC	May 2014
Signature of trilateral agreements	Seven trilateral agreements	South and North university partners, DFC/MFA of Denmark	May 2014
Implementation of joint development engagement	Programme outputs	South and North university partners	May 2014 –1 November 2016

Annex B: Overview of BSU II partners in the South

The following overview presents the strategic linkages and key outputs suggested by the seven South universities for the partnership with Danish universities under BSU II. They need to be regarded as work in progress. Although most universities have provided outlines that largely meet the criteria set out in the BSU II Programme Document, some have not and a quality assurance process and input from the Danish universities during the BSU II inception phase in the first quarter of 2014 will be used to develop the final list of outputs and activities that will receive funding through the programme.

1. University of Ghana (UG), Ghana

The University of Ghana (UG) was founded in 1948 and is the oldest and largest of the thirteen universities and tertiary institutions in Ghana. The university sees its mission as developing world-class human resources to meet global development challenges. It offers courses in arts, business, physical and biological sciences, law, agriculture, nuclear and allied sciences, and engineering sciences and has recently set itself the goal of becoming a research university that will include four Centres of Excellence, which will conduct research in malaria; food security and crop improvement; poverty reduction; and environment and climate change. The university has also revised its PhD programme so that the PhD training is now a four-year programme with the first year dedicated to course work while increasing the number of PhD students who are trained.

The number of students at University of Ghana is 34,937 and the number of teaching staff and research staff is 998 and 136 respectively. Of the DKK 472 million annual budget, the Government of Ghana contributes approximately DKK 76 million (which is 40% of the budget covering staff salaries and administration). Other sources of funding include the EU, UK, USAID, IDRC and the Gates Foundation (mainly funding research grants).

The university contributes to Ghana's Higher Education Development Policy and other policy instruments, which recognise the importance of human capacity building and research to promote socio-economic growth and development. The university has just revised its strategic plan for 2013 – 2020 outlining nine strategic priorities including i) Institutional processes and financial performance ii) Teaching and Learning and iii) Research which are in line with the BSU II objective of strengthening the research environment and processes. The overall strategic goal is “to attain a world class status by 2020” by “creating an enabling environment that makes Ghana University a centre of attraction for cutting-edge research as well as high quality teaching and learning”.¹⁷

The university has identified the strengthening of the institutional capacity at PhD level as well as at the junior level as key priorities that will build on BSU I and facilitate training in research methodology as well as concept note and baseline development. The junior aspect

¹⁷ University of Ghana: Strategic Plan 2013-2020 (2012)

will facilitate upgrading of junior faculty members to prepare them for PhD work as a means of increasing the university’s pool of committed and qualified researchers. An important element in realising the goal of creating a vibrant climate for research is attracting external funding by support to the design of research and development proposals in partnership with Danish universities.

On the service and facility side, the university prioritises strengthening the capacity of the grants office in order to become more responsive to the needs of the researchers as well as to be able to comply with international transparency and accountability standards. Furthermore, the university wishes to strengthen its Office of Research, Innovation and Development that coordinates grants and awards so they can implement university policies, procedures and standards and build staff capacity to strengthen the institutional capacity at the university. The principal outputs envisaged for BSU II by the University of Ghana are set out in the table below.

IO1: Research policies, strategies, organisation and research processes improved.

Output 1.1:	Strengthened quality of PhD course work
Output 1.2	PhD scholarships for junior faculty members
Output 1.3:	Faculty research capacity strengthening
Output 1.4:	Designing of research and development proposals for University of Ghana Centres of Excellence
Output 1.5:	Database for improved tracking of doctoral theses
Output 1.6:	Training of UG PhD students in production of doctoral theses.

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1:	Strengthening of research administrative capacity
Output 2.2:	Strengthening of financial administration capacity
Output 2.3:	Strengthening of research support capacity

2. Kwame Nkrumah University of Science and Technology (KNUST), Ghana

Kwame Nkrumah University of Science and Technology was established in 1951 and has developed a decentralised collegiate system whereby the various faculties have been condensed into six colleges: Agriculture and Natural Resources; Architecture and Planning; Arts and Social Sciences; Engineering; Health Sciences; and Science. The university has the ambition to create learning environments that are research based in dialogue with the broader society in which they are embedded.

The total number of students at KNUST is 37,588. Of these, 32,221 are undergraduate students (app. 2/3 male students and 1/3 female students), and 5,379 are postgraduate

students (app. 71 male students and 29% female students). The number of teaching staff is 932, and the number of staff principally engaged in research is 38.

Ghana's Higher Education Sector Policy recognises the importance of human capacity building and research for socio-economic growth and development of the country. In line with this, KNUST describes its core functions as (i) generating new knowledge (research) of high quality and high relevance to society; (ii) producing graduates with skills and knowledge of relevance to society now and in the future; and (iii) providing outreach/ interact with the society at large and the private and public sectors in particular. Moreover, its Corporate Strategic Plan (2005 – 2014)¹⁸ prioritises a variety of aspects that are relevant to BSU II, including: Human Resource Development; Financial Resources Mobilization and Management; Training, Research and Innovation; Expansion and Application of ICT and Physical Infrastructure Development.

The outputs identified by KNUST for BSU II are focused especially on course development, manuals, PhD studies, overall research management. There is a wish to continue PhD education through courses on grant proposal writing, research methodology, scientific writing, thesis writing and statistics. There is also an intention to strengthen PhD supervision through developing guidelines for supervisors and students relating to mutual responsibilities, quality assurance, and progress tracking.

In relation to institutional capacity building, the aim is to enhance services and facilities. KNUST wishes to establish a management and monitoring system for external research grants and to ensure that staff are capacitated to implement it, including through a financial management system. The importance of effective grant management is underlined by the fact that external grants are the second largest funding modality at KNUST with more than 50 different partners. In addition the University Library and laboratories will be upgraded, contributing to international certification and promoting the possibility of engaging in equal partnership in grant applications.

¹⁸ Corporate strategic Plan 2005 – 2014: “Kwame Nkrumah University of Science and Technology Kumasi – Ghana” (Jan 2005)

The table below provides an overview of the outputs identified by KNUST during the identification process for BSU II. These will be refined further during the inception phase.

IO 1: Research policies, strategies, organisation and research processes improved

Output 1.1:	New PhD programmes in (i) Agribusiness management (ii) Value chain developed and accredited
Output 1.2	University-wide PhD courses in (i) Research Methodology (ii) Scientific Writing (iii) Thesis writing (iv) Statistics (v) 1 specialized common course in each of the six colleges developed and implemented
Output 1.3:	PhD Supervision Guidelines and training
Output 1.4:	Research Dissemination Plan and Implementation (3 outreaches)
Output 1.5:	Staff training on (i) Problem-Based Learning and (ii) Distance Learning; and Implementation
Output 1.6:	Staff training on Grant Proposal Writing and Award Management
Output 1.7:	PhD scholarships for College of Health Sciences

IO2: University-wide services and facilities to support research activities strengthened

Output 2.1:	Research grant management and monitoring system established and 20 staff trained on its use
Output 2.2:	A financial management system for grants established and 20 accounting staff trained on running the grants financial management system.
Output 2.3:	Library Upgrading
Output 2.4:	Laboratory upgrading
Output 2.5:	Governance and Management of BSU II

3. Sokoine University of Agriculture (SUA), Tanzania

Sokoine University of Agriculture (SUA) was founded in 1965 as an agricultural college offering diploma training in agriculture. It has since extended its portfolio and now has faculties of agriculture, forestry and nature conservation, veterinary medicine and faculty science, as well as a Development Studies Institute. SUA’s vision is to become a renowned centre of learning and knowledge creation for sustainable land use, betterment of agriculture and improved livelihoods. It is among the top priorities of the university to develop and run quality programmes and undertake basic and applied research to generate new knowledge that responds to the contemporary and emerging needs of society.

The number of students at SUA is 8,208 (app. 2/3 male students and 1/3 female students). The total number of teaching and research staff is 508 (of which 244 hold PhDs). The university’s budget is around TZS 1 billion, with around 55% of the funding coming from

government sources. In addition to Danida, SUA receives substantial support from Norway and the World Bank. Currently the University holds Memoranda of Understanding and Collaboration Agreements with more than 50 institutions/agencies across the world. The University of Copenhagen was the main contributor in developing the curriculum and the capacity of the university staff for the new Faculty of Veterinary Science. University of Copenhagen also supplied internal staff to kick start the new Faculty while local staff were being recruited and trained.

SUA's Corporate Strategic Plan (CSP) 2011 to 2020 takes its point of departure in the Tanzania Development Vision 2025 where science, technology and innovation capabilities are perceived as vehicles for economic growth bolstering Tanzania's competitiveness. This is reflected in the priority attached in the Strategic Plan to Basic and Demand Driven and Applied Research, where the stated objective is to undertake basic and applied research to generate new knowledge that responds to the contemporary and emerging needs of the society.

Key results from BSU I were that SUA strengthened its learning platform allowing for a better reflection of research capacity gaps and prioritisation of demands for capacity building in relation to research-based education. There was high demand for the PhD. courses offered (some sub-courses receiving double the number of applicants compared to places available) and there is a wish to continue these in BSU II. Likewise, the number of applicants for PhD scholarships exceeded the number available, indicating the need for staff development. Lessons learned from the PhD modality used in BSU I, including the PhD courses and training of trainers, are being integrated into SUA's own PhD programmes. As such, BSU I helped kick-start PhD study reforms and opened up new research networks – two aspects that SUA would like to extend further in BSU II.

The research process outputs and activities identified by SUA for BSU II focus on strengthening the research environment by improving the curricula and learning approaches of especially new PhD programmes and PhD education delivery approaches. SUA would like to continue developing PhD courses, including in terms of methodology, course materials and presentations with Danish assistance to ensure that it is firmly embedded in the University's PhD training. Outputs will be achieved through the establishment of research groups, stakeholder meetings, faculty exchange, methodological trainings, participation in scientific conferences and acquisition of basic infrastructure that support research and research based training.

The institutional outputs address the need for more institutional capacity at SUA by both strengthening the research infrastructure and by enhancing international research funding possibilities by further capacitating the finance department via training and upgrading the Financial Management Information System. This will need to be coordinated with other donors (notably Norway, which has previously provided some support).

The principal outputs envisaged for BSU II by SUA are set out in the table below.

IO1: Research policies, strategies, organisation and research processes improved.

Output 1.1	New PhD education delivery approach based on Integrating Experiential Learning and Action Research introduced
Output 1.2	New curriculum based on Agricultural Value Chains introduced
Output 1.3	PhD. level: Training on aquaculture strengthened and new curriculum on aquaculture introduced
Output 1.4	PhD. level: Training and research capacity on market oriented Agro-ecology strengthened
Output 1.5	PhD level: Range science education and research strengthened for sustainable rangeland management in Tanzania
Output 1.6	PhD level: Courses offered on conservation and management of natural resources strengthened through environmental modelling techniques.
Output 1.7	Six Methodological PhD courses implemented and mainstreamed into SUA curriculum

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1	15 staff in the Finance department trained on technological applications in administration of Development partner's Projects
Output 2.2	Identify and acquire required hardware for ICT upgrading

4. Kilimanjaro Christian Medical University College (KCMC), Tanzania

Kilimanjaro Christian Medical Centre (KCMC) was established in 1971 in Moshi under the Ministry of Health and Social Welfare (MoH) as a leading health facility in Tanzania. It hosts 14 schools of Allied Health Sciences, including in the areas of medicine, nursing and rehabilitation medicine. KCMC has recently scaled up its PhD programmes.

KCMC is a tertiary health facility that implements the Government policy on education and research and provides advice either through the MoH directly or through the National Institute for Medical Research (NIMR). The College's Kilimanjaro Clinical Research Institute, for example, is among the research institutions used by the Tanzanian Commission for Science and Technology to provide expert services for national research policy.

The total number of students at KCMC is 2,100 students. The number of teaching staff is 108, and the number of research staff is 102. Its 2013 budget is DKK 22 million.

The framework for health research in Tanzania takes its point of departure in Tanzania's health policy as well as the five year plan: "Tanzania National Health research priorities 2013

– 2018”¹⁹. Inter alia, these emphasise the importance of research and related findings to improve health service delivery and the acute need for more highly qualified health care professionals. KCMC’s strategy thus prioritises research capacity and improved PhD education. Its vision is to be a centre of excellence in teaching, research and development of health professionals who influence society through dignified health care delivery.

In BSU I, KCMC made headway in implementing a range of courses strengthening its research education capacity (including on health information systems and policy research, research methodology, qualitative research methods, and research management). Courses were also held on research proposal writing, training of supervisors, and PhD information exchange platforms and a post graduate handbook developed. Important lessons learned were the value of integrating foundation courses in PhD programmes and the utility of Personal Development Plans.

The research process outputs identified by the KCMC for BSU II seek to continue and further embed the progress made under the previous phase. Outputs are centered around the development of research themes, research processes and conceptual developments through protocol development, development of concept notes, faculty exchange, protocol development, pilot studies etc. all of which will strengthen the research environment and enhance research processes. There is also an intention to improve staff quality through training of trainers, staff training on methodologies, bio-ethics, supervision and mentorship, and monitoring and evaluation/quality assurance.

With regard to institutional development, KCMC seeks to strengthen its integration, dissemination and knowledge transfer capacity along with infrastructural improvements of the library and the auditorium, including ICT systems. KCMC also intends to introduce a performance based staff evaluation system.

¹⁹ National Institute for Medical Research: “Tanzania National Health research priorities 2013 – 2018 (2013), NMR.

The principal outputs envisaged for BSU II by KCMC are set out in the table below.

IO 1: Research policies, strategies, organisation and research processes improved.

Output 1.1:	Quality of staff improved: staff exchanges, training of trainers established, research methodologies/ bioethics/ supervision/ performance-based evaluation system established
Output 1.2	Policies, procedures for carrying out PhD research established: PhD process reviewed: selection, admission, defence, award reviewed; foundation course in place; mandatory credits for PhD project-specific courses introduced; policy for selecting supervisors/advisers established; mentorship committee established; personal development planning introduced; e-PhD log for tracking/mentoring in use
Output 1.3	Students prepared to be good research-based knowledge-users and –producers: Workshops on research proposal development introduced;, health ethics part of curriculum; selected students attached to Danish institutions for training on specific skills carried out, annual International Kilimanjaro PhD symposium carried out; two new PhD studies initiated

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1	Capacities that research relies on improved: Research library renovated; e-library established; scientific conference auditorium renovated; monitoring and evaluation tools established; grants management strengthened; grant preparations team trained
Output 2.2	Dissemination of research findings for policy and community awareness introduced: Annual events engaging policy makers and media community on research findings conducted, participation for presentation of research findings at international conferences carried out
Output 2.3	Quality of facilities improved: Internet connectivity/ accessibility, teaching facilities, and research laboratories improved; seminar room for mandatory foundation modules refurbished; departmental resource room

5. State University of Zanzibar (SUZA), Tanzania

The State University of Zanzibar was founded in 1999 with a particular focus on natural sciences, including marine, environment and natural resources, as well as medicine and environmental health. It is the only public university in Zanzibar. The Zanzibar Strategy for Growth and Reduction of Poverty (2010-2015 identifies SUZA as one of the institutions that will be consulted for capacity building and strategic involvement of higher learning and research. SUZA’s stated Vision is thus to become the preferred higher learning institution in education and research in the region. In line with this, a core strategic objective of the university is to increase the volume of, and promote, research-oriented education, research, publications, and outreach services to the public. Research, publications and community

services should be strengthened through building capacities, increasing quality, efficiency and effectiveness of research, publications and outreach activities.

The number of students at SUZA is 3,042, and the number of teaching staff is 130. SUZA has no staff specifically employed for research purposes.

Research and innovation has been mainstreamed into development planning strategies in Zanzibar. The objective is to promote the application of research-oriented evidence in policy formulation and decision making and: "...make proper use of research results for effective planning and implementation of social services".²⁰ In SUZA's Strategic Rolling Plan 2013/14 – 2016/17, there are eight main objectives. The most relevant for the BSU programme in terms of supporting research environment and research processes are (1) strengthen Human Resource capacity, (2) produce globally competitive researchers, and (4) increase the volume of research, publications and community engagement services.

The outputs identified by SUZA for BSU II focus on enhancing the quality of PhD staff which needs to be coordinated with other output areas and promoting a positive research environment by enhancing the faculty research capacity within defined thematic areas. These can be coordinated with other BSU II activities such as outreach and communication activities in line with the SUZA strategic plan.

In relation to institutional aspects, it is intended to strengthen research infrastructure by improving the library and laboratory facilities in coordination with other donors aligned with objective two of the BSU II. The approach to improve the financial management system will be a step-by-step method with a long-term goal of achieving international certification.

²⁰ Zanzibar vision 2020, The Revolutionary Government of Zanzibar.

The principal outputs envisaged for BSU II by SUZA are set out in the table below.

IO 1: Research policies, strategies, organisation and research processes improved.

Output 1.1:	5 University staff successfully completed their PhD studies.
Output 1.2:	PhD programmes and curricula in (i) Environmental science (ii) Chemistry (iii) Marine biology established and accredited.
Output 1.3:	Faculty research capacity strengthened (i) through study visits to Denmark (3), (ii) established research-based collaboration with South-based researchers (3)
Output 1.4:	SUZA outreach and communication established and implemented: (i) regional workshop hosted, / (ii) policy and guidelines produced and approved, (iii) communication day successfully introduced
Output 1.5:	SUZA graduate and research policies, monitoring system, portals, training of staff in implementing these put in place
Output 1.6:	Research quality improved: (i) staff presenting papers at international conferences, (ii) SUZA Research and Quality Control Section strengthened.

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1:	The finance section has in place a financial management system that satisfies international standards, and 3 staff trained on research project and grant management
Output 2.2:	SUZA library services upgraded to provide access to research databases, international journals subscription, 2 library staff trained
Output 2.3:	New research laboratory in natural sciences designed, procured, installed, laboratory protocols established, 3 lab technicians trained
Output 2.4:	2 research staff trained to attract externally funded projects/Grants

6. Gulu University (GU), Uganda

Gulu University was founded in 2002 with an initial focus on training in, and promotion of, agriculture and environmental conservation. Being the only university in the greater Northern region, it was realised that other disciplines were equally important to be introduced to spur development, particularly conflict management, human health, education, business and entrepreneurial development skills. Gulu University’s focus has now broadened to include both natural and social science disciplines.

The number of registered students at Gulu University is 4,431. There are 209 academic staff and 155 research staff. The university’s budget for 2013/14 is DKK 62,5 million, of which 50% is funded by the government and 8% by donors.

Uganda’s National Development Plan (2010-2015) sets the strategic parameter for the university’s Strategic Plan (2010-2019) with the overall objective of providing higher education, research and quality professional training for community transformation. Key

priorities include strengthened institutional capacity and the status of science and technology; increased capacity for research and development and innovation; increased capacity, access and use of ICT; and increased number of science and technology and ICT professionals.

The main challenges identified by the university in relation to these goals include the need to strengthen the academic qualifications university staff, in particular at the PhD-level, who can conduct research and supervise graduate students' research and also produce credible publications that can attract development oriented funding and improve the ranking of the university.

The outputs identified by Gulu University in relation to BSU II are derived from the strategic plan and aim to strengthen the human capacity development and improve the quality of teaching and learning as well as improving the efficiency and organizational management including the ICT infrastructure. BSU II will build directly on these strategic goals by strengthening research capacity in terms of skills of internal PhD level staff by enhancing their ability to develop concept notes based on qualified research questions and scientific baselines and to further develop findings into research proposals and publications of a certified international standard.

To create an enabling research environment, the institutional infrastructure and management will simultaneously be developed in terms of improved ICT tools and project and financial management training.

The principal outputs envisaged for BSU II by Gulu University are set out in the table below.

IO1: Research policies, strategies, organisation and research processes improved.

Output 1.1:	Strengthened quality of PhD work (4 methodology course workshops, 12 trained in project writing; multi-disciplinary concept courses, fund-raising course)
Output 1.2:	Qualifications of faculty improved through (i) faculty exchanges with Denmark, (ii) presentations at international seminars, (iii) international seminar at GU on SDR
Output 1.3:	Joint research proposals with South collaborations
Output 1.4:	Improved faculty qualifications through (i) PhD fellowships, (ii) PhD courses, (iii) workshops/networks
Output 1.5:	Strengthened gender qualifications through colloquium, women's researcher network
Output 1.6:	Improved academic publications through workshops, publication support

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1:	Five financial management staff trained in grants financial management
Output 2.2:	Financial management software and internet services installed
Output 2.3:	Project management training for faculty, preparation for BSU III

7. Kathmandu University (KU), Nepal

Kathmandu University (KU) was established in 1985 as a private university. It has a semester system of education, with six schools offering Arts, Education, Engineering, Management, Medical Science and Science. In 2012, the university had 3,695 students of which more than two thirds are enrolled at the Engineering (1,079), Medical Service (911) and Science Schools (813). There are 523 academic/research staff. The annual budget is around DKK 148 million. It has a number of donors, including Norway, Switzerland, South Korea, China and India. Danish partners include Århus University and Aalborg University. Kathmandu University was not included in BSU I.

The university's vision is to become a world class university bringing knowledge and technology to the services of Nepal. It has five overall objectives of which the following are most relevant to the BSU II programme: a) developing awareness about the role of science

and its application in understanding problems of the contemporary society and b) establishing a community of scholars, students, and staff in which understanding and wisdom can grow and flourish.

In its project proposal for BSU II, Kathmandu University highlights weaknesses in its research environment, in particular in relation to quality assurance/peer review, supervision, funding, supporting infrastructure, and dissemination. A further issue concerns the overly centralized way in which research is managed.

The research process outputs envisioned by Kathmandu University for BSU II are mainly focused around improving research administrative processes and course development relating to graduates and PhD candidates. The university sees a need to develop a comprehensive action plan for strengthening its research practices (including standards and protocols for PhD degrees and PhD courses that are used to operationalize them). The standards would cover issues such as procedures for identifying and preparing research proposals, thesis presentation, thesis supervision, roles and responsibilities, quality criteria, obligations and incentives. PhD education would also include courses in thesis writing. The aim is to create a research environment that can support research activities in a more comprehensive way in terms of streamlining policies and procedures for carrying out research, preparing students to become good research-based knowledge-producers and users. In addition, the university wishes to develop academic projects in thematic areas in line with its strategic focus, thereby strengthening research activities in the fields of environment, energy, medicinal plants and information technology.

In relation to institutional strengthening, the university wishes to develop a strong research management cell that will improve grants management, practices and capacities, create an enabling environment for researcher reporting, grants preparation and quality assurance.

The principal outputs envisaged for BSU II by Kathmandu University are set out in the table below.

IO 1: Research policies, strategies, organisation and research processes improved.

Output 1.1:	Comprehensive research policy/action plan for strengthening the university's focus, practices and capacities to produce new and relevant knowledge is produced/approved
Output 1.2	KU has developed/gotten approved a new/revised curriculum/module in graduate studies/PhD courses, where key fields are (i) hydropower and development, (ii) tourism and development, (iii) post-carbon/renewable energy and sustainable development, (iv) urban and local development
Output 1.3:	The university has developed/approved new/revised standards/protocols for graduate degrees/PhD degrees such as obligatory courses for first year students, revised procedures for identifying or preparing research proposals, standards for submitting thesis etc.
Output 1.4:	The university has developed/implemented new guidelines regarding thesis advisers, roles, responsibilities, quality criteria, obligations and incentives

IO2: University-wide services and facilities to support research activities strengthened.

Output 2.1:	[Being developed]
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Annex C: Terms of Reference for process consultant

These Terms of Reference refer to technical assistance to assist the 7 universities in Danida priority countries and to Danida Fellowship Centre (DFC) with the match-making process in the Building Stronger University (BSU) programme, Phase II.

Background

Universities in developing countries are key players for sustainable national development through their contribution to developing human capacity and their inputs on development and other issues. Research-based knowledge is necessary to address existing and emerging development challenges, to support innovation and new technological solutions, to produce new knowledge necessary for political decision-making, and in documenting the results of development processes. Research capacity is defined as “the ability of individuals, organisations and systems to undertake and disseminate high quality research effectively and efficiently”.

“Building Stronger Universities” (BSU) is a Danish-funded programme that applies an institutional approach to developing research capacity. The overall goal of the programme is: *Capacity of seven universities to undertake high-quality research enhanced through support to the research environment and research processes.* This is supported by two immediate objectives: (1) *Research policies, strategies, organisation and research processes improved,* and (2) *University-wide services and facilities to support research activities strengthened.* The first objective thus relates to enhancing the academic environment while the second objective seeks to improve the administrative and infrastructure conditions at university and faculty level necessary for undertaking high-quality research.

The universities in the South select partners among Danish universities which can provide support in the areas identified.

In light of the lessons learnt from the first phase of the programme (2011-2013), a second phase with a budget of DKK 100 million has designed to enhance the ownership of the universities in the South.

The programme partners are seven universities in the South and a number of Danish universities.²¹ DFC plays a programme facilitating and administration role, while overall responsibility rests with the Ministry of Foreign Affairs in Copenhagen (Technical Advisory

²¹ The seven programme partners in the South are: the Kwame Nkrumah University of Science and Technology (KNUST) and University of Ghana (UG) in Ghana; Kathmandu University (KU) in Nepal; the Kilimanjaro Christian Medical University College (KCMC), the Sokoine University of Agriculture (SUA) and the State University of Zanzibar (SUZA) in Tanzania, and Gulu University (GU) in Uganda. With the exception of Kathmandu University, all these partners also participated in the first phase of the programme (2011-2013). The Danish universities will be selected from University of Copenhagen, Aarhus University, University of Southern Denmark, Roskilde University, Aalborg University, Technical University of Denmark, Copenhagen Business School and IT University of Copenhagen.

Services). The consultant providing the technical assistance will be instructed and report to DFC.

BSU II is designed based on the Strategic Framework for Danish Support to Development Research.²²

The match-making process

It is an underlying assumption of the BSU II programme that the research-related capacity needs identified by the seven universities in the South can be effectively addressed through partnerships with universities in Denmark. The nature and content of the partnerships will be identified through a match-making process involving both sets of partners, under the leadership of the universities in the South.

The universities in the South will define their needs for capacity development in a series of individual BSU II project outlines (one per university) and forward these to the Danida Fellowship Centre (DFC). DFC will post the project outlines on its website and notify the Danish universities that participated in the first phase of the programme. The Danish universities will then respond to the different project outlines and, on the basis of these responses, the South universities will choose the partner that best matches their needs.

The Danish universities may submit responses as a single university or as a consortium of universities/institutions led by one single university – the aim being to ensure a best match based on the merits and relevance vis-à-vis the needs in the South.

Once the partners have been matched, they will jointly (under the leadership of the universities in the South) produce a detailed project description with clearly defined action plans and indicators (“development engagements”) for meeting the South universities’ capacity development needs (i.e. one development engagement per South university).

The match-making process is described in more detail in the BSU II Programme Document. The process will be managed by DFC and the final draft development engagements will be submitted by the South universities to DFC. The match-making phase is expected to run between January and April 2014.

Objective

The objective of the assignment is to (1) assist South universities with the finalisation of project outlines, (2) assist DFC with the development of criteria for assessment of responses from Danish universities (based on the outline of the criteria in the BSU II programme document), (3) assist DFC in the organisation of the match-making process, and (4) guide the universities in the South on the match-making based on the responses from the universities in the North.

²² Draft, September 2013

Scope

The consultant should provide assistance to the South universities with the finalisation of their project outlines and to DFC with the organisation of the match-making process.

The assignment includes but is not necessarily limited to the following tasks:

- Visit each of the seven universities in the South and assist with the finalisation of project outlines.
- Assist DFC with the development of criteria for assessment of responses from Danish universities (based on the outline of the criteria in the BSU II programme document).
- Assist DFC with the organisation of the call for expression of interests from Danish universities.
- The South universities are expected to take the lead in assessing the relevance and utility of the Danish university response(s) received. The consultant will assist DFC and the South universities in assessing the technical quality of the selection.
- Based on the project outlines and responses received, the consultant will provide DFC with recommendations regarding the development engagements that will be the outputs of the inception phase.
- The consultant will liaise with the Danish universities upon request (either from DFC or from the South universities).

Timeline and outputs

This activity will take place in the first four months of 2014 and the following outputs are expected:

- Travel to the seven universities (late January/early February 2014).
- Development of criteria for assessment of responses from Danish universities (January 2014).
- Assist DFC with the organisation of call for expressions (February 2014).
- A short written assessment of the realism and quality of each of the selections made by the South universities. The assessment will highlight any concerns/issues concerning the choices made and provide recommendations so that appropriate mitigating action can be taken (March 2014).
- Based on the above, recommendations will be provided regarding the next steps in the inception phase, in particular issues that require action by the partners in relation to the individual development engagements. Timing: to be decided in accordance with the overall process action plan for the inception phase (March 2014).

All reports must be written in English.

Team composition

The assignment will be undertaken by a single consultant with solid experience of supporting capacity development processes in developing countries and experience from facilitating partnerships. The consultant will be able to demonstrate:

- Thorough understanding of capacity development issues in relation to institutions in developing countries.
- Experience of capacity development related to research and the research environment would be a distinct advantage.
- Experience from facilitating partnerships between South- and North-based partners led by partners in the South.
- Excellent facilitation and communication skills.
- Solid experience with Result-Based Management processes.

Annex D: Terms of Reference for Monitoring Consultant

These Terms of Reference refer to technical assistance to the Danida Fellowship Centre (DFC) with baseline development and subsequent monitoring of the Building Stronger University (BSU) programme, Phase II.

Background

Universities in developing countries are key players for sustainable national development through their contribution to developing human capacity and their inputs on development and other issues. Research-based knowledge is necessary to address existing and emerging development challenges, to support innovation and new technological solutions, to produce new knowledge necessary for political decision-making, and in documenting the results of development processes. Research capacity is defined as “the ability of individuals, organisations and systems to undertake and disseminate high quality research effectively and efficiently”.

“Building Stronger Universities” (BSU) is a Danish-funded programme that applies an institutional approach to developing research capacity. The overall goal of the programme is: *Capacity of seven universities to undertake high-quality research enhanced through support to the research environment and research processes.* This is supported by two immediate objectives: (1) *Research policies, strategies, organisation and research processes improved,* and (2) *University-wide services and facilities to support research activities strengthened.* The first objective thus relates to enhancing the academic environment while the second objective seeks to improve the administrative and infrastructure conditions at university and faculty level necessary for undertaking high-quality research.

The universities in the South select partners among Danish universities which can provide support in the areas identified.

In light of the lessons learnt from the first phase of the programme (2011-2013), a second phase with a budget of DKK 100 million has designed to enhance the ownership of the universities in the South.

The programme partners are seven universities in the South and a number of Danish universities.²³ DFC plays a programme facilitating and administration role, while overall responsibility rests with the Ministry of Foreign Affairs in Copenhagen (Technical Advisory Services). The consultant providing the technical assistance will be instructed and report to DFC.

²³ The seven programme partners in the South are: the Kwame Nkrumah University of Science and Technology (KNUST) and University of Ghana (UG) in Ghana; Kathmandu University (KU) in Nepal; the Kilimanjaro Christian Medical University College (KCMC), the Sokoine University of Agriculture (SUA) and the State University of Zanzibar (SUZA) in Tanzania, and Gulu University (GU) in Uganda. With the exception of Kathmandu University, all these partners also participated in the first phase of the programme (2011-2013). The Danish universities will be selected from University of Copenhagen, Aarhus University, University of Southern Denmark, Roskilde University, Aalborg University, Technical University of Denmark, Copenhagen Business School and IT University of Copenhagen.

BSU II is designed based on the Strategic Framework for Danish Support to Development Research.²⁴

Monitoring

The overall monitoring and reporting of the BSU II programme will happen in accordance with DFC and Danida guidelines based on the indicators in the programme document and the individual development engagements from the universities in the South. However, to ensure a robust results-based monitoring framework, baselines and improved targets for each respective development engagements need to be developed. The baselines will be set during the inception phase with the assistance of an M&E consultant and will be managed by DFC. The subsequent monitoring of the results framework set out in the seven development engagements will be undertaken by the universities with the assistance of the M&E consultant.

The first step for developing the results-based framework is to facilitate a common understanding within each of the seven institutions in the South of the key dimensions of strengthening research capacity and the specific results to be expected from the agreed development engagements with the DFC and the Danish Universities.

Based on this dialogue, individual baselines will be developed with assistance of the consultant for all key outcome and output areas in order to facilitate subsequent monitoring. The baselines will support SMART indicators to be presented in the results framework with specific targets for each engagement. The result framework will be developed according to the new Danida Guidelines for Country Programmes²⁵.

Objective

The objective of the assignment is (i) to support the baseline development and monitoring of the BSU II programme by developing a results framework and a baseline for each institution in cooperation with the institutions concerned and with DFC in accordance with the respective project outlines developed in the inception phase, and (ii) to assist DFC (and the universities in the South) with monitoring of the implementation of BSU II.

Scope

The consultant will provide the following assistance to DFC:

- Facilitate the results-based dialogue with the seven institutions in the South based on the identified development engagements from the inception phase
- Organise baseline surveys for each institution in cooperation with South partners based on the project outlines and responses received presented in the respective development engagements.

²⁴ Draft, September 2013

²⁵ <http://amg.um.dk/en/technical-guidelines/guidelines-for-programmes-and-projects/guidelines-for-country-programmes/>

- Assist the development of a detailed results framework with a clear intervention logic for each institution by using indicators that are measurable (SMART) and based on a common understanding with each of the seven institutions on the specific results to be expected. The lead drafters for the results frameworks will be the respective South and North universities participating in each development engagement.
- The consultant will provide technical advice to the South universities upon request (either DFC or the universities themselves via DFC).
- The consultant will visit all the South universities.

Timeline and outputs

This activity will take place in the April-May 2014 and then at points throughout the programme implementation in accordance with the programme monitoring and reporting cycle. The following outputs are expected:

- A detailed action plan for the development of the result-based framework based on a short assessment of the outline of the seven development engagements (April).
- Facilitation and quality assurance of seven baselines for each institution based on their identified development engagements (May).
- Facilitation and quality assurance of the seven results-based frameworks based on the Danida Guidelines for Country Programmes with SMART indicators at outcome and output level including baselines and targets for each development engagement (May).
- Refinement and finalisation of the overall programme indicators included in the Programme Document, drawing from the universities' baselines (May).

All reporting will be undertaken in English.

Team composition

A single consultant with a solid knowledge of capacity development in developing countries and expertise in monitoring design will undertake the assignment. The consultant must demonstrate:

- Thorough understanding of capacity development issues in relation to institutions in developing countries.
- Experience of capacity development related to research and the research environment would be a distinct advantage.
- Solid experience with results-based management processes, results frameworks and baseline design.
- Excellent facilitation and communication skills.

Annex E: List of References

Strategies, policies, reports and papers:

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