

**Meeting in the Council for Development Policy on 11 May 2023**

Agenda Item No. 8

- 1. Overall purpose:** *For discussion and recommendation to the Minister*
- 2. Title:** Building Stronger Universities Programme Phase IV
- 3. Amount:** DKK 70 million (2023-2028)
- 4. Presentation for Programme Committee:** 24 May 2022
- 5. Previous Danish support presented to UPR:** No, this is the first presentation to UPR

# Building Stronger Universities Phase IV (2023-2028)

## Key results:

The programme aims to enhance the role of East African partner universities as providers of scientific knowledge as well as research-based education and advice to society and continues over ten years of support for "Building Stronger Universities" (BSU) in Africa. The results framework will be developed by the partners during the formulation process and will focus on three outcome areas:

- strengthening organisation and systems for researcher training and research processes;
- strengthening research outreach practices and networks;
- strengthening research-supporting services and facilities

Furthermore gender equity and cross-cutting issues will be taken into account.

## Justification for support:

The modality based on a south-led partnership between African and Danish universities with focus on PhD training and research supporting elements has been successful in improving the quality of education and research at the targeted universities. Achievements have been most significant at the smaller and younger universities such as Gulu University in Uganda, and the State University of Zanzibar (SUZA). In line with the strategy defined in "The World We Share" it has been decided to include a new partner university, the University of Hargeisa in Somaliland. BSU IV will continue to adopt a South-led partnership, but will focus more on South-South collaboration.

## Major risks and challenges:

- Risks concern effective partnerships and possible delays due to administrative procedures at the universities. This will be mitigated through the joint development of proposed projects for each partner university and in the medium to long-term strengthening of administrative systems.
- There is a risk that funds and human resources may not be optimally utilized and that tasks may be allocated to already overloaded staff. Particular attention will be paid to these issues during the joint formulation process.
- Regarding the expected south-south collaboration, there is a risk related to the engagement of other south universities (non-BSU leads), as the discussions with these are little advanced at this stage. To mitigate this risk, plans for collaboration with other universities will be concretized and a budget allocated during the inception period, as more concrete implementation plans are developed. The mid-term review will follow up on this aspect of the South-South-collaboration in BSU and beyond.

File No.	2022-5386						
Country	Uganda, Tanzania and Somalia						
Responsible Unit	ELK						
Sector	Research/scientific institutions (43082)						
DKK million	2023	2024	2025	2026	2027	2028	Total
Commitment	40	30					70
Projected Disbursement	4.99	12.9	14.3	14.1	14.1	9.61	70
Duration	2023-2028						
Finance Act code.	06.38.02.19 forskningsamarbejde						
Head of unit	Tove Degnbol						
Desk officer	Cecilia Gregersen						
Reviewed by CFO	Gitte Bruus						

## Relevant SDGs

 No Poverty	 No Hunger	 Good Health, Wellbeing	 Quality Education	 Gender Equality	 Clean Water, Sanitation
 Affordable Clean Energy	 Decent Jobs, Econ. Growth	 Industry, Innovation, Infrastructure	 Reduced Inequalities	 Sustainable Cities, Communities	 Responsible Consumption & Production
 Climate Action	 Life below Water	 Life on Land	 Peace & Justice, strong Inst.	 Partnerships for Goals	

## Objectives for stand-alone programme:

To contribute to 1) improved quality of research-based tertiary education within selected thematic areas leading to high-quality graduates who will contribute to society through relevant employment; 2) more and better quality research from the three African universities which contributes to knowledge of particular relevance to sustainable development nationally, in Africa and globally; and 3) increased use of results from applied research by both public and private stakeholders in the three countries.

## Environment and climate targeting - Principal objective (100%); Significant objective (50%)

	Climate adaptation	Climate mitigation	Biodiversity	Other green/environment
Indicate 0, 50% or 100%	0	0	0	0
Total green budget (DKK)	0	0	0	0

Partnership 1 (engagement as defined in FMI):	Partner	Total thematic budget: [million]
Engagement 1 - the development project	Gulu University	20

Partnership 2 (engagement as defined in FMI):	Partner	Total thematic budget: [mill.]
Engagement 1 - the development project	State University of Zanzibar	20

Partnership 3 (engagement as defined in FMI):	Partner	Total thematic budget: [mill.]
Engagement 1 - the development project	University of Hargeisa	20
	DfC administration	4
	Inception, annual meetings	2
	Midterm review	1
	Unallocated funds	3
	Total	70

**Building Stronger Universities,  
Phase IV 2023-2028**

**Programme Document**

**April 2023**

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## Abbreviations

BSU	Building Stronger Universities
COSTECH	Commission for Science and Technology (Tanzania)
DFC	Danida Fellowship Centre
FFU	The Consultative Research Committee for Development Research
FRRAT	Fragility Risk and Resilience Analysis Tool
GDP	Gross Domestic Product
GGI	Gender Gap Index
GOVSEA	Governing Economic Hubs and Flows in Somalia East Africa project
GU	Gulu University
HRBA	Human Rights Based Approach
ICT	Information and Communication Technologies
IDP	Internally Displaced Persons
MFA	The Ministry of Foreign Affairs (Denmark)
MoSTI	Ministry of Science, Technology and Innovation (Uganda)
MoU	Memorandum of Understanding
MPI	Multidimensional Poverty Index
NCHE	National Commission for Higher Education (Somaliland)
NDP	National Development Plan
PACCS	Pastoralist Climate Change Resilience in Somaliland project
PANT	Participation, Accountability, Non-discrimination and Transparency
SDG	Sustainable Development Goals
STEI	Science, Technology, Engineering and Innovation
STI	Science, Technology and Innovation
SUZA	State University of Zanzibar
TCU	Tanzania Commission for Universities
UNCST	Uganda National Council for Science and Technology
UoH	University of Hargeisa
URT	United Republic of Tanzania
RGoZ	Revolutionary Government of Zanzibar

## 1 INTRODUCTION

This document presents the fourth phase of the Danish support to the development of the institutional research capacity of selected universities in priority countries – the Building Stronger Universities in developing countries programme (BSU IV). The programme provides DKK 70 million over the period May 2023 – April 2028. Phase IV focuses on East Africa and includes three universities; one in Uganda (Gulu University – GU), one in Somalia (University of Hargeisa – UoH) and one in Tanzania (State University of Zanzibar – SUZA).

The model with South-led partnerships between African and Danish universities has been a success in the previous BSU phases. Furthermore, BSU has shown the most significant effects in smaller and younger universities. The programme has involved both academic and administrative staff in strengthening research capacity, including the research supporting systems, and demonstrated the value of the continued efforts needed to change cultures and systems, and the value of exchange between the South universities.

BSU IV will enhance additionality of the support through focus on three smaller and young universities. For GU and SUZA which participated in the previous phases, many activities will be continued to consolidate the achievements made, but some new aspects will also be included. UoH is a new partner. BSU IV will continue to adopt a South-led partnership, but with even more focus on South-South collaboration. The three universities plan on partnering with each other to a larger extent than in the previous phase and will also partner with other universities in the region, some of which have taken part in previous BSU phases. Furthermore, BSU IV provides more focus on engagement with communities and other stakeholders both in the form of systematizing outreach and dissemination for sharing research, but also through strengthening skills in implementation research using co-creation and participatory methods. Efforts will be made to further enhance the synergies with research projects funded through the Consultative Research Committee for Development Research (FFU) modality.

BSU IV will address the needs and priorities identified by the three South universities through partnership with Danish universities. The research capacity strengthening will be anchored in thematic areas identified by the three South universities: marine and coastal ecosystems (SUZA), environmental public health (SUZA), public health (UoH), transforming education (GU), rights resources and gender (GU) as well as public policy and governance (UoH). Hence, BSU IV will contribute to SDG 1 (End poverty), SDG 3 (Good health and well-being), SDG 4 (Quality education), SDG 5 (Gender equality), SDG 10 (Reduced inequalities), SDG 14 (Life below water) and SDG 16 (Peace, justice and strong institutions).

The implementation will be led by the South universities. During an Inception phase of 3-6 months, the partnerships will meet and work closely to develop an implementation plan and monitoring framework.

## 2 PROGRAMME JUSTIFICATION: CONTEXT, STRATEGIC CONSIDERATIONS, RATIONALE AND JUSTIFICATION

Denmark's development cooperation strategy *The World We Share* (2021) focuses on the promotion of democracy and human rights (of girls and women in particular); on the struggles against poverty and inequality (including conflicts, irregular migration and fragility); and on the need to tackle the causes and consequences of global warming in the context of improved environmental management and greater protection of biodiversity. The strategy will be pursued through enhanced partnerships, including with research institutions.

Globally, higher education and research has grown significantly in the last 20 years, yet the gross enrolment rate of young people in tertiary education is still low in sub-Saharan Africa (9%). Empirical evidence suggests that higher education and research can have significant effects on development and poverty reduction, mainly through four pathways: economic growth, human capital, pro-poor products and services and as evidence to inform policies and practices<sup>1</sup>. However, the extent to which research-based knowledge guides development policies and interventions ultimately depends on the will and ability of decision makers to absorb and use it.

## **2.1 Overview of Danish support to research and research capacity strengthening**

Denmark has supported development research for more than 40 years through various modalities. Most funds have been provided as competitive grants for research collaboration (“FFU-grants”) covering areas such as health, agriculture, natural resources, climate change and governance. In the last four years, the funding envelope for development research in the form of FFU grants has been around 200 million DKK per year. At the end of 2022, there were a little over 100 on-going FFU projects in 20 countries. Within East Africa, the portfolio includes 22 projects in Tanzania, 14 in Kenya, 9 in Uganda and 2 in Somalia.

The initiative *Building Stronger Universities (BSU) in developing countries*, led by Danish universities, was launched in 2011 with the aim of institutional capacity building. In 2014, the second phase of the BSU programme adopted a “South driven” approach, where selected Southern partner universities, designated as partnership leads entered into collaboration agreements with selected Danish universities for implementation of a programme based on their needs. In 2017, the Danish Ministry of Foreign Affairs (MFA) approved 90 million DKK for the third phase (BSU III, 2017-2021) aimed at strengthening research capacity development in a total of six African universities in Ghana, Tanzania and Uganda<sup>2</sup> in partnerships with Danish university consortia<sup>3</sup>. Due to delays caused by the Covid-19 pandemic, the programme has been extended to the end of 2023. Furthermore, at the end of 2021, collaboration between selected African and Danish universities through the BSU programme was expanded with 16 million DKK in additional grants for Covid-19 related research and training.

## **2.2 Lessons learnt from BSU I-III**

The BSU programme aims to develop research capacities by strengthening the research environment both through focus on PhD schools and curriculum development (Master and PhD level) and training, and through funding of research supporting elements such as library facilities, laboratories, information and communication technologies (ICT), policies and guidelines, administrative procedures and the financial management of research projects.

The results of the BSU programmes were highly rated by the independent evaluation of the Danish support to development research in 2020 as well as by a mid-term review of BSU III undertaken by the Ministry of Foreign Affairs (MFA) and the Danida Fellowship Centre (DFC) in 2021. Key achievements noted include improved capacity and quality of teaching and supervision due to

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<sup>1</sup> Oketch M, McCowan T, Schendel R (2014). The Impact of Tertiary Education on Development: A Rigorous Literature Review. Department of International Development.

<sup>2</sup> BSU III partners were: University of Ghana (Ghana), Kwame Nkrumah University of Science and Technology (Ghana), Gulu University (Uganda), Kilimanjaro Christian Medical University College (Tanzania), Sokoine University of Agriculture (Tanzania) and State University of Zanzibar (Tanzania).

<sup>3</sup> The participating Danish universities included in various constellations Aalborg University, Aarhus University, Roskilde University, Technical University of Denmark, University of Copenhagen and University of Southern Denmark.

upgrading of staff, curriculum development and course accreditation at both Masters and PhD level, as well as strengthening of the university administrative structure, e.g. research policies, grant management offices and policies, financial management systems as well as software to detect plagiarism. The achievements have been most significant at the smaller and younger universities such as GU, and the SUZA. Apart from delays due to Covid-19, most delays relate to delays in PhD studies caused by a variety of factors such as bureaucratic processes for approval of proposal and examination as well as challenges in getting sufficient protected time for studies.

The key lessons learnt include:

- The South-driven approach and the long-term commitment has fostered strong project ownership and commitment from senior management at partner universities.
- The involvement of administrative systems and staff in the development process has improved the internal procedures in ways that are also relevant to researchers.
- The mentorship set up with Danish partners has been perceived as very valuable and the collaboration has functioned as a catalyst for joint research collaboration.
- Danish partners are willing to engage in BSU activities. It is, however, challenging for Danish partners to engage further in capacity development activities without a strong research component. Inclusion of pilot research projects and research network activities have worked out successfully and should be continued and even strengthened.
- Triangular (South-South-North) collaboration as well as collaboration across South partner universities have enhanced knowledge sharing and been enlightening and inspiring, where it has been implemented.
- Development of the educational programmes has, importantly, benefitted from ample time to develop the programmes jointly through exchange visits and discussions.
- Opportunities for synergies with FFU projects have not been fully utilised. In the long run, FFU projects (and other externally-funded projects) will benefit from better administrative systems and better qualified South partners. Research-based learning may, on the other hand, benefit from FFU projects. This could be improved.
- Better coordination with other donors calls for a flexible design, which allows adaptation to available input from other donors in order for South partners to maximize the combined outcome of the resources available. Thus, the coordination is left to the BSU partnership.
- Gender-sensitive targets have increased awareness and helped improve the gender balance. However, consolidated reporting across partnerships has been a challenge. This needs to be improved.
- The practice of long no cost extension in previous phases, including for BSU III to the end of 2023, has resulted in overlap in the implementation of BSU III and IV and extra administrative burden. There is a need to focus on financial closure of previous phases and particular attention to the overlap in activities of phase III and IV in the two continuing collaborations.

### **2.3 Choice of implementing partners and aid modality**

The modality based on a South-led partnership between African and Danish universities with focus on PhD training and research supporting elements has been successful and will be continued. As Ghana has been phased out as a country with extended development cooperation, it has been agreed to focus further research capacity development collaboration between Danish and African universities on East African partnerships.



The BSU III support has been most successful in the smaller and younger universities, where the Danish support has been relatively larger compared to existing human and financial resources, where there is a keen interest among management and staff to develop their university and perform, and where systems may be less embedded and more open to change. For example, in Gulu University 5 out of 13 new PhDs in the period from 2010-2018 were supported under BSU<sup>4</sup>. By focusing on younger and smaller universities in BSU IV, the additionality and relevance of the BSU programme will be enhanced.

Strengthened capacities for research at smaller and younger universities in fragile settings and regions are important for overall economic growth, natural resource management, improved governance and peace. Thus, in the design of a new programme for research capacity development and collaboration in East Africa, it has been decided to build on the existing collaboration with GU and SUZA and to include UoH as a new partner university in Somaliland. UoH is comparable in size and age to GU and SUZA, keen to develop its research capacity and has possibilities for synergies with FFU project.

Based on the experience of the South-South collaboration being particularly rewarding through sharing of knowledge and experiences from similar contexts and situations, BSU IV intends to increase the South-South collaboration. BSU IV also intends to reap benefits from synergies with FFU funded projects to a larger extent. For research to translate into change and be scaled up, outreach and dissemination to key stakeholders is key, and capacity strengthening in this aspect will receive increased focus in BSU IV.

***Partnering process:*** Research capacity strengthening will evolve around a few research themes per South university, but the strengthening of administrative systems and organisations will benefit the university widely. BSU operates according to the principle that the Southern partner universities (GU, SUZA, UoH) should be the main driving force and play the main role in defining the direction of the programme. As a first step, the three universities have defined their individual needs for capacity development and selected thematic focus areas and presented these in university concept notes. The thematic areas covered by the three universities include: i) Transforming Education & Rights, Resources and Gender (GU); ii) Public Policy and Governance & Public Health (UoH); and iii) Environmental Public Health & Marine Eco-system Health and Services (SUZA). Danish universities and research institutions were invited to express interest in partnering with the three universities by responding to the concept notes. Each South university subsequently selected partners consisting of consortia of Danish universities. With the African university as lead, each partnership has then jointly produced a partnership proposal for addressing the capacity development needs of the South partner university.

## **2.4 University context**

***Gulu University*** was established in 2003 in the time of the Lord's Resistance Army war in northern Uganda. The university was relatively small and underfunded. The University has participated in all three phases of the BSU programme. The themes for research capacity building in BSU III were 1) Transforming education and 2) Rights, resources and gender in post-war development.

In 2017, at the inception of BSU III, there were only 24 PhD holders out of the 240 academic staff members. Over the past five years, academic staff has increased to 254, of which 81 are PhD

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<sup>4</sup> Ministry of Foreign Affairs: Evaluation of Danida support for development research, 2008-18. Uganda Country Case Study Report. March 2020.

holders. This has been possible with support of BSU and other projects (e.g. Makerere-Sida project and Master Card Foundation). The staff attrition rate is very low because most of the staff members are young and keen to grow academically in GU.

In 2017, the PhD and Masters programmes were in their infancy. With BSU III support, four PhD programmes and six Masters programmes in the Faculties of Education Humanities, and of Business and Development Studies have been developed and accredited. The overall research infrastructure, especially the IT system was weak, but the internet bandwidth was recently upscaled. As part of BSU III, a Center of Excellence for Information and Communication Technologies (ICT) and Learning to strengthen research capacity was established. GU has continued a partnership with Maseno University, Kenya, (participant in BSU I) regarding the development of an e-learning platform.

Despite progress, some needs persist and other arise. Graduate programmes, still in the infancy stage, are registering increasing numbers of students. Yet, the majority of academic staff are Masters degree-holders and teaching assistants who need PhD training to develop their research competencies. In particular, collaborative inter-disciplinary approaches in teaching and research requires a strong research competence. In addition, the early career researchers need to develop their research capacity and skills further through a post-doctoral programme to become independent researchers/supervisors that can train new graduates and eventually attract research funds.

The pilot collaborative research for strengthening community and public engagement implemented in BSU III provides a hands-on and practical experience for the researchers being trained at Masters and PhD levels and research supervision and community outreach opportunity for the staff. Nevertheless, communication of research beyond academia to consolidate uptake among the beneficiaries/the community who are the end users of the research products needs to be strengthened and systematized.

There is need for the development of soft skills to address gaps in transforming the teaching and learning from the traditional teacher centered approach to the student centered pedagogical approach. There is a dire need to strengthen e-learning and ICT, and further the uptake of problem and project-based learning in the face of the 'New Normal' brought by the Covid-19 pandemic. There is a gap in the provision of ICT infrastructure elements such as library resources, learning management system (Moodle) and e-learning. The Grants Management Desk established in BSU III still needs capacity strengthening in terms of tools and training of staff to be able to effectively support researchers in grants application, management and training processes.

Researchers at GU presently participate in two FFU projects<sup>5</sup>, one which is at the end of the project period and one which is about to start. Both projects are within the thematic area of state building. The research capacity development programme and strengthening of higher education are well aligned with Uganda's research policy as set out in several Government of Uganda strategic documents, e.g. Vision 2040 and the National Science, Technology and Innovation Plan. The focus on Northern Uganda is well aligned with the Danish country strategy for Uganda, which includes initiatives in Northern Uganda focusing on inclusive economic growth and reconciliation.

**The State University of Zanzibar** was established in 1999. The School of Natural and Social Sciences was established in 2009, and the School of Health and Medical Sciences in 2013. The total

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<sup>5</sup> i) Unlocking the Potential of Green Charcoal in Northern Uganda (UPCHAIN); ii) Imagining Gender Futures in Uganda – IMAGENU.

number of students has been rapidly increasing and now exceeds 6000. A minority of the 316 academic staff are PhD holders. SUZA has participated in BSU I-III. Throughout, SUZA has maintained a thematic focus on environmental health and environmental science, more specifically on environmental public health and marine and coastal ecosystems health and services.

The BSU partnership has provided the foundation for establishing sustainable research and educational infrastructure as for example the insectarium and associated molecular laboratory at the School of Medical and Health Sciences, and has contributed to an increasing number of faculty with a PhD who carry out research and postgraduate teaching. The BSU programme has established support systems and strengthened the research capacity at SUZA for designing, implementing, and reporting baseline studies within the thematic areas. Strengthening of Master education has been an integral part of the previous phases, including, for example, the development of e-learning modules. The BSU supported PhD studies within environmental public health and marine and coastal ecosystems health and services have contributed to SUZA meeting the standards set by Tanzania Commission for Universities (TCU) for establishing new research-based Masters programmes.

However, as a young institution, the research capacity at SUZA remains relatively limited in terms of general human resources as well as research facilities. At the same time, the expansion of the university has led to employment of new staff members with limited research experience. One of several strategies to address this gap is the introduction of postgraduate programmes, but this also requires capacity strengthening. Hence, there is a need to enhance the departmental capacity to provide research-based education by increasing the number of PhD holders in key areas. E.g., with the recent national demand for impact-oriented research to address the developmental needs of Zanzibar (Zanzibar Development Vision 2050), there is a need to expand the research capacity to include intervention studies using co-creation and other participatory methods. In addition, skills in management of larger research projects, grant applications, outreach and dissemination of research findings to a variety of audiences are still limited and needs to be strengthened to increase effectiveness and uptake of research.

Research management systems still needs improvement, especially when it comes to research regulatory instruments and management of data and online systems for students' thesis management. Further, following the Covid-19 pandemic and to abide by the new TCU guidelines for online and blended courses in Universities in Tanzania and the need for expanding access to online courses at SUZA, there is a need for strengthening capacity as well as knowledge on online, blended learning.

Researchers at SUZA are presently partners in six on-going FFU-funded research projects<sup>6</sup>, one of which is South-led by the Kilimanjaro Christian Medical University College in Tanzania. A few projects include partnerships with research institutions in mainland Tanzania.<sup>7</sup> SUZA is part of the Department for International Development<sup>8</sup>-funded Partnership for Enhanced and Blended Learning, which also includes Makerere University, Kenyatta University, and three more universities. The research capacity development and strengthening of higher education continues

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<sup>6</sup> i) "Himili Pamoja" – Gendered Encounters in Climate Change Adaptation in Tanzania; ii) Building resilience to climate-sensitive mosquito-borne viral diseases: preventing hospital-acquired infections and their epidemic spread through integrated mosquito control and sentinel surveillance in Zanzibar hospitals; iii) Decentralised sequencing for infectious disease surveillance; iv) Predicting the next epidemic: DHIS2-based risk modelling; v) Enabling best possible childbirth care in Tanzania – The PartoMa Project; vi) Environmental sustainability of hotels on Zanzibar.

<sup>7</sup> National Institute of Medical Research, University of Dar es Salaam, Aga Khan University.

<sup>8</sup> Now the Foreign, Commonwealth & Development Office.

to be aligned with the Zanzibar Development Vision 2050, Zanzibar Education Development Plan II (2017/18-21/22), Zanzibar Blue Economy Policy 2020 and the broad Zanzibar Research Agenda 2015-20.

*The University of Hargeisa* is new to the BSU programme. The university leadership has considerable interest in engagement for strengthening research capacity. The Danish engagement in Somalia aims to support the development of a stable, peaceful and resilient country undergoing inclusive economic growth. It also has a strong focus on Somaliland, where Hargeisa is the capital. Somaliland is widely regarded as more stable than other parts of Somalia. One of Denmark's strategic objectives is to contribute to Somalia's achievement of the SDGs, through promoting stability, security, state building and strengthening respect for human rights. Concrete results in the past have been support to establishment of local authorities with ability to collect taxes and deliver basic services. In addition, the present strategy includes strong engagement with local authorities on service provision to create tangible results for the population and local level ownership.

The higher education system in Somaliland includes four public universities (and 20+ private), of which UoH – established in 1999 – is presently the largest (8000 students). Most students are enrolled in bachelor programmes. UoH offers only seven Masters programmes and no PhD programme. The universities are challenged by a shortage of academic staff with a doctoral degree, research skills, and publication experience. The Educational Sector Analysis (2016) showed that less than 2% of permanent staff at UoH had a PhD and 5% had a Masters degree. As reflected in the Educational Sector Strategic Plan (2017-2021), there is increasing awareness in Somaliland of the importance of improved local research capacity for the development of knowledge-based local policies, and for increasing the number of Somali academics gaining research training and experience.

The above documents identify a number of challenges, which are recognized in the first UoH Strategic Plan (2019-2024). Based on a strengths, weaknesses, opportunities and threats (SWOT) analysis which identified management, research capacity (due to shortage of PhD level training), networking and dissemination as the biggest obstacles towards a research-based university, the strategic plan is structured around three key pillars: teaching, research, and community outreach. The latter two pillars are new and reflect the desire to move towards a full-fledged research-based university. A first step towards this has been the establishment of the Directorate for Research and Community Services.

UoH prioritizes upgrading academic staff to PhD level by giving merit-based scholarships and short-term training in research. PhD students uphold their salary while studying, against a commitment to remain at UoH for a number of years following completion. At the beginning of 2022, 6% of academic staff has a PhD degree and another 5% were pursuing one. To stimulate a research culture and research production, the University uses 2% of its income on research and community service. UoH offers a small competitive research grants scheme for applied research (the only such scheme for academic staff in Somaliland). This has resulted in some increase in research output, but progress is very slow.

The UoH strategic plan identifies eight key areas of need for developing research capacity: 1) Developing research leadership and research project management capacity: through training in strategy development, grant management, financial management, and resource mobilization; 2) Research-focused training: increasing the number of PhD holders by giving merit-based scholarships and short-term training in research; 3) Enhancement of research dissemination,

knowledge transfer, and research applicability; 4) Enabling collaborative research culture through the creation of research groups; 5) Creating a research-supportive environment for academic staff and postgraduate students by providing access to research journals, reference material, and platforms to share their research; 6) Continuity of research activity, especially research funding: competitive small research grant scheme; 7) Develop Institutional support services for research, including laboratories, IT infrastructure, and relevant software; and 8) Development of postgraduate programmes to support both current research and future PhD. programme development. The strategic plan, however, needs operationalization.

The recently concluded (in 2020) FFU research project Governing Economic Hubs and Flows in Somalia East Africa project (GOVSEA)<sup>9</sup> has, in addition to original research, contributed to capacity building at both individual and partner university level, e.g. to the establishment of the Research and Community Service Directorate. Similarly, the recently awarded FFU project entitled Pastoralist Climate Change Resilience in Somaliland (PACCS)<sup>10</sup> in addition to the generation of new knowledge, attempts to strengthen research capacities, institutional collaboration and South-South as well as North-South collaboration in its field of research and translation of insights into policy recommendations to address climate change. Both of these two projects are led by a Danish university<sup>11</sup>, with implementation by a consortium, including UoH, University of Nairobi and others.

***Outreach and use of research findings:*** The importance of research as a potential driver and strategic approach for development of the economy is to varying extent recognized across the state and national governments in Uganda, Somaliland, and Zanzibar. However, while research is highly emphasized in plans, the demand for evidence from the government and private sector is still limited. In general, knowledge exchange activities are limited and often undertaken by few research organisations undertaking research requested and paid for by donor agencies with accountability towards them. The links to civil society remains under-developed. However, in BSU III, engagement with local decision-makers and stakeholders in the communities has taken place at GU and SUZA and provides a platform for further emphasizing and institutionalizing such activities.

UoH has also increasingly engaged in community-level activities, and lecturers are sometimes called on to assist the government in the form of consultancy work, which works as an indirect transfer of knowledge. However, it remains a challenge that there is a limited culture of using evidence in decision-making and policy formulation, which may partly relate to capacity gaps in all sectors, including among politicians and decision-makers, and partly due to existing research outputs being mainly project driven by the funding agencies and, therefore, may be considered less relevant and lack local ownership. BSU IV will emphasize outreach and dissemination of research through engagement with relevant stakeholders. However, due to the different contexts, the emphasis and nature of engagements and expectations regarding effect will vary between partnerships.

***Regional collaboration:*** A lesson from BSU III is that South-South collaboration is important and could be more sustainable. BSU IV will seek to establish a more formal collaboration with reputable national or regional universities. A formalized partnership with a reputable national or regional university that is in a position to share its knowledge and can take on the important role

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<sup>9</sup> Governing economic hubs and flows in Somali East Africa (GOVSEA).

<sup>10</sup> Pastoralist Climate Change Resilience in Somaliland (PACCS).

<sup>11</sup> Roskilde University (PACCS) and Danish Institute for International Studies (GOVSEA).

of contributing to training, guidance and assistance to build the institutional research capacity is expected to foster long-term mutually beneficial relations continuing beyond the BSU programme.

Through partnerships in the FFU projects and the previous BSU phases, there is already some level of collaboration with regional universities, most notably in Kenya. Both University of Nairobi and Maseno University, which are ranked first and third best in Kenya, respectively<sup>12</sup>, have been identified by the BSU South Universities as potential partners. South-South collaboration could also include intra-country collaboration, for example both SUZA and UoH plan to collaborate with Kilimanjaro Christian Medical University College (participant in BSU I-III). During the inception phase, it will be determined where such South-South collaboration is most relevant and how it can be formalized.

## **2.5 Poverty orientation and target group considerations; leave no one behind, human rights-based approach, climate change and environment**

Multi-dimensional poverty is rampant in all three countries/regions, especially in Somalia (85%; probably somewhat less in Somaliland) and Northern Uganda (70%), but less in Zanzibar (28-37%), cf. Annex 1. More than a third of the population in the three countries live in extreme poverty, with the highest share (41%) in Somalia. Large inequalities exist, e.g. in income, access to health and education, and income-generating opportunities. The Covid-19 pandemic has exacerbated inequalities and vulnerability to poverty (Annex 1).

Persistent gender inequality constrains women's lives and productivity in all three countries, cf. Annex 1. However, the gender gap is considerably larger in Somaliland. The gender gap is also significant in tertiary education, although slightly smaller perhaps reflecting slightly different norms of families who choose to send their children to university. In Zanzibar, the gender gap among students enrolled in higher education is now reversed with women in majority. However, only about half of graduated women end up in paid work, and there is still a gender imbalance among senior academic staff. In 2019, only 28% of Ugandan researchers were women. At UoH female academic staff are also few.

All three locations are exposed to climate change and environmental degradation with negative impacts on development and increased vulnerability of a population that is to a large extent dependent on climate-sensitive sectors such as agriculture, fishery and tourism, cf. Annex 1. This affects the livelihoods of the poor disproportionately as they are still predominantly engaged in sectors such as agriculture and fishery. Climate change also increases health risks such as vector-borne diseases (e.g. malaria, dengue), water borne diseases, and increased malnutrition due to reduced agricultural production, which especially affects the most poor and vulnerable population.

Research capacity strengthening does not directly affect poverty but is expected to improve the availability of quality research and higher education and indirectly contribute to poverty reduction through economic development and evidence-based policymaking. The choice of universities in Northern Uganda and Somaliland, where poverty levels are high, mean that target beneficiary groups will include poor and vulnerable people, as research will be undertaken in local communities. For example, the UoH partnership plan to use pilot research on quality of maternal health services and improved ante-natal care utilization to empower families on birth preparedness, to build research capacity focusing on implementation of context-specific outreach and community-based programmes. The outcomes of the research element in the research training may contribute new knowledge regarding aspects of poverty and inequality, mechanisms that drive

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<sup>12</sup> [Africa | Ranking Web of Universities: Webometrics ranks 30000 institutions](#)

them and possible solutions. Focus on sharing of research results will increase the likelihood that such results will translate into action and will be scaled up.

The design of the programme has taken into account the Participation, Accountability, Non-discrimination and Transparency (PANT) principles. In order to increase ownership, accountability and sustainability BSU IV adopts a South-driven approach. This means that the South universities have selected thematic focus areas in which the institutional research capacity strengthening will be anchored. This is in line with national and university needs and priorities as well as with Danish priorities. The thematic areas cover marine and coastal ecosystems, environmental public health, public health, transforming education, rights resources and gender as well as public policy and governance.

The thematic focus areas reflect the context in which the universities are located. For example, GU will work within the thematic area 'Rights, Resources and Gender in Post-war Development', with one proposed topic being 'Post-conflict Policies and Practices: Hosts and Refugees, Transitional Justice'; and UoH will address gaps in access to mother and child health services. All three universities have selected thematic areas that contain aspects of environmental management or climate change. The focus areas of SUZA are 'Environmental Health and Marine Eco-systems'. GU under the thematic umbrella 'Transforming Education' will have one focus on 'Sustainable Development and Climate Change Mitigation: Innovation, education and community engagement'. University of Hargeisa under the 'Public Policy and Governance' thematic area intends to obtain data and knowledge on interrelated economic and social consequences of climate change and adaptation, including policies and governance issues.

Principles of voice and participation are applied in the collaborative pilot projects and the increased focus on strengthening capacity in implementation research using co-creation of interventions with communities. Likewise, participation, transparency and accountability in regard of research undertaken in communities will be strengthened through focus on engagement of communities in sharing of research findings. For example, GU as a platform for further university research and teaching, dissemination and policy development will contribute to a documentation center for hosts and refugees which is a collaboration between Adjumani District Local Government, Adjumani Elders Forum and Cross-Cultural Foundation of Uganda.

By strengthening public universities, access to higher education of good quality will be improved, as these are typically free or have very low user fees compared to for example private universities, which may contribute to reduced inequality in access to and quality of tertiary and research education. In some cases, e.g. UoH, it is not possible to receive PhD training (or even Masters in many areas) in-country. Going abroad for PhD studies may be a barrier for women in view of the role and status of women. BSU IV will contribute to development of in-country programmes which are expected to reduce gender inequality to research training. Focus on e-learning activities will also contribute directly to increased access to research education, and to education in general through systems strengthening.

Within the programme, BSU IV will address equal access to research education through open and transparent selection procedures at the individual level and at systems level through development of policies, and of an open research environment and culture. All partner universities have gender strategies, and plans to promote and monitor gender balance. No negative environmental effects are anticipated.

### 3 THE BSU IV PROGRAMME

#### 3.1 Overall programme objectives

The programme aims to enhance the role of East African universities as providers of scientific knowledge as well as research-based education and advice to society. It involves capacity building of the three East-African universities through partnerships with Danish as well as leading national or regional universities.

The strategic objectives are to contribute to 1) improved quality of research-based tertiary education within selected thematic areas leading to high-quality graduates who will contribute to society through relevant employment; 2) more and better quality research from the three African universities which contributes to knowledge of particular relevance to sustainable development nationally, in Africa and globally; and 3) increased use of results from applied research by both public and private stakeholders in the three countries.

The intended programme outcomes for BSU IV are:

- 1) South universities have stronger and more sustainable organisation and systems for research training and research processes which contributes to effective research-based learning, timely graduation of an increasing number of post-graduate students and research production within the thematic areas;
- 2) South universities have stronger and systematic research outreach and dissemination practices and networks which contributes to increased relevance and use of research
- 3) South universities have stronger and well-functioning research and teaching support in the form of stronger and more effective administrative frameworks, grant management and e-learning support

#### 3.2 Theory of Change and key assumptions

The overall objective of the support to development research is to contribute to the achievement of the SDGs, through anticipated outcomes in the form of a) more and higher-quality research, b) strengthened capacity to undertake research and c) enhanced dissemination and use of new knowledge.

The Theory of Change can be summarized as follows: **IF** research training capacity is strengthened and **IF** the research environment including supporting administrative systems and organisation is improved and **IF** there are effective knowledge management systems in place to encourage uptake of results, **THEN** this will lead to higher quality and more relevant research, to a better qualified workforce through improved higher education, to improved products and services and to evidence-based policy-making, which will eventually contribute to the SDGs. At a lower level, **if** the qualifications of existing academic staff are strengthened through research-based Master and PhD training, and **if** relevant Master programmes are strengthened/developed to increase the recruitment base for PhD programmes, **then** research training capacity at the universities will increase. Also, **if** the quantity and quality of university outreach and dissemination is strengthened and **if** linkages to users of research in communities, private and public sector is strengthened, **then** more effective knowledge management systems providing relevant research communication and dissemination will encourage research uptake.

Key assumptions include that there:



- is commitment and high-quality leadership in the partner institutions and that research capacity strengthening is included in university development plans;
- are effective systems to ensure accountability in competitive research funding;
- are well-functioning institutional arrangements for programme management;
- is a balance between the teaching and research mission of the university, which is reflected in the workload of academic staff involved in the programme implementation;
- is sufficient interest from potential students to take up the opportunities provided for post-graduate training;
- is interest among potential users of research outputs in target sectors.

It is further assumed that research and outreach capacity is most effectively developed when activities are focused within few thematic areas and include some research elements. Although BSU is not a research programme, research capacity strengthening requires an element of research because research training cannot be meaningfully delivered without hands-on research training. Furthermore, this enables participation in international research networks, which are important assets for research capacity because these are sources of up to date knowledge on, e.g., research methodologies, and of partners for collaboration and joint funding applications, which will help sustain and further strengthen the institutional research capacity. Finally, the research element is required, because faculty in both South and North universities need to get merit through publications and research grants in order to be promoted and are less likely to prioritize full engagement in BSU programme activities, if there is no such research element.

The thematic focus of activities is assumed to be most effective, because collaborative pilot and thesis research work as well as PhD programme development within a thematic area will demand joint efforts involving students (PhD/Masters), junior researchers (postdocs) and senior researchers from both South and North with similar interests, which will help foster active thematic research groups. Furthermore, because they involve researchers at various levels of seniority and with varying experience, collaborative pilot research projects will contribute to the strengthening of an institutional culture of good research practice with active thematic research teams as the foundation. In this way, BSU capacity strengthening both involves strengthening of individuals and strengthening the university systems.

### **3.3 Summaries of the three partnership proposals**

The following is a brief summary of the partnership proposals prepared jointly by the partners under the leadership of the South University. During the inception phase the partnerships will meet physically and prepare revised partnership documents and implementation plans.

#### **3.3.1 Gulu University**

Gulu University and a consortium of Danish universities, including Aalborg University (lead), University of Copenhagen and Roskilde University, propose a partnership that will build on and extend earlier collaboration in BSU I-III as well as on related Danish-funded research projects anchored at GU.

In BSU IV, outputs will be delivered in three areas: 1) Research and training of individuals within two overall themes ‘Transforming Education’; and ‘Rights, Resources and Gender’; 2) University research and outreach practices and networks; and 3) University research organisation and research administration frameworks.

Within the overall thematic areas, the partners will concentrate work in four topical areas: 1) 'Lifelong Education and New ways of learning: Problem-based learning, hybrid and eLearning'; 2) 'Sustainable Development and Climate Change Mitigation: Innovation, education and community engagement'; 3) 'Post-conflict Policies and Practices: Hosts and Refugees, Transitional Justice'; and 4) 'Health and Technologies: Health Rights and Changing Gender Relationships'.

The university research organisation and administration frameworks will be strengthened to address remaining gaps identified, cf. section 2.4, This will be done through consolidation of the implementation of university policies developed or revised in previous phases, e.g. gender policy, further development of e-learning and e-learning infrastructure, ICT and development of a fully fledged grants management desk, including capacity strengthening of relevant staff in administrative and support functions. Institutional strengthening of the capacity in public engagement, community outreach and dissemination will also take place in relation to pilot collaborative projects within the thematic research areas.

The research and training of individuals at PhD and postdoc level within the thematic areas will strengthen the capacity to deliver research-based education and consolidate the achievements made so far. For example, newly trained PhDs will gradually lose their skills if they do not continue to do research. At individual level, development of staff teaching and supervision skills will lead to increased quality of education. Furthermore, the partnership proposes to strengthen capacity of the university to support undergraduates with innovative ideas as part of training skills on life-long learning and PBL approaches that will increase the employability of the graduates.

Under BSU IV, GU plan to strengthen South-South collaboration through collaboration with SUZA and UoH and will through a memorandum of understanding (MoU) collaborate with School of Education, Maseno University, Kenya, and Centre for Conflict Management, University of Rwanda. An e-campus strategy and e-learning system has been developed through cooperation with Maseno University in previous phases. The University of Rwanda is a leading university for research in post-conflict policies and practices including transitional justice.

### **3.3.2 University of Hargeisa**

University of Hargeisa will work with a consortium consisting of University of Copenhagen (lead), Roskilde University, University of Southern Denmark and Danish Institute of International Studies.

The BSU IV support will be used to develop institutional research capacity within prioritized thematic areas as well as general institutional capacity to support research at UoH. Specifically, BSU-IV will enhance capacity in research and graduate education within prioritized thematic areas and enhance the institutional framework for research infrastructure and knowledge translation and research dissemination.

The thematic areas prioritized by UoH are Public Policy and Governance, where BSU IV activities will be coordinated with a recently started FFU project with substantive research capacity strengthening elements<sup>13</sup>, and Public Health (focused on mother and child health and vector-borne diseases). To address the limited collaborative research culture and PhD training, activities are needed at both individual and research group level. The aim is to form research groups consisting of a postdoc, two PhD students and at least two Master students. It is necessary to develop research capacity at both individual level as well as at institutional level in order for UoH

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<sup>13</sup> Pastoralist Climate Change Resilience in Somaliland (PACCS).

to start developing into a full research-based university. There is currently no PhD programme at UoH and students will enroll in regional universities.

At the institutional level, UoH has identified the following priorities for BSU IV in order to address the broadly identified challenges in management and infrastructure: Review of university policies (finance, procurement, research, human resources, etc.), upgrade university management system (integrated database system), research supporting facilities (e.g. literature, grant management, procurement), institutional support services (labs, IT, software), research leadership, and project management capacity. A needs assessment will be undertaken to determine the gaps in the systems vis-à-vis needs, before developing a prioritized plan. Regarding post-graduate education, both a possible creation of a PhD school and a review of the MSc. in Public Health curricula is envisioned. Finally, research dissemination and knowledge sharing attendance of staff at conferences, workshops and symposia will be prioritized.

Under BSU IV, UoH will strengthen South-South collaboration through collaboration with SUZA and GU. Furthermore, the PhD students are expected to enroll in University of Nairobi, building on existing collaboration, and/or Kilimanjaro Christian Medical University College.

### **3.3.3 State University of Zanzibar**

BSU IV at SUZA builds on more than ten years of collaboration between SUZA and Danish partner universities within the BSU programme. In the present phase, SUZA will work with a consortium of Danish universities consisting of University of Copenhagen (lead), Aarhus University, Aalborg University and Roskilde University. Roskilde University is new to the consortium.

In BSU IV, the joint partnership will expand SUZA's PhD portfolio in terms of staff capacity to undertake applied research in the form of more complex, intervention-based studies in line with the national call for impact-oriented research to address the developmental needs of Zanzibar (Zanzibar Development Vision 2050). BSU IV will maintain its focus on postgraduate education with added emphasis on research-based teaching to strengthen the skills and competencies of SUZA graduates within the areas of research design, data collection and analysis. This will consolidate the new research-based Master programmes that were accredited by TCU in BSU III.

Given the added emphasis on research-based teaching and general research capacity development, BSU IV will include systematic training of SUZA faculty through cross-cutting courses and modules on proposal development, research project and data management as well as national and international dissemination of research findings. In line with the novel focus on intervention research, training of SUZA faculty will also include advanced research methodologies and laboratory analyses in line with the thematic focus areas. Importantly, BSU IV will establish a support system for research and grant management including financial administration of research projects.

Intervention studies will be undertaken as part of PhD research training, involving interdisciplinary and intersectoral participatory methodologies. The research focus will be on the two main thematic areas with high relevance to the socio-economic needs of the Zanzibar society namely 'Environmental Public Health' and 'Marine and Coastal Ecosystem Health and Services' as well as on strengthening university-wide services and infrastructure to support educational-based research. This includes also the development and implementation of online and blended courses as required by TCU. To address the need for evidence-based development of open and blended learning, a PhD study will be undertaken. BSU IV will maintain a narrower focus than previous

BSU programmes in terms of research topics addressed within 'Environmental Public Health' and 'Marine and Coastal Ecosystem Health and Services'. However, the complexity of the research activities will increase significantly as the planned intervention studies are highly interdisciplinary, combining both natural and social science methodologies. This also implies that a larger group of Danish resource persons will be engaged in BSU IV.

Under BSU IV, SUZA will strengthen South-South collaboration and will through MoUs collaborate with Kilimanjaro Christian Medical University College, University of Dar-es-Salaam, Department of Aquatic Sciences, as well as Ghanaian universities as relevant.

### 3.3.4 Cross-cutting principles

All partnerships will adhere to basic relevant human rights principles, including non-discrimination and academic freedom. The partnerships will build on good governance principles such as PANT. For example, open and transparent recruitment procedures will be applied. When advertising it will be made clear that the call is open to everyone. However, for some postdoc positions, there may not be many eligible candidates due to a small pool of PhD holders to recruit from. Attention is paid to gender imbalances, and efforts will be made to ensure female researchers' access to benefits/training. This includes actively encouraging promising female candidates to participate, if an imbalance is observed. All universities have gender policies, which will be reviewed in the inception phase and may guide the implementation of concrete activities in relation to capacity strengthening of university systems. Reporting on results will be gender disaggregated, where relevant, and monitored on annual basis.

## 3.4 Results framework

Programme outputs are organized around three outcome areas:

Outcome area 1: University capacity is improved by strengthening organisation and systems for **researcher training and research processes**. This involves the academic aspects at faculty level of the university research capacity, such as establishment of thematic research groups, faculty-wide enhancement of research methodologies and approaches, etc. and collaborative pilot research activities. It also involves further work on strengthening the PhD education and Master education within specified thematic areas.

Outcome area 2: University capacity is improved by strengthening research **outreach practices and networks**. The activities include for instance dissemination of research results and mechanisms for strengthening cooperation, strengthened academic networks and linkages with private sector, civil society and public sector research users.

Outcome area 3: University capacity is improved by strengthening **research supporting services and facilities**, such as administrative and financial processes, policies, library and laboratory facilities, e-learning support systems etc. Many of the administrative systems are university-wide, but the focus is on those areas that influence most on the work under outcome 1 and 2.

Each university partnership has in their joint partnership proposal provided indicative outputs in relation to the three outcome areas. The three universities are at various stages of institutional research capacity development and the weight given to various outcomes differ. During the inception phase, each partnership will meet to develop implementation plans and results frameworks, including baselines and targets. The baseline will in some cases be the end result of BSU III. The overall implementation plan, budget and results framework will be approved by DFC and the MFA. The final programme level results matrix will be based on this. Below is the indicative programme results framework at outcome level.



## Indicative Results Framework for Building Stronger Universities (BSU), Phase IV

Programme Objectives	More and better quality research is increasingly used to inform policies, decision-making and practice in the public and private sector and in communities to promote sustainable development in selected thematic areas
Impact Indicators	As evidenced by researchers' participation in national and local committees and by interviews of stakeholders: Uptake of research findings in public policies Use of research findings in private and public sector for decision-making Use of research findings by local communities
Baseline 2023	[Situation prior to commencement of activities]
Target 2028	[intended situation by the end of project (phase)]

<b>Outcome area 1</b>		The BSU South universities have stronger and more sustainable organisation and systems for research training and research processes	
Outcome indicators		Number of PhD and Master students graduated within thematic area annually – by gender Number of research products by participants in thematic areas (submitted/accepted manuscripts in peer-reviewed journals annually; books) – by gender of first author Research groups are stable and perceived by junior researchers to be vibrant with an open culture for discussion. Number of research grant proposals submitted and granted – by gender	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

<b>Outcome area 2</b>		The BSU South universities have stronger and systematic research outreach practices and networks	
Outcome indicators		Skills and experience of individual researchers enhanced with regard to research communication, stakeholder engagement and outreach practices  Individual researchers have expanded their network in academia and relevant national and international organisations and have experienced cross-organisation collaboration.	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

<b>Outcome area 3</b>		The South universities have stronger and well-functioning research and teaching support in the form of stronger and more effective administrative frameworks, grant management and e-learning support activities	
Outcome indicators		Researchers and postgraduate students experience well-functioning university administrative systems (e.g. research student management, grant management, financial management) and better services (e.g. access to library resources, digital access)  Systematic use of e-learning is taking place and perceived as well-functioning by researchers and students.	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

## 4 BUDGET

The total budget for five years is 70 million DKK. The budget allocation by partnership and indicative outcome area is presented in Table 1. Table 2 below provides the indicative annual budget.

**Table 1. Indicative budget allocation for BSU IV according to outcome area. In DKK million.**

<b>Partnership</b>	<b>Outcome area 1</b>	<b>Outcome area 2</b>	<b>Outcome area 3</b>	<b>Overhead and administration</b>	<b>Total</b>
Gulu University	9.03	3.47	3.90	3.42	20.00
State University of Zanzibar	3.68	8.76	4.09	3.47	20.00
University of Hargeisa	8.64	3.39	4.55	3.42	20.00
<b>Other</b>					
DFC administration				4.00	4.00
Inception, reviews, annual meetings and mid-term seminar *)				3.00	3.00
Sub total	21.35	15.62	12.54	26.56	67.00
<b>Unallocated funds</b>				3.00	3.00
<b>Total</b>	21.35	15.62	12.54	29.56	70.00

\*) 1 million DKK will be retained by the MFA to undertake the mid-term review.

The budget allocation to South institutions will comprise approximately half of the budget in each partnership. A ceiling of 10% of the total budget for each institution can be used for investment costs. Each partnership may decide to use up to 25% of the remaining budget on collaboration with national/regional universities.

Overhead costs for South partners will be 12% of their grant (actual expenditures), and each university will be allowed to use an additional 8% for coordination of activities. In line with the agreement with Danish Universities in previous phases, overheads for the Danish university consortia will be 20% of the funds they receive.<sup>14</sup>

Other costs include a budget for DFC to undertake the administration of the programme, including visits to South institutions to follow up on progress and financial management. A separate budget line is set aside for costs associated with activities during the inception period (external process consultant and a three-day inception seminar in the South), mid-term review, on-site annual project meetings, internal reviews if needed, one mid-term seminar, and a concluding seminar in the final year of implementation. DKK 1 million will be retained at MFA to cover the mid-term review.

Finally, to enable some flexibility, DKK 3.0 million has been set aside as unallocated funds. The unallocated funds can be used to consolidate activities and possibly fund new activities relevant to achieve the overall objectives of the programme, if it turns out that some universities perform better than expected; or for specific opportunities that may arise over the five-year period and that

<sup>14</sup> The Danish Ministry of Higher Education and Science's general rules on overhead rates for research institutes can be found here: <https://ufm.dk/forskning-og-innovation/tilskud-til-forskning-og-innovation/administration-af-bevilling/sporgsmaal-og-svar/overhead>

would contribute to the overall objectives. The unallocated budget will be planned for new activities under the existing outputs in the last two years of implementation. This will be discussed during the mid-term review in 2025. The mid-term review will provide recommendations for the use of the unallocated funds. Based on these, MFA and DFC will decide on the allocation of the remaining funds.

The partnerships have prepared framework budgets. An implementation plan and budgets will be prepared in the inception phase (cf. sub-section Inception Phase in section 5.1) and may result in some reallocations between outcome areas.

**Table 2. Budget for Building Stronger Universities, Phase IV, 2023-2028 in DKK Million, by year**

	2023	2024	2025	2026	2027	2028	Total
Gulu University	1 .33	4 .00	4 .00	4 .00	4 .00	2 .67	20 .00
State University of Zanzibar	1 .33	4 .00	4 .00	4 .00	4 .00	2 .67	20 .00
University of Hargeisa	1 .33	4 .00	4 .00	4 .00	4 .00	2 .67	20 .00
DFC administration	0 .30	0 .80	0 .80	0 .80	0 .80	0 .50	4 .00
Inception, reviews, annual meetings and mid-term seminar*)	0.70	0.10	1.50	0.10	0.10	0.50	3 .00
Unallocated funds				1.20	1.20	0.60	3 .00
Total	4.99	12.9	14.3	14.1	14.1	9.61	70 .00

\*) 1 million DKK will be retained by the MFA to undertake the mid-term review.

## 5 MANAGEMENT ARRANGEMENTS

### 5.1 Institutional management arrangements

#### *Oversight*

The MFA has the overall responsibility for overseeing the programme as a donor, while DFC is responsible for management of programme implementation according to an agreement between the MFA and DFC. This means that the role of the MFA will be limited to:

- After the inception phase of the programme (which includes the DFC-led inception process), the MFA will jointly with DFC approve overall five-year implementation plan and budgets for the partnerships. Approval procedures for subsequent alterations to the work plans and budgets should follow rules indicated in the MFA's Aid Management Guidelines<sup>15</sup>;
- Conduct an annual strategic meeting with DFC for discussion of progress and challenges related to the implementation of BSU IV. Discussions will among others be based on the annual consolidated progress and financial report prepared by DFC (based on annual reports from the individual partnership), which will be approved by the MFA;
- Undertake a mid-term review and together with DFC decide on allocation of unallocated funds.
- The MFA reserves the right to undertake a final or ex-post evaluation of the programme.

#### *Overall programme management*

<sup>15</sup> See MFA Guidelines for Programme Management and supporting documents at [www.amg.um.dk](http://www.amg.um.dk)



DFC will be responsible for the overall management of programme implementation according to an agreement between the MFA and DFC. The programme will be implemented in accordance with the Danida Aid Management Guidelines, specifically the Guidelines for Country Strategic Framework Programmes and Projects and the Financial Management Guidelines. Prior to the inception phase, DFC will share the General Conditions for Grants under BSU and a BSU IV implementation manual with procedures and formats for annual activity plans, budgets and reporting. DFC will through a grant letter enter agreements with each of the three lead universities in the South, and they will, on their part, resume full responsibility for the implementation of each project. While the duration of the partnership projects is five years, the overall project agreement with DFC will run until end 2028 in order to ensure an administrative budget for closing the programme.

DFC will submit an annual programme-level progress report and aggregated results measurement to the MFA based on annual progress and financial reports prepared by each of the three university partnerships to DFC. The format for the DFC annual report will be submitted to MFA for approval. DFC is responsible for substantive comments to the progress reports from the partnerships, which will guide the universities in their implementation.

DFC will be the focal point on all BSU IV related communication with the partners in South and North on project management related issues, and will provide support to the financial management of the grant as needed by the South universities. Annual visits to the universities will be undertaken by DFC, except at mid-term, when all three universities will be gathered for a mid-term seminar for mutual exchange of experience. Annual visits and the mid-term seminar will be organised by DFC. To encourage and facilitate synergies between activities of various stakeholders, including other Danish engagements in the three countries, the local Danish embassy, relevant national partners and other relevant stakeholders will be invited to a joint meeting during DFC's annual visits to Gulu, Hargeisa and Zanzibar. DFC will also ensure that specific stories are shared, published and brought to the attention of the Ministry of Foreign Affairs and the Danish embassies (at least one story for each partnership per year). DFC will furthermore facilitate learning between partnerships, e.g. through encouraging participation in seminars and meetings for administrative and support staff.

#### *Coordination and management of partnerships*

Each of the African universities will be responsible for implementation and coordination of their partnership. The management set-up by the African universities will be aligned to existing university structures. A BSU IV coordinator will be appointed in each lead South university and act as the primary entry point for all communication between the project and DFC. Each of the Danish universities leading the consortia will also have a project coordinator who will be the primary entry point for communication. The organisational set-up for each of the three partnerships will be described in more detail in the partnership documents.

Under the leadership of each South university, it will be the joint responsibility of the partners to ensure proper management of the programme activities, including reporting procedures, financial management and accounting. This includes management of agreements with other national and regional universities included in South-South collaboration arrangements.

#### *Inception phase*

The programme will start with an inception phase of 3 to 6 months during which the partners in each of the three partnerships will have the opportunity to develop, detail and qualify their respective implementation plans. A three-day inception workshop is planned where all of the three

partnerships will meet and work together on their implementation plans. The workshop will be facilitated by an external consultant. During the inception period, and as an output of the joint workshop, each of the South universities will, based on the joint partnership proposals lead the preparation of a revised partnership document, an implementation plan, including results framework, and budget.

The partnership document will be revised to ensure consistent organisation of outputs across the partnerships in order to arrive at a consistent design of the results framework for the overall programme. Furthermore, the partnership will develop explicit measures to ensure sufficient engagement of women, for example in research groups and recruitment of PhD students. Finally, plans for concrete collaboration with other South universities (including closer collaboration between GU, SUZA and UoH) will, where relevant, be included in the work packages and an amount allocated in the budget for each partnership for development of further South-South initiatives.

Adaptive programme planning will be applied, which will allow partnerships to learn from the implementation and to adjust to new opportunities and changing contexts. This implies that the implementation plan does not necessarily have to include detailed activities for the full programme period. A detailed implementation plan is expected only up to end of 2025, with an outline for the remaining years. The implementation plan for the final years will be detailed prior to and be reviewed as part of the mid-term review. For example, some activities may be planned up to end of 2025, to allow flexibility to introduce new activities based on the experience from the first two years. The implementation plans will include a brief description of possible mitigations and alternatives in case travel restrictions are imposed. In the development of this alternative plan, the partners may structure their discussions along general principles of resilience: preparedness, responsiveness, connectivity, learning and innovation, self-organisation, diversity and redundancy, inclusion, social cohesion and thresholds. This can be guided by the Fragility Risk and Resilience Analysis Tool (FRRAT)<sup>16</sup>.

During the inception period, the Results Framework will be finalized with baseline values and annual targets for outputs and end-of-project targets for outcomes. These may be revised during implementation in accordance with the MFAs Aid Management Guidelines. Baselines and targets will be disaggregated by gender whenever relevant.

The implementation plans and budget will be approved by the MFA and DFC. The partnership documents complemented by the implementation plans, budget and results framework will form the basis for the agreements between DFC and each partnership.

#### *Mid-term review*

A mid-term review will be undertaken by the MFA in 2025. The purpose of the mid-term review is to assess the progress towards programme outcomes and objectives, review the implementation plans for the final years, make recommendations for the use of unallocated funds and consider proposals for how a more extensive South-South collaboration at university level could constitute an element under BSU IV and beyond as well as consider exit strategies. The Theory of Change and key assumptions will also be revisited during the mid-term review - and at the end of the programme.

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<sup>16</sup> Fragility Risk and Resilience Analysis Tool (um.dk) (p. 23)

The assessment of progress towards programme outcomes and objectives could for example include assessments of whether educational and didactic tools and approaches promoted under BSU IV have been adopted in other faculties, how the practice of working in research teams is perceived by other university actors than those directly involved in the activities, and how external stakeholders (including users of research) perceived the university's engagement in society. Although, especially in the new partnership at UoH, it may be difficult to see changes already at mid-term.

## **5.2 Financial management and reporting**

The budget will be transferred to DFC, except for 1 million DKK which will be retained at MFA and reserved for the mid-term review. DFC will on a biannual basis disburse funds to the lead South universities against an approved implementation plan and to the lead university of the consortia in Denmark following authorization from the relevant lead South university. The Danish universities will manage their own funding when released by DFC upon approval of the lead South university.

Each university in South as well as in North will apply its own financial management system and procurement rules to ensure alignment with local systems. However, the financial management and procurement guidelines of the individual university must as a minimum adhere to the MFA grant management standards<sup>17</sup>. As the BSU IV programme also includes strengthening of administrative systems, DFC will ensure that a review of the needs for strengthening of the financial management systems and procedures at each lead university will be undertaken as part of the inception phase.

Financial monitoring will be undertaken in line with the MFA Financial Monitoring Guidelines<sup>18</sup>. DFC will receive annual financial and audit reports from each partnership and compile an overall programme financial report to share with the MFA. DFC will approve all financial and audit reports and recommend measures for additional financial control or systems strengthening if so required. The DFC controller will conduct financial visits to the projects at least twice during the programme implementation period, and more if necessary.

The procedures will be described in the BSU IV implementation manual.

## **6 RISK AND RISK MITIGATION**

At the context level, some risk of conflict or unrest persist, although both Gulu and Somaliland are now considered relatively safe. The Covid-19 pandemic and lockdown can happen again, but at present extensive lockdowns do not seem likely. In both cases, the negative effects on travel and access to the universities as well as to field data collection sites can to some extent be mitigated by reverting to virtual platforms – to the extent that it is possible in the event of conflict. BSU IV also intends to strengthen e-learning and virtual platforms further. Upfront discussions among partners regarding alternative implementation arrangements taking point of departure in general principles of resilience using the FRRAT<sup>19</sup> will also help mitigate the negative effects on project implementation.

Relying on government funding and donor funded research cooperation, the universities have low and sometimes unpredictable resource envelopes. Predictability is also challenged by inflation

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<sup>17</sup> See MFA Guidelines for Programme Management and supporting documents at [www.amg.um.dk](http://www.amg.um.dk)

<sup>18</sup> See the General Guidelines for Financial management at [www.amg.um.dk](http://www.amg.um.dk)

<sup>19</sup> [See the FRRAT tool](#) at [www.amg.um.dk](http://www.amg.um.dk)

causing depreciation of purchasing power. There is a risk that funds and human resources may not be optimally utilized, if important complementary activities are not undertaken by the partner university due to resource constraints or shortfall on donor funds, or if some activities are double funded by two donors. The implementation plan will pay attention to coordination with other relevant donor-supported initiatives in order to promote stronger coordination. Furthermore, some flexibility to allow adaptation of plans to changing circumstances may mitigate this risk.

At programme level, the BSU IV will be faced with the fact that university staff have many tasks and may already have difficulties balancing time for teaching, research, and administration. There is a risk that BSU IV tasks may be allocated to staff that is already overloaded without due consideration to the time needed, which will reduce the absorption capacity. It can be a particular challenge for staff who are enrolled as PhD students that it is not fully recognized that this requires release from some other duties. Continued dialogue and use of clear agreements or terms of reference to be endorsed by the university are planned as mitigation measures.

Along the same lines, there may be weak staff incentives for working on BSU supported activities in both North and South universities, as engagement in activities like course and systems development does not give much merit to the academic career. This is of course most serious for younger researchers and could lead to recruitment challenges for the next generation. The inclusion of some research activities, which are also needed for research training purposes, as well as the possibility of establishing long-term relations through pilot research projects and/or establishing research groups are ways to mitigate this.

While, in most cases, the university partners that have been involved in BSU are likely to know each other from previous collaboration, this programme will bring in new partnerships, at least at UoH. There is a small risk that some of the partnerships will be less effective due to difficulties in communication or mutual expectations. This will be mitigated through the joint implementation planning for each partnership in the inception phase with physical meetings and frequent communication.

There is a risk related to the engagement of other South Universities (non-BSU leads), as the discussions with these are little advanced at this stage. This may result in delay and relatively low level of collaboration. The planned collaboration, however, to a large extent builds on existing collaboration and to some extent with universities with previous BSU experience. To mitigate this risk, plans for collaboration with other universities will be concretized and a budget allocated during the inception period, as more concrete implementation plans are developed. The mid-term review will follow up on this aspect of the South-South-collaboration in BSU and beyond.

Administrative procedures at the universities may cause delay, e.g. procurement can be cumbersome. Such risks will be mitigated by strengthening administrative systems, but this may only materialize in the medium to long-term perspective. Some administrative practices may be difficult to change as they are part of wider public sector administrative framework. Similarly, accreditation of new courses and programmes are subject to policy framework and standards as well as limited capacity, which may result in delayed processes. In such cases, delays may be mitigated by early and realistic planning as well as frequent follow-up.

At the institutional level, overlaps and missed opportunities for synergies with other international projects as well as missed opportunities for synergies with other Danish support is likely to happen to some extent. This represents a minor reputational risk for Denmark as a development partner that emphasizes donor coordination. However, the embedment of BSU IV in the university structure, and the mapping of at least some other research capacity strengthening programmes in

the South universities, combined with the strong ownership by the South universities, can perhaps mitigate these risks. In addition, BSU IV is focused on optimizing the synergies with FFU-projects. The South-driven approach on the other hand means that although the South universities have selected thematic areas within Denmark's overall strategy for development, these do not necessarily coincide with the specific programmes in the country. In both cases, inviting other donor supported programmes and the relevant embassies to participate in annual meetings arranged by DFC may be one way to facilitate coordination as relevant.

Finally, the risk of financial mismanagement or fraud exists. This could cause major reputational damage to both the university in question as well as to Denmark. Fraud would lead to closure of the programme. However, the experience from previous phases of BSU is that this is not very likely to happen. There are very clear guidelines for use of funds, annual audits and back-up support as well as follow-up from DFC. Furthermore, BSU aims to strengthen the university systems as this is also important for use of university own funds as well as for being able to be seen as a reliable recipient of external research grants.

Risks and risk management is further detailed in Annex 3.

## **7 EXIT AND SUSTAINABILITY CONSIDERATIONS**

It is important for any development programme to consider the sustainability of achievements beyond the programme period. At the end of the BSU IV, GU and SUZA will have participated in BSU-programmes over 15 years, while it will be 5 years for UoH.

The demand-driven approach has resulted in strong commitment and ownership of the activities in the past. It will be crucial for sustainability that this ownership is maintained during the implementation of BSU IV. Focus on development of university policies and own administrative and financial systems and the integration of PhD, Masters and postdoctoral programmes into the normal structures of the universities contribute to sustainability of the achievements made. These structures will be in place even beyond the programme period.

The joint development of curriculum and implementation of courses, training of supervisors and teachers will enable the continuation of research-based education beyond BSU as these skills will stay with the faculty in the South universities. However, where the capacity is low there may be challenges on staff time, and where materials are needed, e.g. with laboratory work, the university management will need to support and plan for the necessary resources.

Where investments are made in infrastructure whether physical or software, it is important that the university is ready to set aside necessary resources for maintenance and upgrade as part of the regular operational budget. Similarly, the focus on development of for example e-learning initiatives demands adequately functioning internet facilities for staff as well as students that go beyond the BSU IV programme. It will be important to mobilize the university managements or governments to prioritize this to make the most of the programme achievements and sustain the gains made.

Where long-term relationships have been built, it is expected that some form of collaboration will continue beyond the BSU programme, although this could be limited by lack of future funding. However, with increased research capacity, improved research track records and networks and research support systems, including a grant management office, each university will be in a better

position to obtain external research grants to sustain future research and research-based education at the end of BSU IV. The ability to attract research funding is likely to be higher where achievements have been made and consolidated over a long term.

**Annexes:**

**Annex 1: Context Analysis**

**Annex 2: Partner Assessment**

**Annex 3: Indicative Result Framework**

**Annex 4: Risk Management**

**Annex 5: Plan for Communication of Results**

## Annex 1: Context analysis

### 1. Poverty and inequality analysis

#### 1.1. Key conclusions and implications for the design of the programme

##### *Status and progress on poverty and inequality*

*Multidimensional poverty:* The multidimensional poverty<sup>1</sup> headcount ratio is 52.3% (2019) in Uganda, 54.6% (2018) in Tanzania and 83.8% (2017) in Somalia<sup>2</sup>. Trend data from the World Bank is only available for Uganda, where a decreasing trend has been observed since 2012 (65.7%). However, using the Multidimensional Poverty Index (MPI), a similar decreasing trend is observed for Tanzania, although at a slightly slower rate.<sup>3,4</sup>

Subnational analysis of multidimensional poverty shows that in 2015/16, Zanzibar together with Eastern Region (including Dar es Salaam) had the lowest incidence in Tanzania (27.9% of the population; MPI=0.132; National MPI 0.284)<sup>5</sup>. According to a recent poverty analysis income-related poverty (based on household consumption) was reduced from 34.9% to 25.7% from 2009-2019<sup>6</sup>. Substantial progress was also observed across a range of non-monetary poverty indicators, e.g. access to electricity network and education. A nationally defined Multi-dimensional Poverty Indicator showed that 36.6% of Zanzibaris were multi-dimensionally poor, that is they were deprived of at least a third of the thirteen MPI indicators used.

Within Uganda, the Northern region had the highest incidence of multidimensional poverty (around 70% of the population; MPI = 0.359; National MPI= 0,281).<sup>7</sup>

Poverty is widespread across Somalia, with lower incidence (60%) found only among those living in urban areas, except Mogadishu<sup>8</sup>. I.e. people living in Mogadishu, rural areas and internally displaced persons (IDP) settlement as well as nomads had similar high levels of poverty. Poverty estimates based on satellite images suggests that poverty is more prevalent in the North (including Somaliland) and the South West.

*Status and progress in relation to SDG 1 (End poverty):* According to the World Poverty Clock, people living in extreme poverty (less than \$1.90 per day) is 33% in Uganda, 39% in Tanzania and 41%

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<sup>1</sup> The international poverty line of \$1.90 per person per day, 2011 PPP. In addition to factoring in monetary deprivation, the multidimensional poverty index takes into account education of children and adults, access to improved water, improved sanitation and electricity.

<sup>2</sup> Multidimensional Poverty Measure (4th edition, circa 2018), World Bank, Washington, DC. 2022 Update. <https://www.worldbank.org/en/topic/poverty/brief/multidimensional-poverty-measure>

<sup>3</sup> Oxford Poverty and Human Development Initiative (OPHI). Global MPI Country Briefing 2022: Tanzania (Sub-Saharan Africa) & Global MPI Country Briefing 2022: Uganda (Sub-Saharan Africa).

<sup>4</sup> Absolute annualized change over the period 2010-2016 was -0.13% for Tanzania and -0.43% for Uganda.

<sup>5</sup> Oxford Poverty and Human Development Initiative (OPHI). Global MPI Country Briefing 2022: Tanzania (Sub-Saharan Africa)

<sup>6</sup> World Bank. Towards a More Inclusive Zanzibar Economy : Zanzibar Poverty Assessment 2022 (English). Washington, D.C. : World Bank Group.

<sup>7</sup> Oxford Poverty and Human Development Initiative (OPHI). Global MPI Country Briefing 2022: Uganda (Sub-Saharan Africa)

<sup>8</sup> World Bank Group. 2019. Somali Poverty and Vulnerability Assessment; Somali Poverty and Vulnerability Assessment : Findings from Wave 2 of the Somali High Frequency Survey.



in Somalia<sup>9</sup>. In all three countries, extreme poverty is most prevalent in the rural population (42%, 57% and 51% respectively). There is little difference between men and women, with the largest difference in Tanzania, where 38% of males and 40% of females live in extreme poverty. In all three countries, the current escape rate is negative, i.e. the number of people living in extreme poverty is growing by 0.1 (Tanzania) to 0.3 (Somalia) persons per minute.

Also, in Zanzibar despite progress, poverty reduction was slow relative to population growth, so the drop in number of people living in poverty from 2009-2019 was modest (27,000 persons).<sup>10</sup> Furthermore, findings suggest that the Covid-19 pandemic increased urban poverty while rural poverty continued to decrease. Similarly, findings from Uganda and Somalia, suggest that Covid-19 crisis has in part reversed the positive developments<sup>11</sup>.

*Status and progress in relation to SDG 10 (Reduce inequality):* According to the Human Development report the income share per the 40% poorest are 16.1% and 17.4% of incomes in Uganda and Tanzania respectively (SDG 10.1)<sup>12</sup>. No data were available for Somalia.

### ***Drivers of poverty and inequality***

Although poverty was declining in *Uganda* prior to the Covid-19 crisis, inequalities and vulnerability to poverty had already become more pronounced. For example the inequality between urban and rural areas had increase as economic growth and service expansion mostly took place in urban areas. The economy had begun a transformation with reduction in the workforce employed in farming towards take off in industrial production and expansion of the services sector, as well as a rapid increase in access to digital technology. Yet, most of the population still lives off subsistence agriculture or is engaged in small informal enterprises with generally low productivity and little prospect for growth. Improvements in economic development have slowed over the past five years and economic growth has barely kept up with population growth resulting in deceleration in real per capita GDP growth.

The recent Systematic Country Diagnostic Report for Uganda concluded that addressing the inequality of opportunities, which is pervasive in Uganda is key for the post-covid recovery. Uganda needs to invest in human capital so that youth in all income groups have the capacity, skills and health necessary to be fully productive and contribute strongly to more inclusive economic growth. Providing equal access to human capital development is key to addressing the inequality of opportunities and making future growth more inclusive.

*Zanzibar* experienced relatively high growth in GDP per capita between 2009 and 2019, but transmission of growth into increased consumption of households was low. Only a little more than half of GDP per capita growth translated into increased household consumption and better

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<sup>9</sup> <https://worldpoverty.io/headline>

<sup>10</sup> World Bank. Towards a More Inclusive Zanzibar Economy : Zanzibar Poverty Assessment 2022 - Executive Summary(English). Washington, D.C. : World Bank Group.  
<http://documents.worldbank.org/curated/en/099750011032226668/P17534008ddb250760bd1607ea84dd78e4b>

<sup>11</sup> World Bank; International Finance Corporation; Multilateral Investment Guarantee Agency. 2021. Uganda Systematic Country Diagnostic Update. © World Bank, Washington, DC.

<sup>12</sup> UNDP (United Nations Development Programme). 2022. Human Development Report 2021-22: Uncertain Times, Unsettled Lives: Shaping our Future in a Transforming World. New York.

welfare, as measured by the Household Budget Survey. Despite relatively high GDP growth, job creation between 2014 and 2019-20 was limited and unemployment and economic inactivity went up from 38 to 43 percent, according to the labor force surveys of 2014 and 2020–21. This trend was particularly strong for women for whom unemployment alone rose from 26 to 30 percent.

All household groups saw a small increase in real consumption between 2009 and 2019, but it increased faster for richer households than for poorer ones, which increased inequality, though it is still among the lowest in sub-Saharan Africa. The poorest 40 percent experienced slower consumption growth than for the whole population, and this triggered a marginal increase in income-related inequality.

Poverty in *Somalia* extends beyond the lack of money and is linked to deprivations across multiple dimensions<sup>13</sup>. Nomadic populations suffer the most, while urban residents suffer the least. Rather than the cost of services, the distance to services such as schools and health care is a primary barrier and driving inequality. Cities consistently provide better access to services and more stable income than rural areas. Mogadishu and cities in the North provide much better access to services than other cities. Regional disparities within Somalia also reflect the exposure to external shocks such as droughts and history of violent conflict. North East and North West cities, which have been relatively free of violent conflict, have relatively high access to services. Further, 86% of North West urban residents report feeling ‘very safe’. Public institutions are also more established and trusted in these areas. For example, 77% of urban residents in the North West rely on the police for conflict resolution compared to 44% at national level.

Low education, agricultural dependence, unemployment, low wealth and large household contribute to vulnerability shocks, such as droughts and epidemics, but also individual level shocks in the form of death, injury or unemployment. IDPs are the most vulnerable group.

The Somali Poverty and Vulnerability Assessment<sup>14</sup> concludes that alleviation of poverty and mitigation of vulnerability in Somalia requires accelerating economic growth, improving services managing urbanization, and investing in resilience and safety nets. Economic growth-creating opportunities, especially for youth, is fundamental to sustainable poverty reduction, vulnerability mitigation and conflict avoidance. Improving services provision, especially education, is crucial to improve human capital and reduce inequality. Increasing access to education for children and youth will allow more productive opportunities later in life.

### ***Implications for the design and implementation of the programme***

BSU IV does not directly address poverty and inequality. However, in the longer term it may contribute to reduction in inequality in access to and quality of research education and tertiary education. Furthermore, increased quality of tertiary education and research may lead to better quality employees, more effective production and management in the public sector and increased GDP, which could reduce poverty more generally.

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<sup>13</sup> World Bank Group. 2019. Somali Poverty and Vulnerability Assessment : Findings from Wave 2 of the Somali High Frequency Survey. © World Bank, Washington

<sup>14</sup> World Bank Group. 2019. Somali Poverty and Vulnerability Assessment : Findings from Wave 2 of the Somali High Frequency Survey. © World Bank, Washington

Within the programme, BSU IV will address equal access to research education through open and transparent selection procedures at the individual level and at systems level through development of policies and of an open research environment and culture. Focus on e-learning activities will also contribute to increased access research education, and to education in general.

Finally, the outcomes of the research element in the research training may also contribute new knowledge regarding aspects of poverty and inequality, mechanisms that drive them and possible solutions. Focus on sharing of research results, will increase the likelihood that such results will translate into action and be scaled up.

The programme does not contain elements that may cause harm to poor and vulnerable groups.

### **1.2. List of documentation and sources used**

Multidimensional Poverty Measure (4th edition, circa 2018), World Bank, Washington, DC. 2022 Update. <https://www.worldbank.org/en/topic/poverty/brief/multidimensional-poverty-measure>

Oxford Poverty and Human Development Initiative (OPHI). Global MPI Country Briefing 2022: Tanzania (Sub-Saharan Africa)

Oxford Poverty and Human Development Initiative (OPHI). Global MPI Country Briefing 2022: Uganda (Sub-Saharan Africa)

UNDP (United Nations Development Programme). 2022. Human Development Report 2021-22: Uncertain Times, Unsettled Lives: Shaping our Future in a Transforming World. New York.

World Bank; International Finance Corporation; Multilateral Investment Guarantee Agency. 2021. Uganda Systematic Country Diagnostic Update. © World Bank, Washington, DC. <http://localhost:14773//entities/publication/a54bd661-f71b-5441-9cae-a5f47a1bb028> License: CC BY 3.0 IGO

World Bank. Towards a More Inclusive Zanzibar Economy : Zanzibar Poverty Assessment 2022 - Executive Summary (English). Washington, D.C. : World Bank Group. <http://documents.worldbank.org/curated/en/099750011032226668/P17534008ddb250760bd1607ea84dd78e4b>

World Poverty Clock. <https://worldpoverty.io/headline>

World Bank Group. 2019. Somali Poverty and Vulnerability Assessment : Findings from Wave 2 of the Somali High Frequency Survey. © World Bank, Washington, DC. <http://localhost:4000//entities/publication/2869359f-a8b7-5a1a-ace4-f6ba7177a5ce> License: [CC BY 3.0 IGO](https://creativecommons.org/licenses/by/3.0/).

### **1.3. Further analytic work required during implementation**

No specific analytic work is required. Gender disaggregated indicators will be used for monitoring. Call for applications for grants, PhD and postdoc opportunities will be open and transparent.

## **2. Political economy and stakeholder analysis**

### **2.1. Uganda context**

- ***Brief country context***

Uganda has a population of 45.8 million (2021) people and a GDP per capita of 884 USD (2021)<sup>15</sup>. Poverty levels decreased prior to the Covid-19 pandemic, but not enough to meet targets. Uganda aspires to transform from a predominantly peasant and low-income status to upper middle income country with 9500 USD per capita by 2040 (Uganda's Vision 2040).<sup>16</sup> However, rapid population growth (2021: 3.7%) offsets GDP growth, which in 2021 was 3.5%, about half of the level prior to the Covid-19 pandemic<sup>17</sup>. Recently, the economy has picked up faster than expected; after opening of the economy in January 2021, the economy grew at 4.6% during FY22.<sup>18</sup>

Uganda is well-endowed with a rich biodiversity, but the population pressure and economic activities has triggered rapid eco-system deterioration in the form of soil degradation, deforestation, pollution, drainage of wetlands, and loss of biodiversity putting economic, environmental and social development at risk.<sup>19</sup> Vulnerability remains a significant development challenge. Uganda is also highly vulnerable to climate change effects, especially in the poorest and rural households with limited adaptive capacity.

Structural transformation is considered essential for reinvigoration of the economic activity and reduction of poverty<sup>20</sup>. A large proportion of the population is children and youth. Uganda needs targeted education policies and strategies to accelerate its economic transformation, to form the basis for creation of formal wage jobs and reap the demographic dividend. This calls for skills development through education and training at universities and technical and vocational training institutions as well as enterprise-based skills development. Despite improvement in health outcomes, Uganda faces many obstacles in achieving the national and global health sector goals. Uganda is still experiencing a high burden of maternal, child and adolescent health and nutrition-related complications, infectious diseases and non-communicable diseases.

Despite progress and relative stability for three decades, Uganda is still challenged in many important aspects such as high population growth, regional instability and refugee flows, low productivity and rising inequalities. The civil war in Northern Uganda ended only in 2006 and the region is still poorer and more fragile than the rest of the country and pressured by hosting a large number of refugees. Although, there has been progress, inclusive growth, democracy and human rights, and good governance are not sufficiently rooted.<sup>21</sup> Efforts to improve status of women and promote gender equality has led to some improvements, but, most women in Uganda still face a wide range of challenges, including discrimination, low social status, lack of self-sufficiency, and high illiteracy levels.

- ***The research and higher education context***

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<sup>15</sup> World Bank Uganda Overview. Updated Oct 5, 2022.

<sup>16</sup> World Bank. Uganda Systematic Country Diagnostic Update 20221.

<sup>17</sup> Ibid.

<sup>18</sup> World Bank. Uganda Systematic Country Diagnostic Update 20221.

<sup>19</sup> FCG. Evaluation of Danida Support to Development Research (2008-2018): Uganda Country Case Study Report 2020.

<sup>20</sup> World Bank. Uganda Systematic Country diagnostic Update 2021

<sup>21</sup> Ministry of Foreign Affairs of Denmark. Country Policy Paper for Uganda 2018-2022.

### ***National policy framework***

The Uganda Vision 2040 identifies human capital development as well as Science, Technology, Engineering and Innovation (STEI) among the key fundamentals required to achieve Uganda's aspirations to upper middle income country status. Despite the development challenges, Uganda has identified science and technology as a growth driver and has developed credible policies and a solid institutional framework for science and technology<sup>22</sup>.

In line with this, the National Development Plan (NDP) III (2020/21-2024/25) has a strong focus on research & development and innovation as well as ICT development, both as a specific sector strategy as well as in support of other sector development such as agriculture, climate change, health<sup>23</sup>. The objectives of the sub-program includes to 1) develop requisite STI infrastructure; 2) build human resource capacity in STI; 3) strengthen R&D capacities and applications; and to 4) increase development, transfer and adoption of appropriate technologies and innovations; and to improve the legal and regulatory framework.

An assessment of the needs of the research system in Uganda undertaken in 2019 concluded that overall Uganda's research system is well-structured but highly regulated and inadequately funded<sup>24</sup>. The challenges include inadequate infrastructure, excessive prescriptiveness of the research permit system and insufficient implementation capacity, lack of human resources (researchers), and low levels of spending on research and development<sup>25</sup>. The NDP III recognizes not only the need to train more people, but also the need to provide opportunities at in-country in order to avoid that the homegrown talent will continue to exit the country in increasingly large numbers. Uganda's expenditure on research and development was 0.4 percent of GDP in 2019 (increased from 0.17% in 2014), business expenditure on R&D is 0.01%<sup>26</sup>. The target in NDP III is to increase gross expenditures on research and development to 1% of GDP and to increase private sector spending to 0.21% of GDP.

The National Science, Technology and Innovation Policy (2009) aims to strengthen the national capacity to generate, transfer, and apply scientific knowledge, skills and technologies that ensure sustainable utilization of resources. The Uganda Science, Technology and Innovation Sector Development Plan (2019/20-2024/25) addresses a number of identified challenges including weak STEI sector coordination, lack of skilled human capital and limited investment in STEI infrastructure. The sector development plan is anchored around seven strategic objectives and four cross-cutting issues, with each objective and cross-cutting issue comprising thematic areas and specific activities. The objectives are to 1) Enhance sector policies, planning and coordination. 2) Develop STI support infrastructure; 3) Increase funding for STI from public and private sectors; 4) Improve STI advancement, outreach and human capital development; 5) Increase transfer and adoption of technologies for all categories of people; 6) Strengthen research and development capacities and applications in existing and emerging fields of science and technology; and 7) Improve the legal-regulatory framework for STI. The cross-cutting issues are: 1) Gender

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<sup>22</sup> UNCTAD. Uganda Science, Technology and Innovation Policy Review 2020.

<sup>23</sup> 'research' is mentioned more than 80 times in NDP III.

<sup>24</sup> Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019.

<sup>25</sup> Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019; NDP III.

<sup>26</sup> NDP III

Mainstreaming Plan; 2) Environment and Climate Change; 3) Youth employment; and 4) HIV-AIDS.

A National Research Information System is in place as well as a national standard for research ethics.

### ***Barriers in research production and research based education***

The number of universities has grown rapidly in recent years, but most of them have scarce research capacity (currently 12 public universities and 41 private universities are accredited). Research production is limited by a severe lack of funding, which affects both the ability to undertake research and the lack of attractiveness of embarking on a research career in the first place. Adjusted by population the number of researchers in Uganda was 75% lower than the African average<sup>27</sup>. The NDP III estimates that there is a gap of 300 university and higher education teachers and across most sector specific plans additional gaps in numbers of researchers are listed.

Enrolment in university education has been increasing significantly over the past decade, without similar increase in resources. This has resulted in additional pressure on physical infrastructure as well as staff, as student to lecturer rates increased – to well above nationally recommended levels. The policy of requiring 60% of the staff to be PhD holders in order to be able to provide research-based education is very difficult to attain.<sup>28</sup>

Public funding to universities corresponds to 0.3% of GDP, but actual releases tend to be lower. Most funds are allocated for staff (2018: 57%), materials and student costs, with research funding only amounting to 0.8%<sup>29</sup>. Furthermore, a national research permit system that requires all research project to apply for a research permit and pay a substantial fee upfront, creates barriers to entry for new research projects.<sup>30</sup> It is estimated that half of the funding for research and development comes from external sources.

In spite, of limited time available for research, lack of staff with research training and limited public funding, there are examples of high quality research being undertaken by reputable institutions such as Makerere University, Uganda's largest and leading university, as well as others. GU that participated in previous phases of BSU ranks 6 among the Ugandan universities<sup>31</sup>. Ugandan research is highly cited and internationally visible, although overall productivity is low. About 84% of published papers are produced as a result of international collaborations.

Finally, while research is highly emphasized in the plans, the demand for evidence from the government and the private sector is limited. Knowledge exchange activities are only undertaken by a handful of research organisations, and the links with the private sector and civil society remain under developed.<sup>32</sup>

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<sup>27</sup> Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019.

<sup>28</sup> FCG. Evaluation of Danida Support to Development Research (2008-2018): Uganda Country Case Study Report 2020.

<sup>29</sup> Ibid

<sup>30</sup> Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019.

<sup>31</sup> [Africa | Ranking Web of Universities: Webometrics ranks 30000 institutions](#)

<sup>32</sup> Ibid.

### ***Governance structures***

The Ministry of Science, Technology, Innovation (MoSTI) is the policymaking body with a mandate to oversee STI policy, provide policy guidance and coordinate activities across sectors. This also in principle includes formulation of STI policy, plans and programmes related to STI; identifies national STI priorities; coordinates, implements and evaluates STI programmes and supports public-private partnerships on STI. In practice, most of these functions are delegated to the Uganda National Council for Science and Technology.

The Ministry of Education and Sport is responsible for strengthening STI education at all levels of the Ugandan education system with the aim of producing an STI literate society. The Ministry's Department of Higher Education monitors the functioning and operations of Uganda's public and private universities through the Uganda National Council for Higher Education.

Uganda National Council for Science and Technology (UNCST) is a semi-autonomous organisation under the authority of MoSTI tasked with incorporating science and technology in national development processes. As such UNCST is the central institution responsible for implementing the research policy. UNCST performs an advisory function for the Government on STI policy; issues permits to all research and development projects to be carried out in the country; manages national research funding; and provides technical support in matters relating to intellectual property rights.

In addition, the National Agricultural Research Organisation and the National Health Research Organisation are both semi-autonomous organisations under the Ministry of Agriculture and Ministry of Health, respectively, that within their sector coordinate research, set national research priorities, promotes research ethics, supports knowledge translation, and strengthens partnerships and collaboration.

- ***Gulu University context***

The STI policies are implemented by a host of institutions including the universities. One of them is GU in Northern Uganda. GU was established in 2003, and has participated in BSU since the start in 2011. The background and lessons learnt in the previous phases of BSU is presented in the main text and the Joint Partnership Proposal by GU and its North partners.

## **2.2. Zanzibar Context**

- ***Brief country context***

Tanzania recently (in 2020) graduated from low-income status to lower-middle income country. The graduation is a result of solid income growth over two decades. It reflects sustained macroeconomic and political stability as well as the rich resources in the country.

The United Republic of Tanzania (URT) consists of Mainland Tanzania and Zanzibar. Zanzibar has a semi-autonomous government called the Revolutionary Government of Zanzibar (RGoZ). Zanzibar has an estimated population of 1.7 million (2020). Since last census in 2012, the population growth rate averaged 2.8 %<sup>33</sup>. With a median age of 17 years, Zanzibar has a young population, signifying the potential for demographic dividends. This will require sustained economic growth.

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<sup>33</sup> Zanzibar Planning Commission. Zanzibar Development Vision 2050. October 2020.

Zanzibar has enjoyed stable macroeconomic performance over the past decade, with high growth and, until recently, low inflation. Real GDP grew by an average of 6.1 percent during the past 10 years, with GDP reaching US\$1.8 billion in 2019<sup>34</sup>. The growth in GDP was mainly driven by services, particularly tourism and related services. The main contribution used to come from the agricultural sector, but in 2019/20 tourism contributed to more than 25% of GDP and to most of the foreign exchange income. During the Covid-19 pandemic the economy experienced a considerable set-back due to the reduction in tourism. With the very young population in Zanzibar job creation initiatives are needed to address the increasing unemployment. Being labour intensive, the tourism industry is also contributing to high levels of employment.

Having attained the objective of progress to lower-income country, the Zanzibar Development Vision 2050 aims “to attain Upper Middle-Income Status by the year 2050 through sustainable and inclusive human development”. Education as well as Research and innovation are identified as priority and a key driver towards achieving this goal.

- ***The research and higher education context***

- National policy framework and governance structure***

The policies and strategies of Tanzania and Zanzibar recognize the role of scientific advances and technological innovations as driving forces for economic growth and sustainable development. The Zanzibar Development Vision 2050 includes Research and innovation as a priority area under Pillar 2: Human capital and social services with the strategic direction: Investing in cutting-edge impact-oriented scientific and socio-economic research to address the developmental needs of the nation. In addition, research is included as a component of strategies in many sectors. To meet this demand for research, an increase in research capacity is needed.

In recognition of this development perspective, the RGoZ is implementing an ambitious plan to establish research institutions in applied science and technology, to supplement the research initiatives of existing universities. Ambitiously, the vision is to increase the funding allocation for research and development to 0.8% of GDP in 2030, increasing to 1.2 % in 2040 and 1.5% in 2050. The current level is not available, but likely to be low. The targets for number of researchers to 1.000.000 population are 150, 390 and 720 in 2030, 2040 and 2050, respectively.

The strategies to be employed to meet the aspirations include<sup>35</sup>: a) High capacity of local higher education institutions to conduct innovative and cutting-edge research that is directly applicable to industry and societal development in line with internationally competitive teaching programmes; b) Sound national research agenda supported by sustainable investment and planning mechanisms with clear identification of priorities to empower universities and research institutions to carry out high-impact STI and socio-economic research; c) Well-reflected research outputs in government planning and operations, supported by the high availability of data and information; d) Equitable and affordable access to information and knowledge across all segments of the population, bridging the digital divide through appropriate public policy strategies in line with the principles of digital development, open data and open standards; and e) Strong performance and highly

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<sup>34</sup> Bank of Tanzania Annual report. 2019/20.

<sup>35</sup> Zanzibar Planning Commission. Zanzibar Development Vision 2050. October 2020.



impact-oriented results that link research to coordination and reporting mechanisms in the public and private sector.

### ***Governance***

The Ministry of Education is responsible for the policy development and oversight for all levels of education, including the university level. The responsibility for education and research is divided between two different government structures. The RGoZ Planning Commission's Department of Research is amongst other responsible for identifying the Zanzibar Research Agenda; coordinating, analyzing and working on findings of research in Zanzibar in order to ensure that evidence is used for decision-making and the development of Zanzibar as well as to prepare annual research budgets and coordinate larger international research proposals. The Department of Research is also the link between RGoZ and Tanzania Commission for Science and Technology (COSTECH).

COSTECH acts as the main advisory body on research as well as supports the conduct of research and innovation. COSTECH had developed national research priorities covering both Tanzania Mainland and Zanzibar, - until Zanzibar develops its own<sup>36</sup>.

Finally, the Tanzania Commission for Universities (TCU) has the mandate to recognise, approve, register and accredit Universities operating in Tanzania, and local or foreign University level programmes being offered by registered higher education institutions. It also coordinates the proper functioning of all university institutions in Tanzania so as to foster a harmonised higher education system in the country.

### ***Barriers in research production and research based education***

In Zanzibar, there are two full-fledged private universities and one full-fledged public university. In 2013, a School of Health and Medical Sciences was introduced at SUZA. In line with a policy to reduce the number of tertiary education institutions and benefit from economies of scale, the RGoZ between 2016 and 2018 approved a merger between SUZA and five other public tertiary institutions, namely Zanzibar College of Health Sciences, Institute of Financial Administration, Zanzibar Institute of Tourism Development, Kizimbani Agricultural Training Institution, and Zanzibar College of Journalism. As a result, SUZA currently holds nine schools and one institute located across nine campuses, offering 65 academic programs in various specialties from diploma to PhD level.

During the past five years, the number of students has increased more than two-folds, from 2,775 in 2017 to 6,154 in 2022.<sup>37</sup> The number of permanent staff is currently 704 of which 316 are faculty members. The remaining 388 staff includes research administrators, laboratory and ICT technicians, librarians, administrators, and other supporting staff. The rapid increase in number of students without corresponding increase in faculty has put pressure on the time of academic staff. It is estimated that Zanzibar had almost 800 students per 100,000 population enrolled in tertiary education, most in Zanzibar, but also some abroad.<sup>38</sup>

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<sup>36</sup> COSTECH. National research priorities 2021/22 -2025/26.

<sup>37</sup> Office of the Government Statistician, RGOZ.

<sup>38</sup> Ministry of Health and Vocational Training. Zanzibar Education Development Plan II 2017/18 – 2021/22.

Apart from high workloads among teaching staff, there are also other barriers to active research, research training and research based education. Zanzibar Education Development Plan II, outlines a few problem areas. The problem areas related to the intake of students include inadequate infrastructure and facilities to accommodate the increased number of enrolments and the need to expand the list of programmes; inadequate supply of qualified students for intake to university courses; and programmes that are not relevant to the labour market needs. High quality research outputs are challenged by insufficient financial resources for research, and lack of research culture and staff with experience to lead the research. Finally, identified challenges to the robustness of the institutional framework for higher education includes insufficient inter-institution coordination, in particular between public and private universities; high cost to the state and reliance on state funding may threaten financial viability; and a risk that the student loan scheme operated will not be sustainable.

- ***State University of Zanzibar context***

SUZA is a publicly-owned university, in Zanzibar that was officially inaugurated in 2001, and since then has been gradually expanded. SUZA has participated in BSU since the start in 2011. The background and lessons learnt in the previous phases of BSU is presented in the main text and the Joint Partnership Proposal by SUZA and its North partners.

### **2.3. Somalia/Somaliland**

- ***Brief country context***

Somalia has a population of 17.1 million people and a GDP per capita of 502 USD (2021)<sup>39</sup>. According to Somaliland Central Statistics Department, the estimated population of Somaliland is 4.3 million people with GDP per capita at 775 USD<sup>40</sup>. These figures, however, vary by source, mostly to the lower side. Somalia is among the poorest countries in the world and poverty is rampant in Somalia as well as in Somaliland. Furthermore, population growth is high (3.1% annually) and more than 10% of the population is below 30 years old. After more than two decades of civil war, Somalia is on a path to the much needed political stabilization, that is essential for economic recovery and sustainable development, but the situation is still very fragile.

Recently, issues in relation to the delayed electoral process hampered efforts by the Somali government to strengthen security and stability. In addition, the political deadlock in the negotiations between the Federal Government of Somalia and the Federal Member States (including Somaliland) regarding the constitutional review process, federalism and power sharing, has set back the pace. Furthermore, the humanitarian crisis worsened due to droughts that has affected most of the country and continued conflict and insecurity in south and central Somalia. Nevertheless, Somalia showed improved economic growth in 2021.<sup>41</sup>

Somaliland declared independence in 1991, but has not been recognized as such internationally. Somaliland is an autonomous state in Northern Somalia with its own independent government

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<sup>39</sup> World Bank Somalia Overview. Updated Oct 5, 2022.

<sup>40</sup> Somaliland Central Statistics Departments. Somaliland in Figures 2021.

<sup>41</sup> Federal Republic of Somalia & World bank. Somalia Economic Update. June 2022, Edition no. 7.

and democratic elections. The division of jurisdictions between the Somali Federal Government and the Somaliland government has created complications and frictions in regulatory and economic governance areas. However, the dialogue between the two parties continues.

Following the declaration of independence, Somaliland's political leaders worked with community elders and diaspora entrepreneurs on local level reconciliation, demobilization, and democratization, thereby providing the basis for Somaliland's stable development, and provided momentum for subsequent institutional reforms. In Somaliland, local reconciliation, the establishment of basic rule of law and more accountable public finances have delivered more revenues, service delivery and stability than in the rest of Somalia.

Following a significant Covid-19 induced contraction in the real GDP in 2020 (i.e., -3.1%), the Somaliland economy is estimated to have grown by 3.3% in 2021<sup>42</sup>. This, however, is still far below the pre- pandemic level of 6.2% observed in 2019. The recovery in 2021, was brought about by stronger than expected livestock export. The livestock sector contributes significantly to Somaliland's economy and is the main source of income for the vast majority of the population. The economy also benefits hugely from remittances from the diaspora. The Somaliland government has been able to increase revenue collections with annual growth around 6% since 2014, however with a set back during the covid-19 pandemic, and similarly the government spending has also increased. Although promising, droughts, inflationary pressure caused by external factors and high population growth, can quickly cause set-backs.

- ***The research and higher education context (Somaliland)***

*Policy framework and governance*

In its Somaliland Vision 2030, the government is committed to providing universal education for all, strengthening technical education and investing in higher education, research and development (under Pillar 3: Social Development). In addition, research and technology is envisaged as one of the cross-cutting enablers for the implementation of the visions across sectors. Other such cross-cutting enablers include finance (domestic and foreign), supporting gender equality and women's empowerment, capacity building and institutional strengthening amongst other.

The Somaliland National Policy of Education 2015-2030 further includes a specification of the objectives and strategies for higher education, including research. There is a clear recognition of the importance of research and the need to move towards research-based education. Thus, the mission is *to develop and strengthen quality higher education programs that promote research, knowledge transfer and lifelong learning and produce individuals who are competitive and innovative with high moral values to meet the nation's aspirations*. A range of strategies are proposed to support the objectives. Among them is to strengthen the capacity of local universities to conduct research, increase the budget allocation to public universities as well as soliciting additional funding from donors (both private sector and international donors), and strengthen the institutional management and leadership capacity of public higher education institutions. Also noteworthy is the plan to establish and implement financing mechanism for providing scholarships for girls leaving secondary schools to attend universities.

The Ministry of Education and Science is the policy making body with the mandate to oversee policies and provide policy guidance. Under the Ministry, the National Commission for Higher

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<sup>42</sup> Ministry of Finance and Planning, Somaliland. Budget Outlook Paper 2023.

Education (NCHE) is a semi- autonomous agency responsible for guiding and regulating the higher education sector in Somaliland that was established in 2011. The Commission is mandated to oversee on the relevance and quality of higher education offered by all higher education institutions in Somaliland. Key functions of NCHE include Accreditation and regular inspection of universities; Setting up of quality assurance and standards for higher education institutions; Co-ordination and regulation of admissions to universities; Co-operate with the government in the planning of human resources development through accredited higher education institutions. Thus, NCHE as a main activity is expected to carry out institutional audits assessing the quality and relevance of programs and of the teaching and learning environment, as well as the appropriateness and the effectiveness of higher education institution systems of accountability and its internal review mechanisms.

### *Barriers in research production and research based education*

Somaliland is still in the process of rebuilding its education sector. The higher education sector is relatively new in Somaliland. Amoud was the first university to enroll students in 1998. University of Hargeisa opened in 1999. Since then the number of universities has increased rapidly. According to the 2017-2021 Education Sector Strategy Plan, there are between 24 and 35 recognized universities in Somaliland, with Amoud, Hargeisa, Gollis and Burao University the largest. University of Hargeisa is presently largest with about 8000 students. The higher education sector is overwhelmingly driven by private investment, with universities being founded by NGOs or private entities and funded through tuition fees. Teaching staff qualifications are low with majority of staff in the three biggest universities having only completed a bachelor degree. None of the universities have a strong research profile, and University of Hargeisa is the only one with a functioning research department.

Most students are at Bachelor level. UoH offers 7 Masters programmes and no PhD programme. The universities are challenged by a shortage of academic staff with a doctoral degree, research skills, and publication experience. The Educational Sector Analysis (2016) showed that less than 2% of permanent staff at UoH had a PhD and 5% had a Masters degree. As also reflected in the Educational Sector Strategic Plan (2017-2021), there is increasing awareness in Somaliland of the importance of improved local research capacity for the development of knowledge-based local policies, and for increasing the number of Somali academics gaining research training and experience.

Public universities receive government subsidies (in the form of property and budget) aimed at increasing access to university education. For example, the government funded the expansion of the university library at Gabiley University in 2021. The education sector budget allocation has been increasing annually (with 2020-21 as an exception)<sup>43</sup>, but the major focus is on primary and secondary education. Despite the intentions to increase the budget allocation for higher education and research, the government contribution remains limited. The public universities rely on sponsorships (e.g. several constructions at UoH sponsored by private entities), external collaborations and moderate tuition fees, which are regulated by the government and way below the private universities. Ministry of Education and Science has agreed with universities that the universities will provide 5% of students in private universities and 10% of students in public universities with scholarships.

With both limited capacity and limited funding it may not be surprising that research in Somaliland tends to be undertaken either through a small number of local NGOs whose main

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<sup>43</sup> Ministry of Finance and Planning. Citizen's Budget 2022.

organizational mandate is research, primarily focused on policy-oriented research in collaboration with external donors; or Somaliland Department of Statistics, Ministry of Planning and National Development, which is responsible for gathering data for use in policy development, relying entirely on survey research. While the research agenda may be set internally, they remain dependent on external funding for the surveys. Some government ministries also have small research units.

- ***University of Hargeisa context***

UoH is new to the BSU programme. It is a public university, established in 1999, and is presently the largest university in Somaliland (8000 students). The context of UoH is provided in the main text and the Joint Partnership Proposal submitted by UoH and its North partners.

## **2.4. Key Stakeholders in BSU IV**

For each of the partnerships the key stakeholders include

- *University management in South institutions*

In all three universities, the university management has demonstrated an interest in the success of the programme. This includes both leaders on the research and administration side. The BSU programme adopts a South-driven (or demand-driven) approach, in which the programme is designed to meet some of the needs for institutional research capacity strengthening identified by the South partner. The experience from previous phases of BSU is that this results in strong ownership.

The three universities are relatively small, which means that the budget under BSU IV is relatively larger compared to the government budget and therefore carries more weight.

It is essential for ensuring embedded implementation, and roll-out/scale-up of activities and lessons learnt to the rest of the university that the university management is aware of and involved in some BSU meetings or activities.

- *Researchers at South institutions*

Through BSU, involved researchers in South universities will benefit individually from receiving research training or other kinds of training (supervision, e-learning) which improves their own capacities, or by being assisted in developing research training in their field of interest. Research training is best undertaken, when linked with research practice. Individual researchers may therefore also benefit from being involved in small scale research that may lead to publication.

In the medium to long term involved researchers may also benefit from the strengthened research support, which may include, for example, assistance with identifying relevant grant opportunities, development of grant applications, better library search facilities etc.

Researchers at South institutions may have competing demands on their time, which may negatively impact their active engagement in implementation of activities.

- *Administrative and support staff at South institutions*

Administrative and support staff may benefit directly individually through training or skills development through implementation of tools and systems that facilitate their work. Not many programmes offer this type of systems capacity strengthening support. This can be considered a motivating factor for involvement in the BSU programme. On the other hand, the institutional capacity and systems strengthening need the involvement of administrative and support staff to be successful. It will be important that this type of staff is recognized in their own right and included in meetings and activities at par with the rest of the implementation team.

- *Researchers and administrators at North research institutions*

Researchers and administrators at North institution may benefit directly from increased network with colleagues in the south or maintenance of an existing network. Busy teaching and supervision schedules in their main function may compete for their limited time. For most faculty from Danish universities, the time for participation in BSU activities is taken from their research time rather than replacing teaching and supervision activities. This is perhaps less of a problem for involvement of senior faculty, but for junior researchers it is easy to see why it is not so attractive. The adoption of an approach that includes research training through research practice and thus contains an element of research will make it more attractive to engage in and prioritise participation in BSU.

Danish researchers that are not involved in BSU, but have research funding from other sources, e.g. FFU, in collaboration with a partner in one of the three South partner universities may also benefit – as the systems at their collaborating institute are improved and some PhD courses at least in the longer term as research capacity is strengthened and the number of courses

- *Other donors*

All three South partner universities have or have had support from other donors that touch on some of the issues addressed by BSU. The Joint Partnership Proposals introduces the main projects of relevance with funding from other donors.

In order to maximize the outcome for the resources available, the South partner universities should have an interest in coordinating the efforts of donors, although it may not always be perceived that the effort is worth it. Donors on the other hand may have an interest in building on or linking to each others activities or outcomes, as this could maximize the outcome of their own funds. In practice, the experience is that there is not a strong motivation for active collaboration. Thus, the responsibility for coordination of the donor inputs must be taken on by the coordinator at the South partner university assuming that this person has an overview over the resources available. As practiced by GU in BSU III, invitations of other donors to participate in joint meetings, e.g. annual meetings, and field trips is one way of ensuring some level of orientation and coordination. The inception phase, as the more concrete planning starts, will be a good point to review the contributions by other donors and how the concrete activities can complement or build-on each other.

- *Embassies*

Due to the demand-driven approach, the thematic areas selected by the South partners may not be directly related to some of the other programmes managed by the Embassies. The overall BSU programme is coordinated from Denmark (DFC & MFA), which may reduce the motivation of the Embassies to engage in BSU. A similar strategy to the one outlined above for donors, regarding

invitation to participate in annual meetings, have been tried in previous phases of BSU and has in some cases resulted in participation by the Embassy, while in others it has not.

## **2.5. List of documentation and sources used**

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## **2.6. Further analytic work required during implementation**

No further analytic work is planned during implementation.

### 3. Fragility, conflict and resilience

#### 3.1. Key conclusions and implications for the design of the programme

##### *Status on fragility, conflict and resilience*

From a holistic perspective, Tanzania and Uganda are considered fragile states, while Somalia is extremely fragile<sup>44</sup>. OECD States of Fragility framework assesses fragility on six dimensions (economic, environmental, human, political, security and social) on a 5-point scale from severe (1) to minor (5). The situation in Somalia is considered severe on all dimensions except the political dimension, where the situation is slightly better (Score: 2). Uganda and Tanzania are performing slightly better on economic, environmental and social fragility (Tanzania only), somewhat better on security and for Tanzania considerably better on political fragility. There is, however, subnational variation, which is not captured in the country level assessment. For example, the security situation is different in Somaliland compared to some other parts of Somalia.

The dissolution of the central government of Somalia in 1991 and the subsequent three decades of violent conflicts made Somalia one of the most fragile and vulnerable states in the world. The prevailing conflict and the absence of functioning state institutions, in combination with severe and recurrent drought and flood events, has at times (e.g. this year) resulted in massive humanitarian crises due to crop failures, food instability, losses of livelihoods and large-scale internal displacement<sup>45</sup>. In 2020, Somalia experienced a record high of 2.6 million internally IDP<sup>46</sup>, while at the same it is estimated that close 0.8 million people have left the country, mainly living as refugees in neighbouring countries<sup>47</sup>.

In Somaliland, where local political settlement has been brokered successfully, personal security and stability has prevailed. A coalition of business and political interest has created stable conditions for a small democratic administration to govern. Thus, since 2006 Somaliland has been relatively peaceful. Still, sporadic incidents of armed clashes in the border area between Puntland and Somaliland occur, and natural disasters do happen. Further, until fairly recently mistrust in the Somali Federal Government has resulted in a political situation with popular rejection of a centralized state and lack of consensus on what role the state should take<sup>48</sup>. Distrust between the Somali Federal Government and the Federal Member States and the unresolved ambiguities concerning Somaliland (amongst other) vis-à-vis the Federal Government may negatively affect the finalization and acceptance of a new constitution for Somalia<sup>49</sup>. This situation is currently being addressed through diplomacy.

The relationship between Somaliland and the federal government may affect the extent to which funds are shared between the two parties and as such could affect future sustainability of BSU. It is expected that an agreement may contribute to improved government contribution to the sector. It is unlikely that the federal government would interfere with the Somaliland education policy.

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<sup>44</sup> OECD 2022. States of Fragility 2022 - Fragility in an Age of Crises.

<sup>45</sup> Potsdam Institute for Climate Impact Research. Climate Risk Profile Somalia.

<sup>46</sup> Potsdam Institute for Climate Impact Research. Climate Risk Profile Somalia.

<sup>47</sup> REF

<sup>48</sup> World Bank. Somalia Systematic Country Diagnostic (2018)

<sup>49</sup> UN Common Country Analysis for Somalia 2020



After two decades of suffering, the Lord's Resistance Army conflict in Northern Uganda ended effectively in 2006. However, the region is still poorer and more fragile than the rest of the country, and also more subject to climate-related incidents that can further aggravate the situation<sup>50</sup>. Furthermore, Northern Uganda is hosting the majority of the about one million refugees in the country.<sup>51</sup> In 2021, Uganda was the third largest refugee hosting country in the world, with numbers increasing. Uganda has adopted an integrated service delivery approach whereby refugees enjoy the right to work, can move freely, own property and have equal access to social services like nationals. In areas with larger concentrations of refugees, mainly in the northwest, this has also resulted in additional pressures on service delivery and in some instances, caused tension with local communities<sup>52</sup>.

- *Implications for the programme*

BSU IV does not aim to address fragility, conflict and resilience per se. In order to increase ownership, accountability and sustainability BSU IV adopts a South-driven approach by which the South Universities select the thematic focus areas for research training and practice. However, the thematic focus areas chosen to some extent reflect the context in which the universities are located. For example, one of the thematic areas at GU addresses Rights, resources and gender in post-war development, with one proposed topic being Post-conflict policies and practices: Hosts and Refugees, Transitional Justice.

The implementation of the programme in a fragile context as that of Somaliland, calls for a flexible approach to management that will allow adaptation to changing circumstance, should that happen. This applies to all three partnerships. In general, the experience from previous phases of BSU is that a flexible approach has helped make better use of resources.

### **3.2. List of documentation and sources used**

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### **3.3. Further analytic work required during implementation**

No further analyses is planned during implementation.

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<sup>50</sup> Potsdam Institute for Climate Impact Research. Climate Risk Profile Uganda

<sup>51</sup> Ministry of Foreign Affairs Denmark. Country Policy Paper for Uganda 2018-2022.

<sup>52</sup> World Bank. Uganda Systematic Country Diagnostics 2021.

## 4. Human rights, Gender and applying a human rights based approach

### 4.1. Key conclusions and implications for the design of the programme

#### *Human rights standards*

Freedom House provides an overall score for real world political rights, civil liberties and freedoms enjoyed by individuals. In 2021, the overall scores were 34/100 Uganda & Tanzania, 7/100 Somalia, 49/100 Somaliland (included as a territory as opposed to an independent country)<sup>53</sup>. Uganda, Tanzania and Somaliland all score 2 points (on a scale from 0-4 points) on the question: Is there academic freedom, and is the educational system free from extensive political indoctrination?

In Uganda, academic freedom has been undermined by alleged surveillance of university lectures by security officials, and by the need for professors to obtain permission to hold public meetings at universities. Authorities often respond harshly to campus protests by student groups.<sup>54</sup>

Academic freedom in Tanzania was limited by the 2015 Statistics Act, which requires data released publicly to be first approved by the National Bureau of Statistics and prescribes fines or prison for anyone who disputes official government figures. An amendment to the Act in 2019 removed criminal liability for publishing independent data, though it was unclear whether the change would strengthen academic freedom in practice. Tanzanian academics engage in self-censorship, though scholars sometimes release reports critical of the government.<sup>55</sup>

In Somaliland, teachers and professors are often able to pursue academic activities of a political and quasi-political nature without fear of intimidation. While funds allocated for public schools are uneven across the regions, they are generally free from overt political manipulation.<sup>56</sup>

#### *Gender*

The Global Gender Gap Report 2022 calculates the Gender Gap Index (GGI) based on the gender gap on various dimensions. In 2022, Uganda was ranked as number 61 (GGI = 0.724, compared to 0.725 in 2018) and Tanzania as number 64 (GGI=0.719; up from 0.705 in 2018) globally<sup>57</sup>. Uganda is at the same level as in 2018, but Tanzania has experienced an increasing trend. There was not sufficient data to calculate the GGI for Somalia, but a recent report estimated GGI = 0.45 for Somaliland<sup>58</sup>, which is very low. The gender gap in tertiary education is of specific relevance for the BSU-IV programme. According to the Global Gender Gap Report 2022, 7.1% of females and 8.5% of males in Tanzania are enrolled in tertiary education (female/male = 0.836). In Uganda, only 4.3% of females and 5.8% of males are enrolled in tertiary education (female/male 0.741). No data is available for Somalia at large.

The *Uganda* Systematic Country Diagnostics<sup>59</sup> concludes that stronger efforts are needed on women's and girls' education, empowerment and their access to better employment. The persistent

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<sup>53</sup> Freedom House. Tanzania - Freedom in the World 2022 Country Report; Freedom House. Uganda - Freedom in the World 2022 Country Report; Freedom House. Somalia - Freedom in the World 2022 Country Report; and Freedom House. Somaliland - Freedom in the World 2022 Country Report.

<sup>54</sup> Ibid.

<sup>55</sup> Ibid.

<sup>56</sup> Ibid.

<sup>57</sup> Global Gender Gap Report 2022. World Economic Forum 2022.

<sup>58</sup> SSWC (Save Somali Women and Children). Somaliland Gender Gap Assessment. Oxfam March 2019

<sup>59</sup> World Bank. Uganda Systematic Country Diagnostic Update 2021

gender inequality severely constrains women's productivity and income generation capacity. In 2019, only 28% of Ugandan researchers were women<sup>60</sup>. Improving Uganda's human capital, particularly among the youth and the poor, and women's empowerment is key to achieve more inclusive growth and accelerate poverty reduction during the post-covid recovery

For both Mainland Tanzania and **Zanzibar** enrolment in education has improved drastically over the past ten years. For Zanzibar, gender parity has been attained at all levels, including institutions of higher learning. Unlike Mainland Tanzania, most students enrolled in higher education in public and private institutions in Zanzibar are female. In 2015/16, 55% of students enrolled in public university were female; by 2021/22, 58% of enrolled students were females. A similar distribution is reported for private university enrolment<sup>61</sup>. Although the educational attainment of women is close to that of men, their employment rates are much lower. In 2020–21, only 50 % of women were undertaking paid work or were self-employed, compared to 73 % of men. Women's human capital, thus, appears to be underused, leaving their potential to raise household incomes unexploited. Among faculty at SUZA, there is still a majority of males in higher (more senior) positions.

The low GGI for **Somaliland** indicates that women are severely disadvantaged in all of the four assessed domains, ranging from fewer economic opportunities to de facto non-representation in political decision-making processes to lower educational attainments. Higher education increases the likelihood of labour market participation among women. Girls in Somaliland are, however, less likely to reach higher levels of education than boys<sup>62</sup>.

The highest level of education was secondary school for 9.5% of females and 20.1 % of males and a university degree for 13.5% of females and 23.2% of males. Only 0.7 % of females and 2.8% of males had a masters or doctorate degree. However, disaggregation by age indicates that a shift is underway. Among those 25 years old or less, 18.1% of females and 25.0% of males had secondary school as highest education (gender gap 0.72 females/males), and 29% of females and 46% of males had a university degree (gender gap: 0.63 females/males). For the age group 26-35 years old, the gender gap for both secondary and university degrees were 0.21.

A pervasive narrative links girls' access to education with their future reproductive role rather than a working career. Educated women will raise educated children. Still, higher education remains inaccessible to many young women due to high costs and their limited mobility. In case of financial difficulties, boys are more likely to remain enrolled in school, as they are expected to be the breadwinner for their family later on. The SSWC Report recommends scholarship funds and other support mechanisms, such as women-friendly accommodation options, as instruments to retain girls and young women in formal education. Also, it is recommended to redefine the benefit of education for girls and women by demonstrating the broad benefits through role models.

### ***Implications for programme design and HRBA***

Barriers to participation may be several. Access to university education in general is, apart from gender as described above, also affected by socio-economic factors, since university education

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<sup>60</sup> Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019.

<sup>61</sup> OCGS, Zanzibar Statistical Abstract 2021.

<sup>62</sup> SSWC. Somaliland Gender Gap Assessment. Oxfam March 2019.

entails costs such as books and materials, sometimes tuition fees, board and lodging if staying outside the hometown and time (that could have been used for work). In some cases, e.g. UoH, it is not possible to receive PhD training in-country. Going abroad for PhD studies may be a barrier for women in view of the role and status of women. Even if women in principle have the same access as men, female candidates may need particular encouragement to apply in order to overcome this barrier.

With few PhD holders eligible for postdoc positions, this by nature excludes some groups from access to direct benefits in the form of postdoc training. However, in the long term, the increased number of PhD holders, would provide a more balanced pool of candidates for any postdoc programme.

To ensure transparency, calls for recruitment of students and staff will be open and transparent and selection will be based on merit. Whenever possible candidates that are underrepresented, typically women, should be encouraged to apply. All the universities have gender policies that will be reviewed, refined as necessary and adhered to.

#### **4.2. List of documentation and sources used**

Office of the Chief Government Statistician. Zanzibar Statistical Abstract 2021.

Global Gender Gap Report 2022. World Economic Forum 2022.

SSWC (Save Somali Women and Children). Somaliland Gender Gap Assessment. Oxfam March 2019.

Freedom House. Tanzania - Freedom in the World 2022 Country Report; Freedom House. Uganda - Freedom in the World 2022 Country Report; Freedom House. Somalia - Freedom in the World 2022 Country Report; and Freedom House. Somaliland - Freedom in the World 2022 Country Report.

World Bank. Uganda Systematic Country Diagnostic Update 2021

Assessing the needs of the research system in Uganda. Report for the SRIA programme. UKaid 2019.

#### **4.3. Further analytic work required during implementation**

Gender dis-aggregated data will be used for monitoring of the programme.

## 5. Climate change and environment

### 5.1. Key conclusions and implications for the design of the programme

#### *Impact of climate change and environmental degradation on development*

**Uganda** has substantial natural resources, but also faces several challenges such as high population growth and consequent pressure on resources, post-conflict conditions in the North, and soil erosion and degradation. In addition, climate change stressors may further exacerbate these challenges as Uganda is at risk to natural disasters. Extreme weather events leading to disasters such as floods, droughts and landslides have increased over the past 30 years. The Northern, Western and North Eastern regions have experienced more frequent and longer lasting droughts over the past 20 years.

Uganda's vulnerability to climate change is worsened by its high dependence on climate-sensitive sectors such as agriculture, fishery, forestry and tourism. The economy had begun a transformation characterized by a reduction in the workforce employed in farming towards industrial production and expansion of the services sector, as well as a rapid increase in access to digital technology. However, most of the poor remain in the agricultural sector and continue to be vulnerable to weather shocks and climate change.

In 2015, Uganda adopted a National Climate Change Policy. The SDGs have been mainstreamed into Uganda's development plan and the Uganda Green Growth Development Strategy. A particular focus is on protection of the economy and livelihoods of the population, which is highly dependent on natural resources. Priorities are focused on increased adaptation for key sectors of agriculture, water, energy and health. Ensuring sustainable management of environmental resources is vital for growth and poverty reduction especially with growing population pressures and increasing effects of climate change

The Climate Risk Country Profile for Uganda identified research gaps, which amongst other include Widen the participation of the public scientific institutions women and local communities in planning and management, account for approaches and methods of gender equity; Gain better understanding of the timing and magnitude of incidence of important climate change indicators as well as the key vulnerabilities, development impact, and possible adaptation responses; and Strengthen technical capacity to integrate climate-smart agriculture and climate change risk management into the agricultural sector.

Rising temperatures, longer drought spells, more intense heavy rainfall and sea level rise all contributes to **Tanzania** being the 26th most vulnerable country to climate risk. Due to the topographical diversity Tanzania has four distinct climate zones, of which Zanzibar belongs to the hot and humid coastal belt. Climate change is likely to affect agriculture (reduced food crops; degradation or loss of suitable crop land), availability of water resources, human health, infrastructure and ecosystems. Human health may suffer due to increased risk of vector borne diseases (e.g. malaria, dengue), water borne diseases, increased malnutrition due to decreased agricultural productivity and increased morbidity and mortality related to heat stress. Tanzania's marine ecosystems are globally significant, and also important for the tourism sector in Zanzibar. Tourism accounts for around one fifth of foreign exchange earnings. The ecosystems are now at risk from combined climate (and non-climate) stressors, such as increasing ocean temperature, sea level rise and saline intrusion the threaten mangrove forests and coral reefs.

In ***Somalia***, increasing temperatures and high variability in precipitation between years, resulting in both drier and wetter years, contributes to high uncertainties regarding projection of crop yields. Rising temperatures and large increase in number of very hot days are likely to result in increased exposure to heat waves and will likely lead to increase in heat-related mortality. Concerns about the effects of climate change are rising, including increasing temperatures, changes in precipitation patterns, water availability and occurrence of extreme weather events. Recurrent floods and droughts in recent years have contributed to sharp declines in livestock and crop production. Climate change impact combined with unregulated and unsustainable water and land use practices, eg. deforestation for charcoal production and overgrazing, are exacerbating pressures on already scarce arable land and water resources.

Climate change threatens the health and sanitation sector through more extreme events such as floods, droughts and storms. Decades of civil war and instability means that the health system suffers from lack of resources and adequate data. Morbidity and mortality trends are not decreasing. Key challenges include waterborne diseases, acuter respiratory infections, malaria, malnutrition, tuberculosis and vaccine preventable diseases (Somaliland DHS 2020). The Covid-19 pandemic has exacerbated these health challenges and climate change can further add to this through negative impacts on food and water supply, which in turn may increase the risk of malnutrition, hunger and death by famine.

The Federal Government of Somalia with support of the United Nations approved the National Charcoal Policy, National Forestry Policy and a gender-sensitive National Water Resources Strategy, while the Climate Change Policy was approved in Somaliland.

### ***Screening for climate and environment risks and opportunities***

The programme does not include any increased climate and environmental risks. The focus in State University of Zanzibar in terms of research thematic areas in environmental public health and marine ecosystems may contribute to improved environment directly through pilot projects and in the medium to long term through increased research training capacity and new knowledge in this area that may inform future environmental policies, strategies and interventions. The development and strengthening of e-learning capacity and use of virtual platforms for meetings may contribute to reduce environmental and climate effects related to travel.

### ***Implications for the design of the programme***

In order to increase ownership, accountability and sustainability BSU IV adopts a South-driven approach. This meant that the South universities were asked to select thematic focus areas in which the institutional research capacity strengthening could be anchored. The thematic focus should be in line with national and university needs and priorities and with Danish priorities more broadly, amongst which environment and climate change. Nevertheless, all three universities have selected thematic areas that contains aspects of environmental management or climate change. The focus areas of SUZA are environmental health and marine eco-systems. GU under the thematic umbrella Transforming education will have one focus on Sustainable development and climate change mitigation: innovation, education and community engagement. UpH under the Public Policy and Governance thematic area intend to obtain data and knowledge on interrelated economic and social consequences of climate change and adaptation, including policies and governance issues.

## **5.2. List of documentation and sources used**

Climate Risk Profile: Uganda (2021). The World Bank Group.

Climate Risk Profile: Somalia (2022). Potsdam Institute for Climate Impact Research, Adelphi 2022.

Climate Risk Profile Tanzania. Fact Sheet. USAID June 2017.

World Bank 2022. Towards a more inclusive Zanzibar Economy. Zanzibar Poverty Assessment 2022.

Somaliland Demographic and Health Survey 2020.

## **5.3. Further analytic work required during implementation**

No further analytic work is planned.

# **6. Capacity of public sector, public financial management and corruption**

## **6.1. Key conclusions and implications for the design of the programme**

SUZA and GU have both participated in the previous phase of BSU. The Evaluation of the Danish support to development research and the mid-term reviews of the BSU III does not suggest that there are any problems with the current procedures. Based on funding requests from the South university DFC transfers funds to the South university against the budget. Funds to be used by Danish partners directly to the coordinating university in Denmark. The South partners on annual basis submit the combined accounts for the partnerships to DFC. The accounts are audited. This procedure mirrors the situation of an external research grant, which the university should have the system to handle as part of normal practice.

Part of the BSU support has been used to strengthen university systems, including as necessary strengthening of research fund management and financial management systems. DFC also provides guidance and assistance in the management and reporting regarding BSU funding.

UoH is new to the BSU programme, but has experience with managing external research funding from different external funders. For example, University of Hargeisa has previously been a partner in a FFU research project (GOVSEA). Strengthening of research management including the financial management systems is an element of the BSU programme. Therefore a needs assessment is planned to identify which activities can be implemented to make the systems more efficient.

## **6.2. List of documentation and sources used**

Interview DFC managers

Ministry of Foreign Affairs Denmark. Evaluation of Danida Support to Development Research (2008-2018).

Danida Fellowship Center. Mid-term Evaluation of BSU III. 2020.

## **6.3. Further analytic work required during implementation**

During the inception phase the needs for strengthening the financial management capacity and system at all three partner universities will be assessed. Based on this any necessary support will be designed and implemented as an integral part of the partnership activities.

In the inception phase, the partners are also expected to reach an agreement regarding the partner(s) in South-South collaboration. Once a final decision has been made, the financial management capacity and readiness to receive Danish funds at the South collaborating partner university should be ascertained.



## Annex 2: Partner Assessment

### 1. Brief presentation of partners

The three universities are characterized by being smaller and relatively young. They are predominantly focused on undergraduate and graduate education, but all have strategies to move towards being research-based and increasing outreach activities. All three universities have expressed a strong interest in strengthening the research capacity at systems level and has demonstrated ownership to the process of developing the BSU programme. All three universities are also characterized by having researchers that are partners in FFU-supported research projects.

**Gulu University** established in 2003 and located in Northern Uganda has participated in previous phases of BSU. At present, there are about 4500 students enrolled and 254 academic staff. GU mission is ‘to provide access to quality higher education, training, research and innovations for the delivery of appropriate services towards community transformation and sustainable development’. Although the proportion of academic staff with a PhD has increased in recent years (from 10% in 2017 to 30% in 2022), and the research support functions have been strengthened, there is still a significant gap and need for consolidation of achievements. Under BSU III the thematic focus areas have been a) Transforming education and b) Rights, resources and gender. The focus of BSU IV will continue within these thematic areas, and with more focus on capacity for interdisciplinary collaborative research and outreach activities.

**State University of Zanzibar** established in 1999 has participated in previous phases of BSU. At present, there are about 6000 students enrolled and 316 academic staff, of which a minority are PhD holders. SUZA aims to strengthen quality of research and research-based education by upgrading and expansion of research capacity. The research capacity has increased both through research training and strengthening of systems, but some gaps remain. Under BSU III the thematic focus areas have been a) Environmental public health and b) Marine and coastal ecosystems health and services. The focus of BSU IV will continue to anchor activities within these two thematic areas (more narrow), and with more focus on capacity for more complex-intervention based research and outreach activities.

**University of Hargeisa** established in 1999 is new to the BSU programme. The University has the mandate by law to teach and conduct research, disseminate and publish research outputs, engage in innovations, and provide community services. At present, the university has enrolled around 8000 students, mostly in BA programmes, and 370 academic staff, of which by end 2022 less than 10% are PhD holders. UoH has 29 Departments offering under-graduate programmes. The School of Graduate Studies offers 7 Master degree programmes, but no PhD programmes. UoH has prioritized the thematic areas of a) Public policy and governance and b) Public Health with focus on Maternal and child health and Vector-borne diseases.

**Expected synergies between GU, SUZA and UoH:** Compared to BSU III, BSU IV puts more emphasis on South-South collaboration. The three universities have the same overall missions, face some of the same challenges and can benefit from sharing experiences and collaboration in some areas. In particular, UoH is expected to benefit from GU’s and SUZA’s experiences in research capacity strengthening and partnership with Danish universities. Potential synergies exist where there are overlap in selected thematic research areas, e.g. co-development of generics courses for students and staff such as academic writing, research methods, grant application writing, teaching and supervision skills, but especially also in

relation to strengthening of research support systems, e.g. post graduate programme management, grant management, plagiarism control systems, etc.

**Danida Fellowship Center**, Denmark, has within its mandate and agreement with the MFA to manage and implement Danida's learning programme and to administer Danida's research assistance. Research administration includes both development research grants approved by MFA with support from the Research Committee for Development Research (FFU) as well as institutional research capacity development (BSU). Thus, DFC is managing the overall BSU III implementation. The agreement with MFA runs for three years, with the most recent being 2020-2022. A new agreement is under development.

## **2. Summary of partner capacity assessment**

### **Gulu University**

*Strengths (internal):* GU has demonstrated strong project ownership and commitment from senior management to the implementation of BSU III. In partnership with a consortium of Danish universities coordinated by Aalborg University, GU has overall successfully led the joint project planning and implementation of BSU III without major delays – except for delays related to the Covid-19 pandemic. Key achievements in BSU III include that some staff were upgraded, a number of Masters and PhD programmes were developed and accredited, and a Center of Excellence for ICT and learning was established. A gender policy was developed. The staff attrition rate at GU is relatively low.

*Weaknesses (internal):* Still, only a minority of academic staff holds a PhD and can contribute effectively to research training. While the increasing number of students is a good sign, it also puts the existing academic staff under increasing pressure. Especially, there is a need for more competencies in interdisciplinary research. Potential synergies with existing FFU projects have not been fully utilized. Research communication beyond academia is weak and not systematic.

*Opportunities (external):* Uganda's overall research system is well-structured. Although the sector is inadequately funded, the recent National Development Plan has a strong focus on research and development and innovation, however, it remains to be seen what this means in practice. The covid-19 pandemic has led to increased recognition of needs for, and receptivity towards, new ways of teaching. At local level, Adjumani District local government and civil society organisations are collaborating on a documentation center for hosts and refugees and interested in having GU onboard. An increasing number of international calls for research grant applications targets the global south.

*Threats (external):* Macro-economic challenges may in general put the finances of the government and hence the university under financial pressure in a situation where funding for research is already low. There are few funding opportunities for research, especially for junior researchers, which may limit the extent to which recently graduated PhDs will be able to further develop their research skills and build a CV that will eventually help them attract research grants. Decision-makers may not be interested in basing decisions on research findings, cannot wait for results or do not see the relevance of the results. Even if they are, national level decision-makers may tend to turn to Makerere University in Kampala rather than Gulu University (or other universities at some distance from Kampala).

## **University of Hargeisa**

*Strengths (internal):* UoH has a good reputation within the country. The undergraduate programmes are well-established and is attracting an increasing number of students. There is a strong and growing alumni network, which the university can draw on. The location in the capital of Somaliland means that UoH has been able to draw on qualified external part time lecturers, for example from the public administration. UoH has land available for future physical expansion, and has a relatively better infrastructure for core activities. UoH has been able to mobilize external funding from international and domestic sources for various small and gradual expansions, e.g. of some specific laboratory facilities.

*Weaknesses (internal):* Although UoH has access to part time lecturers due to the location in Hargeisa, UoH on the other hand suffers from lack of permanent academic staff. The university focus has until now been on education, and the transformation towards more research and community outreach is challenged by lack of research and community service interest among academic staff and low research output. The environment for teaching and learning processes is below standard and include outdated library resources and systems, although UoH has managed to mobilize some local resources to improve the aged library infrastructure. The IT infrastructure is insufficient and in general, the student and staff support services are inadequate. The communication of the limited research is weak, and there is a lack of effective marketing of the competencies at the university and outreach programme to communities and users of research, including also potential funding channels. UoH's finances is over dependent on student tuition and lacks diversification in income generation.

*Opportunities (external):* The increasing number of school leavings students increases the recruitment base for the university. There is an increasing demand for graduate education and as a public university with good reputation UoH has some advantage. The non-existence of strong local research and consultancy institutions may provide an opportunity for UoH to contribute to filling the gap. The increasing and strong network of UoH alumnis provides an opportunity for mobilization of future resources for UoH. It is feasible to create an endowment fund for the university. In recent years, UoH has been able to increase its number of partners both national private sector and international.

*Threats (external):* Even if UoH may have the option to employ more permanent staff, there is a general lack of permanent senior and qualified academic staff in the country. Hence, the further development of UoH may be challenged by competition from other universities for academic staff as well as for other resources. Although there is an increasing number of school-leaving students, the precarious educational background of some students may pose a threat to the quality of the university education and/or the students' ability to complete their university education. Non-existence of a suitable job market for graduates in a weak macro-economic environment, may in the longer run limit the recruitment and reputation of the university, so it will be of utmost importance to design and target graduate programmes to needs. Gender mainstreaming may no be welcome in a conservative society. Limited interest from external research networks to collaborate with UoH on joint research projects. Lack of regulation of higher education in Somalia, and unclear relationship between the national and state government may pose a threat as there may be changes to the regulatory framework, if agreements are made and there could be delays, e.g. in accreditation, ethics clearance etc, if responsibilities are unclear.

## **State University of Zanzibar**

*Strengths (internal):* SUZA has a good reputation in Zanzibar, and have good links to the RGoZ. SUZA has been strongly committed to the implementation of BSU III. The long-term partnership with Danish universities has created mutual trust and understanding, which facilitates

smooth implementation and adaptation to emerging needs and opportunities. SUZA has demonstrated the ability to lead the joint management and implementation of BSU III without major delays (except for delays linked to the Covid-19 pandemic). Key achievements in BSU III have added to the strengths, such as increase in staff with research qualification and experience, accreditation of Masters and PhD programmes, improved library systems, e-learning capacity and insectarium and associated molecular laboratory. In partnership with Danish and other universities, SUZA can attract external research grants.

*Weaknesses (internal):* In general, there is a lack of staff with experience in research, lack of a research culture and insufficient financial resources for research. Furthermore, high workloads among lecturers due to low number of academic staff and increasing number of students, limits time for research and development of research training. Although the situation in the BSU focus areas has improved significantly over the past decade, there are still key competence areas not covered (e.g. intervention-based research capacity) and junior researchers are challenged in finding time and funding opportunities for continuing doing research, gaining experience and developing their skills further. Capacity in engagement and research outreach to communities and other stakeholders is limited.

*Opportunities (external):* The national strategic framework gives priority to research as a driver of development, and aim to increase funding allocations to research and development. Whether this is in practice an opportunity for increased resources for SUZA still remains to be seen. External researchers are increasingly interested in joint applications with SUZA researchers for international research grants. An increasing number of international calls for research grant applications targets the global south.

*Threats (external):* Inadequate supply of qualified students for intake to university programmes. Low interest among communities to participate in interventions. Delays of interventions, which require approval from authorities, e.g. Ministry of Education to approve changes in school curriculum. Insufficient funding for or priority given to maintenance and expansion of adequate internet connections for faculty and students. Limited culture of evidence-based decision-making may reduce uptake of research.

**GU, SUZA and UoH:** Strengthening of university systems, including financial management, is part of the support under BSU IV. In the Inception phase, an assessment of financial management systems and capacity will be undertaken in all three universities to identify any needs.

**Danida Fellowship Center:** DFC manages a large portfolio of research grants, the BSU programme and other learning activities, and is hence very experienced in programme management. A recent review of DFC concluded that with regard to BSU, the partnerships with universities are in general well-managed. Partners appreciate the swift and reliable support provided by DFC on a continuous basis. Both the *Evaluation of Danida support for development research* and the *Mid-term review of BSU III*, concluded that BSU is overall producing good results. A weakness has been the annual programme level progress report with aggregate results, which has not been prioritized and has been difficult to implement due to variations in indicators selected by different South-North partnerships. The shift from BSU phase III to IV and the decrease in number of BSU South-North partnerships provides an opportunity for DFC to streamline the annual progress reporting and align the management of BSU closer to the MFA's Aid Management Guidelines.

### 3. Summary of key partner features

Name of Partner	Core business <i>What is the main business, interest and goal of the partner?</i>	Importance <i>How important is the project/ programme for the partner's activity-level (Low, medium high)?</i>	Influence <i>How much influence does the partner have over the project/ programme (low, medium, high)?</i>	Contribution <i>What will be the partner's main contribution?</i>	Capacity <i>What are the main issues emerging from the assessment of the partner's capacity?</i>	Exit strategy <i>What is the strategy for exiting the partnership?</i>
<b>Gulu University (GU)</b>	<p>Core business: Teaching (undergraduate, graduate and post-graduate), research and dissemination.</p> <p>Goal: To become a recognized full-fledged research based university producing high quality graduates and high quality research of relevance to society</p>	<p>Medium to high</p> <p>Few other projects supporting research capacity strengthening</p>	<p>High</p> <p>The project is South-driven and implemented in collaboration with a consortium of Danish universities with Aalborg University as coordinator on the Danish side.</p> <p>During the inception phase the partnership led by GU will develop a detailed implementation plan up to end 2025. In 2025, an implementation plan for the remaining period will be developed in a process led by GU. The implementation plans will be approved by MFA and DFC.</p>	<p>Responsible for overall management of the implementation at GU</p> <p>GU will allocate staff time to participate in development of research capacity, e.g. participation in joint development and implementation of new courses, training activities, collaborative pilot research etc.</p>	<p>Strength: Strong ownership and commitment. Ability to manage BSU III and implement successfully.</p> <p>Weaknesses: Low number of academic staff with PhD training. Insufficient competencies in interdisciplinary research. Potential synergies not utilized. Research communication beyond academia weak.</p> <p>Opportunities: Local government and CSO interest in collaboration. Increased recognition of needs for new ways of teaching.</p> <p>Threats: Lack of interest in evidence-base among decision makers. Inadequate government funding</p>	<p>The project has focus on sustainability, e.g. fully functional research grants management desk is expected to result in additional external funding in selected thematic areas, strengthening post-graduate education by training future trainers. Increased focus on South-South collaboration.</p> <p>Exit strategy to be discussed at mid-term review.</p>
<b>University of Hargeisa (UoH)</b>	<p>Core business: Teaching (undergraduate, graduate and post-graduate), research and dissemination.</p> <p>Goal: To become a recognized full-fledged</p>	<p>High</p> <p>Very few other projects supporting research capacity strengthening</p>	<p>High</p> <p>The project is South-driven and implemented in collaboration with a consortium of Danish universities with University of</p>	<p>Responsible for overall management of the implementation at UoH</p> <p>UoH will allocate staff time to participate in development of research capacity, e.g.</p>	<p>Strength: Strong interest, ownership and commitment. UoH management prioritise (albeit small) efforts and own resources on research capacity strengthening.</p>	<p>The project has focus on sustainability, but research training capacity strengthening takes time. Upgraded staff is expected to do better research and teaching and</p>

	research based university producing high quality graduates and high quality research of relevance to society		<p>Copenhagen as coordinator on the Danish side.</p> <p>During the inception phase the partnership led by UoH will develop a detailed implementation plan up to end 2025. In 2025, an implementation plan for the remaining period will be developed in a process led by UoH. The implementation plans will be approved by MFA and DFC.</p>	contribute to thorough needs assessment, participation in joint development and implementation of new courses, training activities, pilot research etc.	<p>Weaknesses: Limited number of graduate programmes, no postgraduate program. Limited number of academic staff with research training. Low level of research culture. Insufficient research infrastructure and management systems. Limited interest and experience in outreach.</p> <p>Opportunities: Increasing student recruitment base. Increasing network of alumnis. Increase in partners in national private sector and international.</p> <p>Threats: Inadequate government funding. Lack of qualified candidates for graduate and post graduate training. Lack of interest in evidence-base among decision makers. Lack of regulation of higher education in Somalia.</p>	However, it is expected that UoH will need support over an extended period after BSU IV completion, if the improvements in research capacity are to be sustained, and the potential improvement is fully to materialize, e.g. strong active research groups takes time to develop.
<b>State University of Zanzibar (SUZA)</b>	<p>Core business: Teaching (undergraduate, graduate and post-graduate), research and dissemination.</p> <p>Goal: To become a recognized full-fledged research based university producing high quality graduates and high quality</p>	<p>Medium to high</p> <p>SUZA has attracted other funding and partners for research and research capacity strengthening. However, needs are still high, and the long-term partnership with Danish contributes to the perceived importance.</p>	<p>High</p> <p>The project is South-driven and implemented by SUZA in collaboration with a consortium of Danish universities with University of Copenhagen as coordinator on the Danish side.</p>	<p>Responsible for overall management of the implementation at SUZA</p> <p>SUZA will allocate staff time to participate in development of research capacity, e.g. participation in joint development and implementation of new</p>	<p>Strength: Strong ownership and commitment. Ability to manage BSU III and implement successfully. Some research capacity in thematic areas by end of BSU III. Some ability to attract external grants.</p>	<p>The project has focus on sustainability, e.g. expects to generate additional external funding in selected thematic areas, strengthening post-graduate education by training future trainers and creating active research groups. Increased focus on</p>

	research of relevance to society		<p>During the inception phase the partnership led by SUZA will develop a detailed implementation plan up to end 2025. In 2025, an implementation plan for the remaining period will be developed in a process led by SUZA</p> <p>The implementation plans will be approved by MFA and DFC.</p>	courses, training activities, intervention-based research, and outreach activities etc.	<p>Weaknesses: Junior researchers do not get opportunities for developing research skills and experience. Insufficient research competencies in some areas (e.g. implementation research). Research communication beyond academia weak.</p> <p>Opportunities: Increasing interest from external partners, and number of relevant research calls. Increased RGoZ focus on research and development.</p> <p>Threats: Inadequate government funding. Delays in approvals by authorities. Lack of interest in evidence-base among decision makers.</p>	<p>South-South collaboration.</p> <p>Exit strategy to be discussed at mid-term review.</p>
Danida Fellowship Centre	Manage and implement Danida's learning programme and to manage Danida's development research support, including research grants as well as institutional research capacity development (BSU).	Medium	Medium to high	Overall management of the BSU implementation. Support partnerships on project management issues, including financial management. Overall annual review and annual progress reporting to MFA.	<p>High level of experience with grant management and with management of BSU III. Highly appreciated by BSU partners.</p> <p>Quality and frequency of progress report could be improved.</p> <p>Shift between phases may be opportunity to improve monitoring of BSU implementation.</p>	Not planned

### Annex 3: Theory of Change and Results framework

#### Theory of Change and key assumptions

The programme aims to enhance the role of East African universities as providers of scientific knowledge as well as research-based education and advice to society. It involves capacity building of the three East African universities through partnerships with Danish as well as leading national or regional universities. The strategic objectives are to contribute to a) improved quality of research-based tertiary education within selected thematic areas leading to high-quality graduates who will contribute to society through relevant employment; b) more and better quality research from the three African universities which contributes to knowledge of particular relevance to sustainable development nationally, in Africa and globally; and c) increased use of results from applied research by both public and private stakeholders in the three countries.

The intended programme outcomes for BSU IV are:

- 1) South universities have stronger and more sustainable organisation and systems for research training and research processes which contributes to effective research-based learning, timely graduation of an increasing number of post-graduate students and research production within the thematic areas;
- 2) South universities have stronger and systematic research outreach and dissemination practices and networks which contributes to increased relevance and use of research
- 3) South universities have stronger and well-functioning research and teaching support in the form of stronger and more effective administrative frameworks, grant management and e-learning support

The theory of change can be summarized as follows: **IF** research training capacity is strengthened and **IF** the research environment including supporting administrative systems and organisation is improved and **IF** there are effective knowledge management systems in place to encourage uptake of results, **THEN** this will lead to higher quality and more relevant research, to a better qualified workforce through improved higher education, to improved products and services and to evidence-based policy-making, which will eventually contribute to the SDGs. At a lower level, **if** the qualifications of existing academic staff are strengthened through research-based Master and PhD training, and **if** relevant Master programmes are strengthened/developed to increase the recruitment base for PhD programmes, **then** research training capacity at the universities will increase. Also, **if** the quantity and quality of university outreach and dissemination is strengthened and **if** linkages to users of research in communities, private and public sector is strengthened, **then** more effective knowledge management systems providing relevant research communication and dissemination will encourage research uptake.

Key assumptions include:

- There is commitment and high-quality leadership in the South universities and that research capacity strengthening is included in university development plans. The previous experience from BSU phases in which a South-driven approach has been applied has overall demonstrated a high level of commitment, ownership and leadership, especially in the smaller universities like the three universities included in BSU IV. It is likely that this will continue. UoH is new to the partnership, and as such there is no experience to build



on, but UoH has taken on leadership and demonstrated commitment from the university management in the development of the university concept note and the joint partnership proposal. All three universities have strategic plans that include research capacity strengthening, but to a varying level of operationalization.

- There are effective systems to ensure accountability in competitive research funding. All three universities already practice open calls, and this has also been practiced in previous BSU phases, where Danish partner universities have participated in the process. The BSU IV research support component can contribute to strengthen these systems, if it turns out to be necessary.
- There are well-functioning institutional arrangements for programme management. This assumption is based on the experience from previous phases of BSU, in which programme management has worked relatively well and where the BSU programme itself has helped strengthen the university systems. Programme management functions best, when the South University appoints a coordinator and anchor BSU administrative tasks with a dedicated staff. All three universities have appointed a coordinator, and UoH has linked up with GU and SUZA and is learning from their experience. The BSU IV research support component aims to and the assessments of needs to strengthen university management systems, especially at UoH, will be part of the inception phase. This will also include an assessment of financial management systems in all three universities. The coordination of the South-North partnership has worked well in BSU III for GU and SUZA, and it is expected that this will continue and that similar arrangements will work well for UoH. It is assumed that institutional arrangements for programme management of increased South-South partnering will work well, but there is less evidence to build on and this will need to be monitored more closely.
- There is a balance between the teaching and research mission of the university, which is reflected in the workload of academic staff involved in the program implementation. E.g. involved staff should be given sufficient time to engage in BSU IV activities and be relieved of other duties as necessary. Based on previous experience this can be a challenge, especially in universities where there is limited capacity in terms of academic staff with relevant background. This may result in delays in implementation and it is important that this be taken into account in the implementation planning during the inception phase and that this is continuously monitored.
- There is sufficient interest from potential students to take up the opportunities provided for post-graduate training. Based on experience so far, this has not been a problem at GU and SUZA. UoH also expects this assumption to hold, as there are interest for the limited opportunities already provided by UoH.
- There is interest among potential users of research outputs in target sectors to engage with the universities and to use the research findings.

It is further assumed that research and outreach capacity is most effectively developed when activities are focused within few thematic areas and include some research elements. Although BSU is not a research programme, research capacity strengthening requires an element of research because research training cannot be meaningfully delivered without hands-on research training. Furthermore, this enables participation in international research networks, which are important assets for research capacity because these are sources of up to date knowledge on, e.g., research methodologies, and of partners for collaboration and joint funding applications, which will help sustain and further strengthen the institutional research capacity. Finally, the research element is

required, because faculty in both South and North universities need to get merit through publications and research grants in order to be promoted and are less likely to prioritize full engagement in BSU programme activities, if there is no such research element.

The thematic focus of activities is assumed to be most effective, because collaborative pilot and thesis research work as well as PhD programme development within a thematic area will demand joint efforts involving students (PhD/Masters), junior researchers (postdocs) and senior researchers from both South and North with similar interests, which will help foster active thematic research groups. Furthermore, because they involve researchers at various levels of seniority and with varying experience, collaborative pilot research projects will contribute to the strengthening of an institutional culture of good research practice with active thematic research teams as the foundation. In this way, BSU capacity strengthening both involves strengthening of individuals and strengthening the university systems.

The theory of change and the key assumptions will be revisited during the mid-term review and at the end of the programme.

### **Indicative Results framework for Building Stronger Universities (BSU), Phase IV**

The table below shows the indicative programme results framework, which is based on the indicative outputs provided in the three joint partnership proposals.

During the inception phase, each partnership will meet to develop implementation plans and results frameworks, including baselines and targets. The overall implementation plan, budget and results framework will be approved by DFC and MFA. The final programme level results matrix will be based on these.

<b>Programme Objectives</b>	More and better quality research is increasingly used to inform policies, decision-making and practice in the public and private sector and in communities to promote sustainable development in selected thematic areas
<b>Impact Indicators</b>	As evidenced by researchers' participation in national and local committees and by interviews of stakeholders: Uptake of research findings in public policies Use of research findings in private and public sector for decision-making Use of research findings by local communities
<b>Baseline 2023</b>	[Situation prior to commencement of activities]
<b>Target 2028</b>	[intended situation by the end of project (phase)]

<b>Outcome area 1</b>		The BSU South universities have stronger and more sustainable organisation and systems for research training and research processes	
<b>Outcome indicators</b>		Number of PhD and Master students graduated within thematic area annually – by gender Number of research products by participants in thematic areas (submitted/accepted manuscripts in peer-reviewed journals annually; books) – by gender of first author Research groups are stable and perceived by junior researchers to be vibrant with an open culture for discussion. Number of research grant proposals submitted and granted – by gender	
<b>Baseline</b>	<b>Year</b>	2023	[Situation prior to commencement of activities]
<b>Target</b>	<b>Year</b>	2028	[intended situation by the end of project (phase)]

Output 1.1		By 2028, at least XX thematic research groups are established and functional within BSU thematic areas in all three universities. They include a mix of PhD students, early career researchers (PhDs, postdocs) and senior researchers, and have a brief concept paper with aims and agenda as well as regular meetings.	
Output indicator		Number of research groups and active researchers attached and available concept papers Number of active research group members by gender	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 1.2		By 2028, early career researchers (postdoc) actively use their skills to produce research	
Output indicator		Number of manuscripts developed by early career researchers – by gender	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 1.3		By 2028, XX PhD and Master courses are developed/revised and implemented in BSU thematic areas	
Output indicator		Number of approved additional courses and revised curricula; improved supervisor skills confirmed through survey among PhD students	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 1.4		By 2024, a needs assessment and development plan for PhD programme is in place and implementation started (UoH)	
Output indicator		Plan for PhD programme development available	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 1.5		By 2028, XX PhD students and YY Master students have enrolled and graduated with support from BSU IV	
Output indicator		Number of PhD and Master students graduated with support from BSU IV – by gender	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 1.6		By 2028, research capacity has been increased through the joint implementation of collaborative pilot research projects in three universities.	
Output indicator		Projects finalised as per progress report Number of manuscripts submitted.	

Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

<b>Outcome area 2</b>		The BSU South partner universities have stronger and systematic research outreach practices and networks	
Outcome indicators		<p>Skills and experience of individual researchers enhanced with regard to research communication, stakeholder engagement and outreach practices</p> <p>Individual researchers have expanded their network in academia and relevant national and international organisations and have experienced cross-organisation collaboration.</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 2.1		By 2028, community outreach practice is an integral part of research projects	
Output indicator		<p>Percentage of on-going and completed studies within the past year with community outreach activities</p> <p>Number of outreach activities undertaken - per project</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 2.2		By 2025, tools and methods for marine ecosystem monitoring and protection have been developed and are being implemented at SUZA	
Output indicator		<p>Report on progress in progress report.</p> <p>Data available.</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 2.3		By 2028, the networking activities nationally, regionally and internationally has increased	
Output indicator		<p>Number of study stays in other research institutions by researchers working in the thematic areas – by gender</p> <p>Number of conference participation – by gender</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

<b>Outcome area 3</b>		The BSU South universities have stronger and well-functioning research and teaching support in the form of stronger and more effective administrative frameworks, grant management and e-learning activities	
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Outcome indicators		<p>Researchers and postgraduate students experience well-functioning university administrative systems (e.g. research student management, grant management, financial management) and better services (e.g. access to library resources, digital access)</p> <p>Systematic use of e-learning is taking place and perceived as well-functioning by researchers and students.</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 3.1		Academic staff capacity in supervision and skills in different disciplines (to facilitate multidisciplinary collaboration) has been strengthened and a plan for systematic capacity strengthening is in place	
Output indicator		<p>Number of staff who participated in short courses – by gender (and topic)</p> <p>Plan for systematic capacity strengthening of junior and senior researchers in place</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 3.2		Systematic use of e-learning is taking place and OBL courses are integrated with PBL and other research	
Output indicator		Number of postgraduate e-learning courses undertaken annually	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

Output 3.3		A fully functional grant management/grants support unit is in place in two universities	
Output indicator		<p>Fully functional grant management/grants support unit in place according to progress report</p> <p>Survey among researchers rate services of the unit high</p>	
Baseline	Year	2023	[Situation prior to commencement of activities]
Target	Year	2028	[intended situation by the end of project (phase)]

### Annex 3: Risks and risk management

#### Contextual risks

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background to assessment
Covid-19 infection and possible lockdown	Unlikely	Major	Reduce negative effects by adoption of and strengthening use of virtual platforms. Have plan B for data collection: In study designs, e.g. for PhD projects, consider up front second-best options for collecting data (virtual/phone, by local research assistants on site, in limited target group/geographical area) and emphasis/content of project.	A minor risk of delays remain. Recent pandemic showed how virtual platforms could be used.	Staff with health background may be required to participate in emergency response Past BSU efforts in developing e-learning has helped and will continue.
Conflicts/civil unrest	Unlikely/ Likely	Major	Reduce negative effects by adoption of virtual platforms to the extent possible. Have plan B for data collection (for details see above).	Limited access to intervention area. Limited ability of students and staff to participate in activities. Virtual platforms may not work.	In Zanzibar this is not expected. Both Northern Uganda and Somaliland has been relatively stable for some time, but the risk remains. Depending on the nature of any conflict, implementation could be difficult.
University budgets are unpredictable and cut due to changing government priorities or financial crisis	Likely	Minor	Improved coordination with other donor supported initiatives to maximise benefits of the limited resources. Flexibility to adapt to changing situation.	The negative consequences can to some extent be mitigated .	While the impact on the programme as such may be minor, it may affect sustainability in the longer term, if the situation persists.
Budgetary risks due to economic recession and high inflation	Likely	Minor	Monitor development and realign activities to suit the budget	Negative consequences can be reduced by timely planning, but at the bottom line reduction in purchasing power implies that less can be obtained.	Reduction in purchasing power will reduce/ the activities that can be implemented

## Programmatic risks

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background to assessment
Lack of commitment and leadership in the partner institutions	Unlikely	Major	Demand-driven programme focusing on institutional strengthening; Monitoring and follow up by DFC and Danish partners	The risk is expected to remain low.	The evaluation of previous phases has shown a high level of commitment and ownership in the smaller universities
Weak staff incentives on work on BSU supported activities in both North and South universities	Likely	Major	Room for pursuing joint research interests through thematic focus; adequate compensation; building on/offering long term relationships	The risk is significantly lower.	Participants in the BSU programme have raised this issue many times. Researchers gain merit from research publications and winning grants. Lack of incentives may limit the researchers who want to be involved and may be especially problematic for younger researchers in Danish universities.
Key persons have many tasks: Availability of qualified and sufficient number of staff on both sides to lead and run the collaboration timely and adequately	Likely	Minor	Up front recruitment plan based on thorough assessment of needs. Delegation of tasks/dividing responsibilities; agreements on protected time allocation for BSU activities. Focus on effective management structures.	There will still be a risk, but it will be significantly reduced	BSU IV tasks may be allocated to staff that is already overloaded, which will reduce the absorption capacity. Often a challenge for staff doing a PhD, without full recognition of the need to be released from some other duties.
Key researchers or PhDs funded by BSU choose to leave the university or the country	Likely	Major	BSU IV focus on institutional development; Create an attractive research environment	The risk still persists, but the likelihood may be slightly reduced.  The likelihood may not be as much reduced for ICT support staff or accountants who are often in high demand	The 'brain-drain' is a latent problem, but at GU and SUZA it has been limited in previous phases. UoH has also low rates; they have a bonding system for students who receive a PhD stipend from UoH.
Administrative procedures at the universities may cause delay, e.g. in procurement	Likely	Major	Support to strengthening of university policies, procedures and systems. Realistic time plans.	The risk can be reduced, but some financial and procurement systems are nationally determined.	By experience there will be delays in the administration. However, the processing times can be reduced to a reasonable level. Timely planning will reduce the negative consequences

<b>Risk Factor</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk response</b>	<b>Residual risk</b>	<b>Background to assessment</b>
Delays in approvals of e.g. PhD curricula by national authorities	Likely	Major	Take lengthy processes into consideration when planning; setting realistic targets	Some risk persists, but it is unlikely that it will not eventually result in approval.	Earlier phases and similar programs have shown that this is a likely risk, that may lead to delays.
Cuts in university budgets due to changing priorities or economic recession makes it difficult for the university to take over operational costs of essential infrastructure	Likely	Major	Continuous dialogue with university management on the necessity of prioritizing such operational costs. Consider ways of generating income, e.g. lab fees in externally funded projects.	Some risk to the programme persists.	This may impact sustainability. Failure to sustain achievements made could damage the reputation of the university as well as of Danish BSU support.
Partnerships with other South universities in the region are significantly delayed or do not materialise	Likely	Minor	Inception: Plans are to be concretized and a budget allocated as part of the implementation plan. The mid-term review will include a focus on South-South collaboration in BSU and beyond.	A risk of delay is likely, but it is unlikely that the collaboration will not materialise.	The discussions are not very advanced at this stage. Although, the envisaged collaboration will to a large extent build on existing collaborations, a more formalized collaboration may take time to put in place. Such collaboration may increase sustainability beyond BSU.
External stakeholders have few incentives to prioritise engaging with universities	Likely	Minor	Focus on stakeholder engagement from problem identification to implementation in order to produce implementation research with clear benefits to communities and other stakeholders.	Risk may be reduced somewhat. It is unlikely that it will not be possible to find anyone willing to partake.	Spending time with university engagement may not compare favourably with alternative more productive use of time.



### Institutional risks:

<b>Risk Factor</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk response</b>	<b>Residual risk</b>	<b>Background to assessment</b>
Financial mismanagement	Likely	Significant	Strengthening of university management systems. Capacity building of project holders. Clear guidelines and financial visits by DFCs controller. Annual external audits.	Mismanagement would result in stop of funding.	Mismanagement would result in stop of funding for the relevant partnership. It would damage the reputation of the university, but also represent a reputational risk to the Danish BSU support. No discovered examples of mismanagement in previous phase.
Overlaps and missed opportunities for synergies with other international projects	Likely	Minor	BSU support is integrated in the university structure; other major collaborations mapped and to be taken into account in the detailed planning. BSU partnerships share information with other collaborators.	There may still be some risk, but there is a foundation for potential collaboration.	It is not uncommon that projects operate in isolation. This may result in less than optimal use of resources due to duplications and gaps.
Missed opportunities for synergies with other Danish support	Likely	Minor	Increased collaboration with FFU-projects. Keep embassies informed and invite them to be involved.	This risk will be reduced. The focus on synergies with FFU projects is relevant as this is likely to represent the largest missed opportunity.	BSU is managed from Copenhagen and may receive less attention from the embassy. In the South-driven approach the needs and priorities of the South universities are set within the broader framework of national and university strategies as well as Denmark's overall strategy for development. Thus, the priorities may not necessarily coincide with the specific programmes overseen by the embassies. It is a small risk.

## Annex 5: Indicative plan for communication of results

Communication is more than storytelling and needs and results documentation. Communication is also a strategic tool to strengthen networking and knowledge sharing, and to facilitate uptake and impact.

The communication strategy for BSU IV will therefore be built around the progress and results that the program provides at the various universities according to their respective **main goals**; 1) improved quality of research-based tertiary education; 2) more and better quality research which contributes to knowledge of particular relevance to sustainable development nationally, in Africa and globally; and 3) increased use of results from applied research by both public and private stakeholders.

It will also be built around the **two main engagement pillars**:

1. Knowledge communications: Communicating knowledge, experiences, learning and research results with a view to uptake and bringing knowledge in action to relevant stakeholders from community to policy level depending on what the knowledge, learnings, and experiences are.
2. PR: Sharing and showing the programs progress and results to the various stakeholders including the three participating universities and North counterparts, regional and national governments, DFC and the MFA.

DFC will make its communications platforms available for BSU's communication content, help promote it to the other stakeholders and facilitate that the three universities and their North counterparts develop detailed engagement and communications plan that thoroughly communicate the learnings, finding and results of the BSU IV programme to the relevant stakeholders as described above.

What?	When?	How?	Audience(s)	Responsible
Kick-starting the planning of engagement and communication strategies during the inception workshop.	Inception workshop in June 2023.	Introducing the DFC Knowledge in Action strategy and way of communicating, along with input from journalist working with BSU3 in Gulu, Uganda.	Project coordinators and the project participants directly involved in the communication strategy.	DFC.
Individual communication strategies	Integrated in approved implementation plans by October 2023.	Projects working on these during the six month inception period.	The projects.	Projects.
Engagement and communication online seminars guiding the universities to develop a prioritised and targeted communications and engagement plan	Jan-Feb 2024	4 Online sessions of two hours, facilitated by external communication and engagement specialist.	The projects	DFC + external specialist.
MTR recommendations	Ultimo 2025	Recommendations from the midterm	The projects.	Projects + DFC

regarding further communication initiatives		report to be assessed and implemented		
Bridging the gap - Science for the public.	First half 2026	4 Online sessions involving journalists and project participants to help the universities engaging with the media.	Media, journalists and projects / Universities	DFC + media consultant
Policy Brief Workshop	First half 2027	'Moving a mountain'. Seminar on Evidence based decision and policy making (to be developed)	The projects + stakeholders and ultimately decision makers	DFC + specialist.
Change stories from the BSU4 based on outputs from the concluding seminar	Ultimo 2028	Output from concluding seminar, drawing up the conclusions, lessons learned and output from the BSU IV program.	Universities, media, decision makers, funders, etc.	DFC + specialist