

SAREC DOCUMENTATION

BEYOND THE FRAGMENTS

INTEGRATING DONOR REPORTING
SYSTEMS TO SUPPORT
AFRICAN UNIVERSITIES

By DAVID WIELD

RESEARCH SURVEYS 1995:3

Note about the author

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Foreword

In order to keep up our dialogue with research partners and decisionmakers in developing and developed countries alike, SAREC publishes a series of reports under the heading *SAREC Documentation*. These include country studies, project reports and evaluations. In *Research Studies*, which form part of this series, we present country overviews, which cover research structures, national efforts and donor activities, including SAREC's support, in various scientific fields.

The present study aims at a) investigating the level of donor support, policies and reporting requirements as perceived and practiced at the universities Eduardo Mondlane in Mozambique and University of Dar es Salaam, Tanzania and b) presenting information on current policies and practices of some major donors and reporting on the potential for acceptance of more comprehensive university reports to donors.

Stockholm, February 1995

Anders Wijkman
Director General

Table of Contents		Page
	Acknowledgements	1
1	Executive Summary	2
2	Introduction	5
2.1	Background	5
2.2	The Study - First Phase	6
2.3	The Study - Second Phase	8
	 Part A	 11
	Donor reporting systems at the Universidade Eduardo Mondlane, Mozambique and the University of Dar Es Salaam, Tanzania	
3	Universidade Eduardo Mondlane (UEM)	12
3.1	Background: History and 1990s Strategy Formation	12
3.2	The Level and Nature of Donor Support	15
3.3	Donor Policies and Practices	21
3.4	Reporting Requirements	26
3.5	Summary	29
4	University of Dar Es Salaam (UDSM)	30
4.1	Background	30
4.2	The level and nature of donor support	34
4.3	Donor policies and practices	43
4.4	Reporting requirements	46
4.5	Summary	48
	 Part B	 50
	Donor Policies and Reporting Requirements in African Universities	
5	Donor Support to African Universities	51
5.1	Background	51
5.2	Trends in Donor Support	51
5.3	General Conditions for Support	54

6	Donor Assessment and Approval Procedures	55
6.1	Who Can Apply?	55
6.2	Collaboration Between Institutions	55
6.3	The Assessment and Approval Process	57
7	Agreements and Administration	59
7.1	Agreements	59
7.2	Fund Management	60
7.3	Funding Alterations	62
7.4	Procurement	63
7.5	Staff Contracting and Salaries	63
8	Reporting	65
8.1	Background	65
8.2	Reporting, Monitoring and Evaluation Systems	65
8.3	Responsibility for Reporting	67
8.4	Reporting Timetables: Room for Flexibility	69
8.5	Specifying Agency Contribution	70
8.6	Legal Constraints on Flexible Reporting	71
8.7	Creative Reporting Systems	72
8.8	Key Reporting Requirements	77
9	Conclusions	81
9.1	Conclusions from Study of Two African Universities	81
9.2	Conclusions from Study of Donor Agencies	85
9.3	Overall Conclusions	87
	Bibliography	89
	Appendices	
2a	Interviews at UEM	94
2b	Interviews at UDSM	95
2c	Interviews and other contacts made with donor agencies	96
3a	Donor support to UEM, by Faculty and Centre	97
3b	Donor support to UEM, by donor	100
4a	Donor support to UDSM, by Faculty and Institute	101
4b	Donor support to UDSM, by donor	107
5a	Question list for donor agency respondents	111

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During analysis and write up of the first part of this study in Berkeley, Ed Ferguson and David Van Arnham helped 'bail me out' of missed deadlines. During part two of the study, I thank Debbie Dickinson, Jacqueline Eisenstadt and Nicki Hart, from the Open University. Bill Saint and Christopher Shaw, from Donors to African Education gave donor contact information, often at a moment's notice.

SAREC sponsored the study, as a contribution to the Donors to African Education (DAE) Working Group on Higher Education (WGHE). My particular thanks to Berit Olsson who gave strong support throughout the study, and Olle Edquist who patiently gave support at the final write up stage, and to SAREC support staff.

An initial version of part A of the study was presented to the DAE working Group on Higher Education at its meeting in Dar Es Salaam in September 1993, and to a SAREC seminar in February 1994. A draft of part B was presented to the same DAE working group in Dakar in May 1994. This final report benefits from those very constructive discussions. The drafts have also been read, commented on, and data checked by the two universities and the donor agencies. Nevertheless, the author must take final responsibility for errors.

1 EXECUTIVE SUMMARY

- 1 This study flows from a growing concern that the proliferation of diverse donor objectives and conditions, resulting in a proliferation of reporting systems, has been fragmenting the activities in African universities, lowering their ability to coordinate and manage their resources. The study had two overarching aims: (i) to investigate the level of donor support, policies and reporting requirements as perceived and practised in two African universities (Dar Es Salaam, Tanzania and Eduardo Mondlane, Mozambique); and (ii) to collect and compile information on the current policies and practices of some major donors, and to report on the potential for acceptance of more comprehensive university reports rather than donor specific reporting systems. These two aims correspond to the two phases of the study (Parts A and B).
- 2 The first phase (part A below), investigated two African universities, both with very high proportions of donor support, and both engaged in a process of institutional transformation at different stages of implementation. UEM's experience of the process of strategy building and reporting has been very useful, with the reporting systems developed because they are essential for the institution itself and not as a donor requirement. But the key finding from the first phase is that, as the universities improved their ability to coordinate donors support around their strategic plans, they found diverse donor requirements increasingly onerous.
- 3 The first phase made recommendations that may assist African universities to improve their reporting systems, by: gathering comprehensive data on donor support; harmonising internal and external funding systems; producing annual institutional reports and reporting systems; and, beginning dialogue with donors on how their reports would satisfy donor reporting requirements.
- 4 The first phase report suggested that donors might improve reporting and assist universities' coordination of donors by: using universities' reporting systems; coordinating donor support at university level; developing capacity to handover fund management to universities; and, avoiding parallel reporting systems and separating 'donor supported' from 'other' university activities.
- 5 The second phase of the study (part B below) investigated seventeen major donor agencies in detail, gathering information on their policies for support of African universities, how agreements are managed, reporting requirements and the possibilities for improving them to reflect university institutional priorities and plans.

- 6 Positive trends in donor practices include the gradual movement by donors from narrow project funding towards more integrated types of programme and a shift in fund management to African universities, with consequent capacity building in fund management.
- 7 However, a trend with potential negative implications is the increase in requests for more reporting and more formal reporting as donors strive for more accountability, with resulting increase in administration and managerial workload. The appraisal and approval process is also time consuming and there is no trend to lower the workload associated with it, either to agency headquarters and field staff, or to the African universities. The other key element that takes up large amounts of university time is the requirement for site visits and regular external evaluations.
- 8 Most agencies have three types of reporting and evaluation requirements: first, a financial report; second, a progress/technical/narrative report on activities undertaken; and third, an evaluation and monitoring system that usually involves site visits to universities.
- 9 The study found a range of constraints on the use of unified reporting systems, among them: reporting timetable cycles tied to widely varying donor financial years rather than to the university reporting year; financial and other legal reporting requirements that are tightly specified by donors; and a lack of clarity among donors of what flexibility exists in their organisation for joint and unified reporting.
- 10 The legal constraint most frequently mentioned by donors is the financial audit, where requirements range from an external auditor to the universities' official auditor. Most agencies were themselves audited by national auditing offices, some of which preferred tighter budget deadlines and shorter periods for advance funding than agencies felt reasonable. Most agencies require separate accounts for their projects.
- 11 Apart from the financial audit, three other aspects emerged concerning legal systems of agreement. First, the diversity of types of agreement, from simple letters to large documents with annexes. Second, a concern in some agencies with increased evaluation and monitoring of their own activities with potential knock-on effects for African universities. And third, most agreements are rather fluid in that they can often be changed on a case by case basis. Thus, although some agencies were unsure about whether they would obtain agreement from their government until there was more experience of new systems, this did not seem to be an immutable legal constraint on change.

- 12 The question of what might be the key reporting requirements of donors for their acceptance of unified university reporting systems is seemingly simple, but actually anything but.

There is considerable agreement on what is required. The diversity arises at the level of detail - how much is required? But most agencies (eleven out of seventeen) had quite simple reporting requirements. Many agencies expressed disquiet about how to respond to the need to relate support more closely to university strategies for change and felt that they may not have got their contribution properly integrated into the whole picture. Nevertheless, their overall concern is not yet translated into practical support for streamlined and unified reporting.

- 13 There are positive indications that donor agencies would be prepared to change reporting systems to be better linked to university reporting and management systems. Nine of the seventeen agencies approached said they already had experience of, and could accept, joint reporting and another two that they could consider doing so. Four donor agencies currently accept the unified reporting system (used at UEM), and express themselves well pleased with the results. Three others were considering similar one-off experiments. Seven out of seventeen agencies were prepared to negotiate a reporting system agreed between a university and other donors, and four others were willing to consider doing so. Another four were open to more flexible systems but were unsure whether they could accept collectively agreed reporting systems, feeling constrained by government or parent agency policy. Some donors noted that they accept standardised reporting from the international organisations they support which could act as a precedent for unified reporting systems.

- 14 There will be donor agencies that cannot immediately join in with unified reporting systems. However, even these agencies should find the university reporting framework useful. They should be asked to take responsibility for any extra reporting needed. In that way, the burden of extra reporting would not fall on the university.

- 15 The donor agency - university reporting relationship is one key element of a long term relationship to build overall institutional capacity. Various African universities are clearly requesting integrated and unified reporting systems so that they can more easily coordinate resources and transform their institutions. The key recommendation from the study is that universities with institutional strategies and reporting systems in place take the initiative and begin unified reporting, with a core group of agreeable donors. A start could be made with one, or a few, universities. Universities and donors would volunteer to experiment with unified reporting

systems. Core, institutional support would then be reported in university annual reports and strategy documents. Donor agencies would agree to accept the basic reporting system and changes might be agreed at annual report meetings. The reporting system would include agreements on financial reports, progress reports, and streamlined site and evaluation visits.

2 INTRODUCTION

2.1 Background

African universities receive a significant proportion of their resources from external agencies. In the early years of independence, donor support was focused on building higher educational institutions and training local staff. During the 1980s international donor support declined, as institutions expanded (Saint, 1992, p113). The nature of donor support also changed from institutional development and overall staff training needs towards particular problems and focused programmes.

In the last few years, there is evidence, but no comprehensive data, suggesting that donor support has been growing. However, until recently, donor projects have often 'assumed an institutional capacity within universities that was not always there' (Saint, 1992, p114). Donor support has increased at the same time as the ability to support core activities from internal resources has decreased. Thus, external donor support has gained in overall significance and is also increasingly needed for core activities and institutional necessities as well as rehabilitation and capacity building. A gradual decline in national financial resources for education accelerated as the 1980s progressed, producing a funding crisis that has affected installations, libraries and textbooks, and material conditions of students and staff. The relative decline in national resource availability has increased the need to attract external support, and increased pressures on donors to support longer-term and core activities, including staff salaries, building maintenance and library support.

Over the last years, some key donors have responded by increasing core support and 'capability building' initiatives. However, in the main, external support is often implemented in relation to policies and strategies developed by each donor agency rather than integrated into a properly formulated university development plan. Each donor agency has distinct reporting requirements, the resulting proliferation of donor reporting systems lowering the universities' ability to coordinate donor support and weakening managerial capacity.

As Masuha et al (1992), in a case study from the Faculty of Engineering at the University of Dar Es Salaam (UDSM) put it:

'Each relationship is commendable as to the efforts, personal initiative and immediate intentions. Taken in their entirety however, the growing number of external relationships:

- increasingly obscures the institutional, operational and budgetary scenario, with the national parent ministry not normally aware of the real budgetary needs;
- leads to a distorted picture as to the effective financing of staff personal emoluments;
- complicates efforts for coordinated institutional planning and development with many of the external relations not coordinated in terms of institutional/corporate needs, priorities and timing;
- increasingly erodes the established organizational structures with many external projects not being under the regular institutional control and power but nevertheless operating within the institutional set-up, staff and facilities, where in turn the external side often argues for an 'independent' project because of the eroded institutional structures (!).

Multiple donor administrative requirements, including report preparation and handling visits from donor personnel, are labour intensive for senior staff, and divert them from their basic management responsibilities. As donor assistance has increased in significance, these administrative burdens have grown accordingly.

In May 1991, Mozambique's Universidade Eduardo Mondlane (UEM) presented to its sponsors an outline of a strategic plan for university development with a plea for flexible support for its development. Later, at a second consultative meeting held in November 1992, an Annual Report was presented including a comprehensive financial report on all funds managed by the university (Matos, 1993).

UEM spends considerable time trying to meet the diverse reporting requirements of different donors. At the second consultative meeting UEM suggested that the donors might accept the UEM comprehensive financial report together with a report from an external auditor as adequate reporting on donor funds. UEM would like to develop its Annual Report into a document that could be accepted as the basis for the reporting required by donors in relation to their support for institutional development. Other universities have begun similar systems and some are requesting that streamlining reporting systems be integrated into university plans and management systems.

The Working Group on Higher Education, WGHE, within the initiative Donors to African Education, DEA, have recommended that donor support should be more in function of strategic plans for university development. However, it is unknown to what extent donors are free to provide flexible support and allow universities to coordinate such funds. Certainly a reasonable hypothesis is that the capacity of the universities to coordinate and manage external funds from various sources would be enhanced if donors would accept comprehensive reports and financial accounts, properly audited financially and academically. But once again it is unclear to what extent donors could allow such practices to develop and replace the existing reporting and auditing requirements.

2.2 The Study - First Phase

The study reported here had two phases with overall purpose to assist in a review of the funding policies and reporting requirements of some major donor agencies supporting

African universities. The study is divided into two phases. The first phase put the spotlight on African universities through two case studies of universities that are major recipients of donor support. The second phase turned the spotlight on the donors by looking at a diverse range of donor agencies.

The first phase (Part A) reviewed donor policies and reporting requirements as perceived and practiced in two universities, chosen because they were both engaged - albeit at different stages of implementation - in a process of institutional transformation. The author visited the University of Dar Es Salaam and the Universidade Eduardo Mondlane in May 1993.

The first phase had three objectives. First, to obtain comprehensive information on external support for the universities, including the major donor agencies. Second, to study local perceptions of donor policies and practices in relation to project implementation and fund management. The information on perception of donor policies included an assessment of the flexibility of funding. The information on project practices included an assessment of the balance of fund management between donor and university. Third, to gather information on the regularity and nature of reporting requirements including who takes responsibility for reporting, follow up, and external assessment missions and auditing.

During my work at the University of Dar Es Salaam, where the administration of donor support is carried out at many levels, at faculty, departmental, section and even individual level, all faculties and five of the six institutes were visited, only missing the Institute of Marine Sciences in Zanzibar (see Appendix 2b). I also visited some departments, focusing on those that were some of the most important recipients of donor assistance. I met the Vice-Chancellor and Chief Administrative Officer, and the Director of Postgraduate Studies. I interviewed a number of the administrative staff, including the Bursar, Planning Officer and Links Office staff. I also met the Principal of the Muhimbili University College of Health Sciences. The University College contains four faculties and five institutes.

In Mozambique, where administration of donor support is more centrally coordinated, I met the Rector and Vice-Rector (Administration), and the Directors of Planning and Finance. I met one Faculty Dean and one Director of a research centre (see Appendix 2a). To supplement these interviews, I was able to use materials gathered on various previous working visits to UEM, particularly in April and August 1992, where I assisted with the development of systems for the university Annual Report. In those visits I interviewed most directors of faculties and heads of administrative units.

The resulting report was presented to a DAE Working Group for Higher Education meeting in September 1993 and sent to each university for comment and checking of data.

2.3 The Study - Second Phase

The second phase of the study aimed to collect and compile information on the current policies and practices of some major international donors supporting African universities by: gathering information on donor policies for support of African universities, and the conditions of such support; ascertaining what types of support may be offered; finding out about applications and approval procedures; surveying how agreements are arranged and managed and who are the competent signatories; gathering information on fund management, procurement practices, and so on; and obtaining information on reporting requirements in force, and the possibilities for changing them to become more flexible and institutional.

The information was gathered by approaching staff in donor agencies to supply written material on these subjects; and through telephone interviews using a comprehensive questionnaire (see Appendix 5a).

Staff from seventeen agencies were interviewed (see Table 2.1 and Appendix 2c). In most cases, various staff were approached from each agency. All questionnaires were fed back to agency staff to get further information. A draft report was produced for the DAE WGHE meeting in May 1994 and was circulated to each donor agency for comment and correction. Another six agencies sent written information which was integrated into the study wherever possible (Table 2.2).

Although the tables divide agencies into five types (bilateral, bilateral research oriented, independent funds, implementing agencies, and multilateral), it is important to emphasise that the divisions are quite fuzzy. Many agencies went to great lengths to explain how they differed from others, and also to remind us that they were not strictly 'donor agencies'. I have tried to take account of the differences in the report, whilst focusing on the commonalities associated with their support to African universities.

Table 2.1 Donor Agencies in Detailed Study
 (donors providing interviews, questionnaires, written materials, and feedback)

<p>Bilateral Donor Agencies</p> <p>Canadian International Development Agency (CIDA) France: Ministry of Cooperation Netherlands: Ministry of Foreign Affairs (DGIS-DSO Programme) Norwegian Agency for Development (NORAD-Norway) Overseas Development Agency (UK) Swedish International Development Agency (SIDA)</p>
<p>Bilateral Donor agencies with Research Orientation</p> <p>Enhancement of Research Capacity in Developing Countries (ENRECA-Denmark) International Development Research Centre (IDRC-Canada) Swedish Agency for Cooperation with Developing Countries (SAREC)</p>
<p>Independent Funds</p> <p>Carnegie Corporation Rockefeller Foundation</p>
<p>Implementing Agencies</p> <p>British Council Deutsch Gesellschaft fur Technische Zusammenarbeit (GTZ) Higher Education for Development Cooperation (HEDCO-Ireland) Netherlands Universities' Foundation for International Cooperation (NUFFIC) Norwegian Universities' Committee for Development Research and Education (NUFU)</p>
<p>Multilateral/multinational Agencies</p> <p>World Bank</p>

Table 2.2 Donor Agencies Providing Written Information

Bilateral Donor Agencies German Federal Ministry for Economic Cooperation, Education Science and Documentation Centre (DSE) Japanese International Cooperation Agency (JICA)
Independent Funds Ford Foundation Gulbenkein Foundation
Multilateral Agencies Commonwealth Secretariat African Capacity Building Foundation

PART A

DONOR REPORTING SYSTEMS

AT THE UNIVERSIDADE EDUARDO MONDLANE, MOZAMBIQUE

AND THE UNIVERSITY OF DAR ES SALAAM, TANZANIA

3 UNIVERSIDADE EDUARDO MONDLANE, (UEM)

3.1 Background: History and 1990s Strategy Formulation

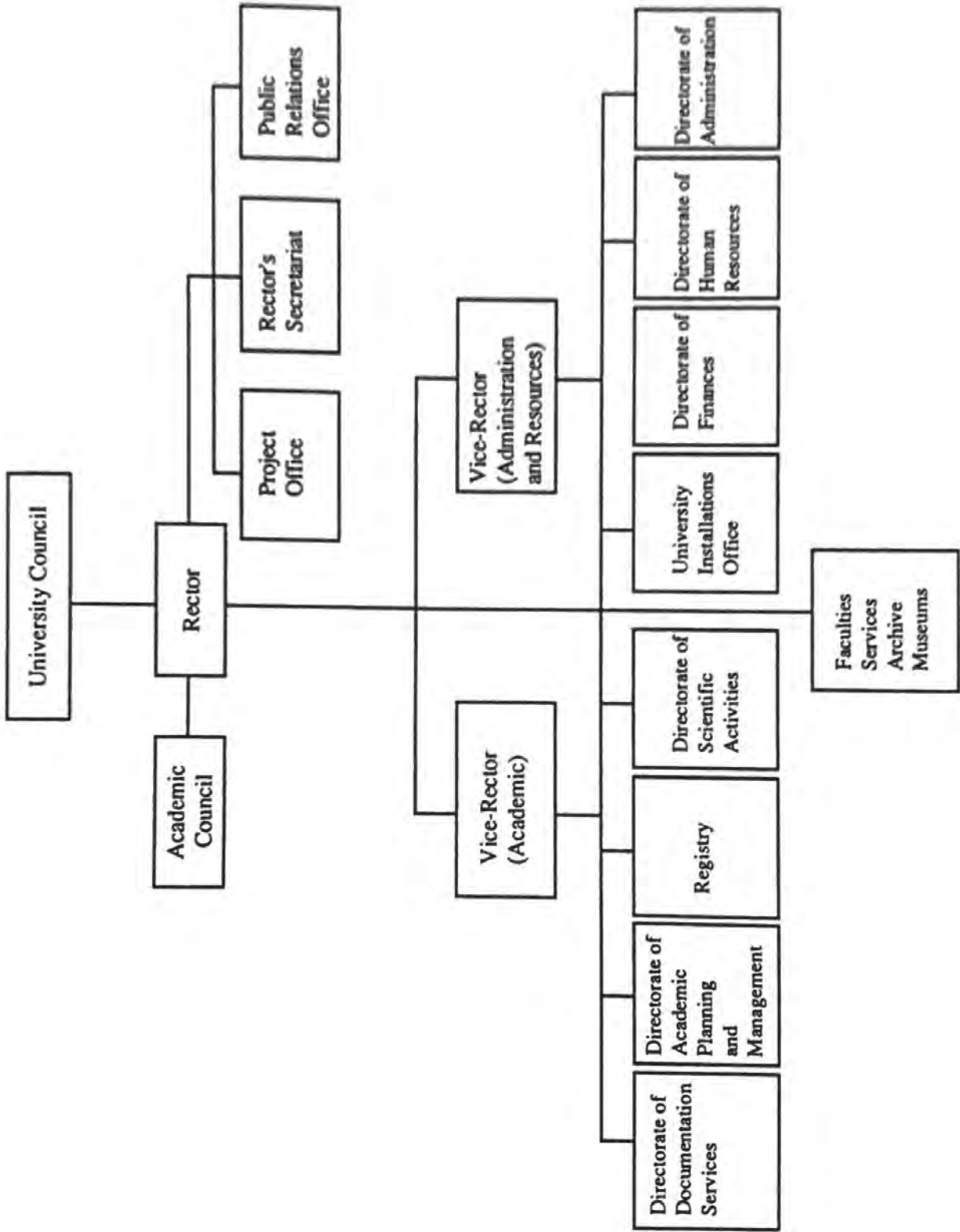
Mozambique's only university began in 1962 as an integral part of the Portuguese university system, since Mozambique was constituted as a overseas 'Province' of Portugal until the overthrow of the Portuguese dictatorship in 1974 and Mozambican independence in 1975. The early years of independence were characterised by a dramatic fall in student numbers (from over 3,000 in 1973 to 1,281 in 1976) as most children of Portuguese settlers left the ex-colony with their parents. Only a small number of non-European children were slowly integrated into secondary education in the late colonial period, with the result that there were few secondary school pupils qualified to enter the university after independence. Total output of graduates even a decade after independence was just 121. The first few years of independence brought some significant changes in the university. A pre-university year was begun to improve access of students with weaker schooling, there was a move from five to three-year courses, and recruitment drives were begun to attract expatriate teachers from around the world. The growth of expatriate staff from 154 to 191 involved a turn-around from a primarily Portuguese to an extremely internationally diverse professoriat.

The early 1980s was a time of continued low student numbers, focusing of resources by closing courses, higher emphasis on the education of school teachers, considerable effort to update curricula, and a concerted and very successful effort to build up Mozambican staff. From 1985, student numbers increased more rapidly, allowing the re-opening of courses, mostly of five-year duration, and the slow growth of academic staff postgraduate training. These positive 1980s developments took place against the increasingly unpromising general situation of destabilisation and war and, towards the end of the decade, dramatically lowered financial support for education as the economic reforms began to bite into the national budget.

The university had, in 1994, 21 five-year 'licenciatura' (bachelor's degree with dissertation) programmes and a seven-year licenciatura programme in medicine. With 3,482 students in 1992-1993, an increase from 2,034 in 1985, and 312 full-time academic staff in 1993, it dominates higher educational provision in Mozambique. The country's two other (specialist) higher educational institutes teach pedagogical studies and international relations.

UEM is organised academically into nine faculties (Arts, Economics, Architecture, Science, Engineering, Law, Medicine, Veterinary, and Agronomy). The administrative sections have been streamlined into directorates under the Rector and two Vice-Rectors (see organisation chart, Fig 3.1).

Figure 3.1 Organisational Chart of UEM, 1993



Many of the university buildings date from the 1960s, as does much of the laboratory equipment. The increase in student numbers has led to overcrowding and strains on aged and unevenly maintained facilities. The very restricted student residential facilities create the extra problem that it is difficult to increase access to students from outside of Maputo, leading to inequalities in regional intake. Even after a period of significant staff development, more than three-quarters of academic staff have just the basic licenciatura qualification and only 5 percent have doctorates.

Considering the financial situation of the nation, the government of Mozambique's contribution to the UEM budget has held up fairly well. Even so, in real terms it has decreased significantly, so that by 1992 the external contribution to budget had risen to more than 70 percent) (see Table 3.1). Although expenditure of external funds is lower than budget provision, the rapidly increasing external contribution is clear.

Table 3.1 UEM Budget 1980-92 (million Metical (MT)/ million \$US)

	1980	1985	1990	1992
Recurrent GOM (mMT)	228	310	3,863	15,527
Recurrent external(mMT)	n/a	n/a	10,010	14,855
Investment GOM (mMT)	28	8	3,335	7,884
Investment external(mMT)	n/a	n/a	3,358	27,172
Total (mMT)	246	318	21,566	63,520
Total (\$USm)	8.0	9.4	28.2	37.5
Exchange rate (MT/\$US)	32.04	43.18	729.3	2,550

Notes:

The 1992 exchange rate used is from International Financial Statistics, October 1993. The others are from UEM Annual Report 1991-91.

The budget figures here should only be seen as estimates, for various reasons. First, the integration of external and internal budgeting has only just begun. Second, much external support is not easily given a monetary value, since it is given 'in kind', as when staff are seconded to UEM. Third, the budget allocations, particularly those given or loaned by external agencies, and funding for major investment, are not spent in their entirety. For example in 1991, around one-third of UEM-managed external funds were not spent.

Source: UEM Annual Report, 1991-92, for estimates of external funding, 1992-93, for government funding.

By 1990, the important improvements in higher education made since independence were perceived by the university leadership as being under threat.

Universidade Eduardo Mondlane currently finds itself in a precarious situation. It faces serious problems of staff retention The university's considerable success in attracting donor funding has placed it in an unstable and unsustainable position:

it is dependent on continuing foreign assistance for the bulk of its operating budget. UEM output efficiency is low, with a drop out rate of roughly 50%. Employers have begun to question the relevance of its training in some disciplinary areas, and its research output has fallen far short of national needs. Recent years have seen an increasing number of students to be drawn from the southern part of the country These factors combine to erode university capacity to fulfil its institutional mandate of providing the nation with trained professionals, applied research and skilled service. (Matos, 1993, p. 2)

Over the last three years, the university has been engaged in a process of institutional stabilisation and development. A university strategic document, 'Present and Perspectives', was developed in 1991 that analysed the principle difficulties in some detail. The document was developed in a processual manner with a short but intense debate over a period of a few months. The document contains proposals to government to delegate greater managerial flexibility in return for greater accountability. The government has responded positively, for example, by supportively agreeing to increased autonomy and through increasing funding. Donors were requested to consider more flexible, longer-term institutional support structured around strategic objectives. As the university's Rector puts it:

The outcome of this process was a coherent strategy for institutional stabilization and revitalization, and a considerable consensus among UEM staff, government leaders, and donor representatives that this was a worthwhile approach. (Matos, 1993, p. 3)

In summary, the strategic objectives are:

- (i) to stabilise the institution by tackling problems of academic and administrative staff retention and training;
- (ii) to improve the learning and living conditions of students;
- (iii) to improve the university's ability to respond to society's needs for good quality graduates, applied research, extension and consultancy activities, giving priority to programmes deemed critical to the country's present stage of development;
- (iv) to increase student numbers and graduate output by improving internal efficiency and making more effective use of available capacity; and
- (v) to work towards a nationally representative student body in terms of gender, class, and ethnic background.

It is this strategy that the university is presently implementing.

3.2 The Level and Nature of Donor Support

The level of donor funding has unquestionably been rising rapidly over the last few years. Reliable estimates of donor funding have not been possible until very recently. Over the last two to three years the process of developing a university strategy has included making

better estimates of donor support. This is not easy since much support comes in people and goods, where the resources are not directly managed by UEM. Estimates are now probably quite good, and are improving rapidly. An interesting element is that UEM attempts to estimate external support of all types of resources: including not only resources that are directly managed, but also those that are not so managed, even when the expenditure is outside of Mozambique (for expatriate salaries, bursaries, etc.).

Total donor support was estimated by the university at \$23.6 million US in 1991, and \$28.3 million in 1992, the increase being concentrated in investment projects.

In 1991, the last year with complete records, the major donors were (in \$US million) as in Table 3.2. A more detailed list of donors is given in Appendix 3b and UEM's Annual Report. The Annual Report of 1991/2 cites around one hundred internal and external organisations giving some sort of support.

Donor support has been rising in function of two types of process. Firstly, processes external to the university, in particular: donor support towards the 'peace process' in Mozambique; support linked to increasingly pluralistic political processes; and overall changes in the global and regional political environments that have increased donor support from 'the west' as donor support from eastern Europe decreases. It is important to note, however, that economic structural adjustment processes have brought lowered public expenditure, devaluation, and inflation that have severely eaten into core funding.

Second, processes internal to the university include not only the development of a university strategy, mentioned above, but clear indications that the UEM will honestly and assertively attempt to implement its programme. Thus, the existence of the programme, and most of all its implementation, has sent positive signals to donors that UEM will enter into a productive and interesting dialogue. As a senior member of UEM's management said: 'It seems there is a much more positive attitude towards UEM and we feel supported. Because we are doing things in an integrated way it is also much more interesting for us and hopefully for the donors too'.

Table 3.2 Major Donors to UEM, 1991, US\$m

British Council	.36
Commonwealth Fund	.86
Cuba	.68
GDR	.79
Italy	1.94
Netherlands	4.30
NORAD	.50
SAREC	1.80
SIDA	.82
UNDP	.37
USSR	4.33
World Bank	4.73
Others	2.15
TOTAL	23.63

Source: Annual Report, 1991-2.

Though the proportion of external resources is increasing rapidly, the part directly managed by UEM remains low. EUM only managed about 16 percent of external funding in 1991, rising to about 28 percent in 1992. In 1991 at least, it seemed also that there was a significant difference between the donation budgeted for a year, and actual expenditure, particularly of research and investment funds. Of the \$US 17.9m of government and other funds managed directly by UEM in 1991, for example, around \$12.5m were actually spent.

Appendix 3b summarises donor support to UEM in some detail. It is not complete but gives a strong sense of the situation. A few donors are of long-standing significance, some having responded to UEM's calls for assistance very soon after independence. Examples are the Netherlands and the German Democratic Republic (GDR), followed in the late 1970s and early 1980s by SAREC, Italy, and a number of Commonwealth country governments. The number of donors has steadily increased, with the obvious exception of eastern Europe, with those responding to the recent university strategy including NORAD, USAID, SIDA and the World Bank.

At risk of over-simplification, it is possible to say that support from the Netherlands, European Union, Italy, Denmark, ODA, FAO, GTZ, UNDP, and UNFPA has focused on departmental or faculty strengthening. SAREC, NORAD, and IDRC provide research support, which in some cases has included staff postgraduate training. SIDA, the World

Bank, EC, and USAID have provided strong recent institutional support for construction and rehabilitation of infrastructure, together with the Mozambican government.

Appendix 3a attempts a detailed list of donor support to UEM by faculty and department. A number of basic conclusions can be drawn.

Evenness of Support

There is a reasonably even spread of support across departments and faculties, especially when the growing proportion of university-wide support is taken into account (see Appendix 3a for details). For example, SAREC research support in biennial 1993/94, a total of around \$1.5m US per year, covers fifteen academic departments in eight faculties and two centres. The support for building rehabilitation appears to be broadly spread, as does scholarship support.

It is rather difficult to be definitive, but some units do seem to receive less donor support than others. For example, in the Science Faculty, Physics and Chemistry appear not to have departmental support programmes, though they have been the recipients of long-term SAREC research support which has improved laboratory and computing facilities. It may be that the World Bank-funded project to move all Science to the main university campus will change this situation. In Engineering, Chemical Engineering appears not to have programme support. The situation in Medicine is unclear since that faculty has, until recently, depended on part-time staff from the Ministry of Health, which has its own autonomous research institute. Even so, faculty-based support seems surprisingly low for what is normally an expensive subject area. Mathematics and Law seem not to have strong departmental strengthening programmes, though some positive initiatives have recently occurred in Mathematics. In the Arts Faculty, history and languages seem to have weak and uneven support. Economics appears to be the recipient of significant support but its internal coordination seems weak and thus accentuates 'donor fragmentation'. Of the Centres, the Centre of African Studies is now very weakly supported. I could not obtain data on the museums, but it is not clear that they have been able to attract much support.

Duration of Support

The lack of accurate data, except for the most recent period, does not allow a clear quantitative indication of the nature of donor support. What is clear is that much support has been relatively long-term but based on short-term phases.

The Netherlands government has strongly supported teaching in UEM since 1976, and at this moment has eight departmental strengthening programmes, the ones in Agronomy, Basic Sciences, and Veterinary in their third three-year phases. SAREC support began in 1978 in an ad hoc way but rapidly became a structured programme based on biennial

agreements (Table 3.3). Both Netherlands and SAREC support have been based on long-term understandings, with two- or three-year phases of support.

Commonwealth Fund support also began in the late 1970s, during the war with Rhodesia. Italian support for the development of the Faculty of Architecture began in 1984 and is thus ten years old. FAO support for the Agronomy and Veterinary faculties is one area where a five-year programme was completed without continuation.

Table 3.3 SAREC Support to UEM, 1978-93 (m Sw Kr)

1978-79	0.45
1883-84	3.00
1988-89	5.40
1993-94	12.20

Source: UEM.

But perhaps the most serious break of support has occurred with the transformations in eastern Europe. The university obtained the support of large numbers of expatriate teaching staff and significant Mozambican staff development support from eastern Europe, particularly the USSR and GDR.

To the continued long-term funders has been added a number of significant supporters since 1990. Examples are: NORAD (3m Norwegian kronor — \$0.4m US over three years); SIDA (beginning with \$1.2m US in 1992); World Bank (\$2.45m for Science, Engineering, Economics); USAID; British ODA (\$0.7m over five years for English teaching); European Community (for student residences).

That these programmes are relatively new, and are formally for only the short to medium term, must make planning difficult, although the signs are positive for continuation of support.

Initiation of Support

Much donor support arises from the gradual growth of bilateral links between UEM's leadership and the Mozambican government with donor agencies.

This may sound relatively centralised, but is less so in practice. The situation in UEM could be characterised as 'centralised initiative, decentralised implementation' in contrast with the situation with the UDSM, which is more 'individual initiative, centralised control'. In UEM, to describe initiation as a top-down process would not do justice to the large scale of social interaction around many programmes of support. As one senior staff member said: 'the donors are not only donors because they are also people we meet regularly'.

The early collaborations were, in the main, centrally initiated through inter-governmental contacts between governments that had supported the national liberation struggle. Thus the

early Netherlands and Scandinavian support and the support from former socialist countries was of this type, as were the links with the Italian government. But even here, individual contacts were important. For example, early contact between Archeology at UEM and a SAREC officer developed into the university-wide bilateral agreements which have been an important model for UEM donor collaboration.

The present study obtained the clear impression that the processes set in motion by these early collaborations developed a momentum based on increasing person-to-person contacts that were both formally constituted and also informal. With SAREC, for example, there has been a gradual development of contacts of various types. Firstly, there is regular flow of SAREC officers to Mozambique and Mozambicans to events where they will meet SAREC staff. Second, there is a biennial process of interaction when each department and faculty meets the visiting SAREC person. Third, there is now a range of inter-links between Swedish and Mozambican researchers. But, there is not a formal requirement to link with a Swedish university, and it is the biennial process that is the most important evaluation period, with aim to avoid overbearing reporting systems.

Each donor-link is developed by 'champions', many from the donor side having 'stuck their necks out' to start links with Mozambique in what must have seemed to many from the donor-agency, to have been very unpromising circumstances. The learning process, in general, seems to have had a positive impact on both the donor and UEM's management and operation.

These processes are now part of a gradually unfolding organisational culture that allows donor collaborations to begin from rather formal central authority/donor discussions and negotiations, over time integrating more and more staff. The quote reported above summarises the situation quite well, that donor organisations and the UEM are all social organisations that are developing a growing capability to build serious reporting and strategy systems through as mutual respect grows.

To summarise, the central organs of UEM have played the major role in initiating and later beginning a coordination process. It is clearly seen by university staff that this is a key role of university senior management. In only a relatively few cases did it appear that faculty heads and individuals have played a completely independent role in obtaining significant resources, though such possibilities will doubtless increase.

Characterisation of Donor Support

Table 3.4 is an attempt to characterise donor support to the university in function of the level of core and institutional support. One major objective of UEM has been to increase the amount of flexible institutional support, and to prioritise inter-university collaborations that are multi-purpose (teaching, research, staff development) and stable over the medium

and long term. UEM has recently obtained more of these types of support, in function of its strategy for institutional development. However, it is clear that much more such support will be required in the short and medium term if the university is to develop its capacity as an intellectual centre which can educate enough Mozambicans to take their key role in national reconstruction.

Table 3.4 Donor Support to UEM

(i)	Institutional support for recurrent budgets (e.g. SIDA);
(ii)	Institutional support for investment (e.g. World Bank, EU);
(iii)	Other university wide-programmes (e.g. SAREC, NORAD, Commonwealth Fund, Ford Foundation);
(iv)	Departmental, faculty strengthening programmes (e.g. NUFFIC, Italy, FAO);
(v)	Programmes in Mozambique that the university can use (e.g. British Council Scholarships);
(vi)	Support for expatriate teachers (Portugal, Cuba, Guinea Conakry);
(vii)	One-off projects (IDRC, Rockefeller support for seminars, British Council for workshops)

3.3 Donor Policies and Practices

The aim of this section is to develop an understanding of how UEM perceives donor policies. It is not a study of how the donors themselves develop and articulate their policies. The interviews for this section were with UEM staff, not the donors.

Donor Policies — Trends to Flexible and Programmatic Support

The overall trend in donor policy has been towards more flexible funding and more programmatic funding. So far the trends are very partial, but have shown positive results. Appendix 3b gives some details of these trends. One example of more flexible funding is the NORAD funds for beginner research projects of young academic staff. In this case, increased flexibility means that it is not stipulated which research ideas and staff will get funding. The funds are like pilot research funds to get staff started on their academic careers. This idea is not unlike the early 1980s 'Open Fund' of SAREC that allowed a number of (now quite senior) staff to start up research that later led to PhDs and research programmes. SAREC, from time to time, have resuscitated this type of support, but most of its support is for stipulated research projects. What is flexible about SAREC support is that it sees research support as needing to fit clearly into the university strategy. It includes such items as equipment maintenance, technician training, and support for administrative processes. It is also seen as having a flexible approach to the 'moving' of funding from one item of expenditure to another, all based on a reasonable case, of course. Recently it

has suggested that the university use a small percentage of its support for overhead expenditure. And its overall agreements enter into the spirit of the university strategy. The fact that SAREC's approach is integrated within an institutional strategy is not without problems, however. For example, individual researchers clearly need to be accountable for producing original research results, but the institution is accountable for overall institutional development. These are very different types of accountability. Confusion over this dual responsibility can lead to frustration when senior staff in central administration perceive that they must take (very time-consuming) responsibility for inexperienced researchers not used to writing research reports and publishing. It can also lead to a perception of over-strict SAREC requirements from individual researchers and some central administrators.

The SIDA support is perceived as flexible in that it can be used for a range of important recurrent budget items, and each year a consultative meeting is used to refocus on priority items. Thus for 1993/94 the funds are planned to be used for equipment maintenance, technician and administrative staff training, and the development of the financial system as well as support for teaching and research.

SIDA's reporting system now specifically mentions the audited financial statements and Annual Report system to be part of the annual consultative process, as do the World Bank and SAREC.

Donor support has increased from some agencies for local and recurrent costs. Apart from the SIDA budget support, a number of departmental strengthening programmes include support for a portion of local and recurrent costs. Often this is not made very explicit and it is quite a small proportion, but it has had positive results.

Another type of programmatic style is that of NUFFIC, where its section, departmental, and university-wide programmes are integrated into a university institution-building approach.

Levels of Institutional Support

Levels of institutional support have been rising (Appendix 3a). Apart from those mentioned in the previous section, there is World Bank support with overall aim to improve the quality of teaching. This holistic support includes rehabilitation of buildings, staff development, textbook production and purchase, support for financial restructuring, and administrative staff training. The British Council has been supporting short management training courses for senior staff. The Ford Foundation has given library and computer support and significant support to implementation of the new UEM governance structures.

Institutional support has been given directly rather than through the provision of a significant overhead contribution. There is, I think, no clear policy on overheads: either whether the university was asking for overheads, whether donors gave them, whether there

was a policy for use of overheads. This is not surprising since the definition of what constitutes overheads varies tremendously. In most institutions, central management support such as accountancy, staff development, library facilities, telephones, including modems and fax, are provided by the institutions and are notionally paid through overheads. In UEM, some of these facilities are now being provided via donor support for projects and infrastructure and are available to departments. I found one case where overheads had been given explicitly, 6 percent in a recent NORAD contribution.

A particular issue of institutional and budget support is the extent to which there should be direct support for salaries. This is increasingly a problem in UEM, though it is a much worse problem in UDSM. In UEM, the salary conditions for all staff have deteriorated, as they have in all countries affected by the massive devaluations and inflation in recent years. Still, the university has made a determined effort to give reasonable extra resources to academic staff in what is a highly competitive situation for graduate staff, doubling salaries in 1991, for example. Less has been done to attract good administrative staff. One irony is that the low numbers of graduates being produced by UEM means that even junior staff with first degrees, little teaching, and no research experience are in very high demand. The relatively long time gap between starting an academic career and obtaining a masters or doctorate, for both of which donor support is necessary given that UEM is an undergraduate institution only, also means that staff who become professors are usually in their late 30s by the time they are in equivalent qualification grades to lecturers in most other universities. Since salaries link to qualification in UEM, there is little possibility of linking material recompense to work capacity, proficiency, and responsibility.

One response to what are perceived as relatively low salaries is the use of legitimate special additions, such as per diems and expenses. This has become increasingly important in UEM, and donor support is key in providing such supplements. It has not yet reached the stage where it completely dominates the organisation of the working day, as it has in UDSM. The danger is, of course, that it breaks apart the institution by valuing donor-supported and separated work from 'routine' university work. This has only begun to become an issue in UEM in the last few years, but it is growing. It is much worse in some departments than others since opportunities differ from subject area to subject area.

One area of importance that donors directly control is the employment of academics for consultancy work as individuals or through private companies. In UDSM, as we shall see, this donor-agency-initiated system has completely fragmented some departments. In UEM, it is increasing slowly but has not yet reached the 'point of no return'. It is an area where donors and the university could reach agreement to integrate such work into the life of the departments. The Faculty of Engineering of the UDSM is an interesting case to study.

In summary, UEM wishes to take a more strategic grasp over resources and believes that its capacity to do so will be assisted by donors giving more flexibility, based on a coordinated notion of the strategic direction of the university. Moves so far towards changing the balance between institutional support and project support, small as they are, are perceived as positive by UEM. UEM's request for these new practices has been responded to by some agencies. UEM believes that more could and should be done, and strongly perceives improvement in management of donor resources as part of the university strategy.

Donor and UEM Fund Management Practices

Most resources in UEM are not managed directly by the university. Table 3.5 details the funds managed by UEM.

Table 3.5 Funds Managed Directly by UEM, 1991 and 1992 (\$m US)

Fund Source	1991	1992 (est.)
Government of Mozambique	10.5	16.7
SAREC	1.8	1.8
NORAD	0.5	0.2
Ford Foundation	0.2	0.3
IDRC	0.03	0.05
DANIDA	0.03	0.3
SIDA	0.83	1.8
SACCAR (Sadcc)	0.005	-
Australia	0.03	0.04
Entrepoto	0.007	-
Commonwealth Fund	0.02	0.06
USAID	-	2.5
World Bank	-	0.8
TOTAL	14.00	24.7

Source: UEM Annual Reports

Apart from the government funds, in 1991 just 16 percent (\$3.4m of \$23.6m) were directly managed by UEM. 1992 saw an improvement to 28 percent (around \$8m of \$28.3m) as USAID and the World Bank moved fund management to the UEM. That still left a massive 72 percent of external (and around half of total university resources) not directly managed. The unmanaged funds include some with a high level of university-level institution building, such as the Netherlands/NUFFIC support, which is relatively long-term and where UEM has an accurate idea of resource availability over time but where fund

management is by and through the Netherlands partner universities. It also seems to include significant support which is completely 'in-kind' (staff, equipment, etc.), where the university must have tremendous difficulties of integration into its plans.

The university wishes to manage all of its resources. Management of donor funding is the most direct means by which the university can plan and implement its activities, and at the same time build its capability to serve students, teach and research, procure and maintain. Even so, UEM has built up its capacity to use donor support strategically. It has done so in a number of ways. First, there is now better overall information on donor support so that budgeting now integrates government and other funding. The new Directorate of Finance formally integrates what were previously two parallel systems — or rather a formal system for government funding coupled with a series of external funding systems. From 1992, there has been a study leading to implementation of new accounting systems.

Donor Support to Improve UEM's Ability to Manage Resources

There has been significant increase in donor support for management development, NUFFIC support has included technician training in laboratory management, and SAREC funding includes a component to the Centre for Electronics and Instrumentation for technician training for procurement, repair, and maintenance of scientific equipment. The British Council funded a 30-day introductory management course in Harare for 13 Directors and Heads of Department, and provided funds for two senior staff for advanced seminars in higher education management. SAREC has provided funding for a comparative analysis of financial administration. The World Bank support has an important management component. Ford Foundation is giving support for implementing the new governance and management structures. A procurement unit is being formed. But overall, this seems like an area which needs further careful thought and more resources. There is a tendency to give one-off support for masters and doctoral research studies in some areas where there is also a major need for good, tailor-made programmes for larger numbers of staff. There is a need for diverse kinds of management and professional training. Examples are library management, laboratory systems, procurement, higher education management, installation and maintenance of buildings, computing networking, and so on. There is thus a need to develop relevant education and training systems.

As described above, this first-phase study did not cover the ways in which donors manage their support to UEM. The study did, however, gather information on university management of donor support. At the moment, management systems are evolving rapidly as the new university management system works itself in. The basic system appears to be as follows:

- 1 Ultimate responsibility lies with the Rector's Office. The Office has copies of some of the Accords.
- 2 The Public Relations Office, directly under the Rector, has responsibility for international relations, Accord formulation, and signature. It has files on each donor, though does not keep the up-to-date agreements.
- 3 The Planning Directorate, also under the Rector, has responsibility for the university Annual Report system, and for the development of university-wide information systems.
- 4 The Directorate of Finance, under the Vice-Rector (Admin), has responsibility for financial accountability of donor support, as well as for all budgetary issues.
- 5 The Scientific Council, through its director, has responsibility for the technical reporting on research support.

At the moment, the division of responsibilities is not completely defined, though the need to produce an increasingly sophisticated Annual Report each year keeps up the pressure for coordination of donor support. The system works, but as ever, its smooth functioning depends on the drive and creativity of key individuals. For example, presently, it does seem that it is routine to develop and send reports from academic and administrative units to the Planning Directorate. The Directorate is developing information systems that should assist that process. But for it to work well will require a strongly proactive role by that Directorate. The Finance Directorate has, in practice, a responsibility over and above narrow financial accountability. Previously, the university had a Unit for Studies and Projects which had a high level of overall responsibility for reporting. The new system seems more logical but depends on more clarity about overall responsibility. At the moment, for example, there is no central repository for Accords and reports on donor support.

3.4 Reporting Requirements

Introduction

It is at the level of reporting that the managerial and administrative implications of the myriad donor systems come through. At the level of UEM, in comparison to UDSM, what was striking was the quantity of senior staff time needed for reporting. This results not only from historical centralised initiation of most donor contacts, but also from a university strategy that aims to coordinate all support in function of the university strategy. Each significant agreement requires central university staff in coordination work. The costs of compliance with reporting requirements are focused on scarce senior staff time.

The fact that university-wide coordination is working does not lower the overall requirements for reporting and accountability. But it changes the type of reporting required, from project-by-project reporting to integrated reporting. Improvement of coordination requires improvement of reporting systems that depends on changes both by donors and UEM. On the donor side, this requires use of the university Annual Report system, with much smaller technical and financial reports, if necessary. UEM, for its part, needs to improve the Annual Reporting system, using comments from its users, and will also need to clarify the new management responsibilities for reporting, especially if responsibilities are to be increasingly decentralised to directorates and faculties.

The Reporting Problem — Diversity of Reporting Systems

Appendix 3b (columns on report type and frequency) gives an idea of the diversity of reporting systems. There has been a major proliferation of report requirements. Some donors require six-monthly reports, most require annual reports for each of their projects, some projects run for two years, others have three- and four-year phasing, many require regular visits to UEM by representatives of the donor, a significant proportion have midterm reviews and evaluations, some prefer all of their university projects to be reported on as a whole, others report on a project by project or department by department basis. Some projects are directly negotiated by UEM, some are part of bilateral inter-government negotiations. Some projects have formal programme implementation units, with meetings, sometimes inter-ministerial.

At one level, it is natural that each donor has its own reporting requirements since it has its own internal management of donor support and its own accountability systems. Some donors are cognisant of the workload and phrase their reporting requirements rather vaguely, as for example 'in consultation with UEM', I was told. One senior administrator said 'the fax and telephone are more important than the written report'. Nevertheless, individual reports are still required in most cases.

At the same time as an increase in time spent on reports, one concern within the university is that in some cases reports are produced by the link university, so no one from UEM gets to assist with the writing of reports, and thus there is no practice in report-writing systems.

UEM recently began to think seriously about the effects of the multiple reporting systems on its ability to manage itself during a period of rapid transformation. In comparison to the present situation in UDSM, the reporting in UEM puts more strain on the central authorities. This results from the UEM authorities' improved coordination of donor support and need for improved integration. Interestingly, it was the attempt to integrate planning and reporting that triggered UEM's proposals to streamline reporting.

Although in principle, the UEM could gradually decentralise a good deal of reporting to faculty and directorate levels, there will still be a need for strategic planning and thus good information on the state of donor support. As an example, the SAREC support is mostly for research projects. Much of the reporting could be decentralised down to research project leaders, but SAREC support is given with an overarching aim to build research capacity among quite inexperienced researchers in a university with weak basic infrastructure. Thus, there is a strong strategic dimension to SAREC support that requires university-level input at Scientific Council and Finance levels.

At the moment there is no central information system on donor support and no central place for records, but one is planned in the near future.

UEM Proposals on Reporting Systems

UEM began to find that donor reporting systems, whilst probably having a certain logic when taken separately, added up to a situation which was acting against rather than with, the university's efforts to reform itself. Thus, Rector Narciso Matos proposed that receiving institutions should improve their capacity to plan strategically and thus

present clear and coordinated objectives, and improve internal evaluation and reporting mechanisms. For their part, donors support should be to improve decision-making and managerial capabilities of receiving institutions, and thus should go to plans proposed by the institutions according to their priorities. The administrative burden of receiving institutions should be reduced by donors agreeing types and frequency of reports (Matos, 1992a).

More specifically, UEM decided to act to

minimise and seek to eliminate the overburden of administrative and managerial procedures required by each donor institution, in what regards project elaboration, its evaluation and accountability. UEM would annually organise consultative meetings to present assessments of activities undertaken in the previous year and plans for the following years, firstly at the central level and progressively at the faculty level. UEM would gradually improve those reports taking into consideration the opinions and suggestions of the partners involved, in order to reach a report which would be acceptable for all donors, thus avoiding the preparation of a multitude of different reports for each donor (Matos, 1992b).

Results so far have been mixed. There is a fair agreement that UEM has been working hard towards its goal of improving report systems. For example, it has so far held three consultative meetings to discuss its annual progress and future plans. Major changes have been made towards increasing the autonomy of UEM, including the reorganisation of university governance systems and restructuring of financial administration with independent audit of all managed funds.

In my study visit to Maputo in May 1993, I was told about the following proposed improvements to the Annual Reporting systems:

- (i) The Planning Directorate has developed improved systems for report-making, in an attempt to improve the second Annual Report, using oral comments from donors and others in the previous annual consultative process.
- (ii) More generally, a new post of Vice-Rector (Academic) has been filled, new directorates of Planning and Finance created, and work begun on external auditing.
- (iii) There will be pilot Annual Report meetings organised in more than one faculty for the first time in 1993, thus allowing more discussion and debate at faculty level, and more time to strengthen faculty-level reporting. This should assist, in the medium term, the decentralisation of some reporting/strategy-making. It is likely that three of the large faculties will have annual meetings this year, and most others are working to improve their, often rudimentary, reporting systems.

There is, I believe, a strong sense within UEM's senior management that donors have been very pleased with UEM's recent progress. But there was, I think, some frustration at the lack of reactions from donors to the ideas for new reporting systems and the proposals to streamline reporting and a concern that lack of donor support may indicate a possible lack of interest in integrated reporting. There has been little detailed feedback on the Annual Report and consultative meeting process.

However, the perception is that donors are pleased with the changes occurring at UEM and are supporting them. But as yet few donors have committed themselves to UEM's proposed strategy and reporting system. Given the vision and strength of the proposals and the overall support for them with little criticism, that would seem to be a weakness among donors that they might urgently reconsider.

3.5 Summary

- 1 Important changes have taken place in the last few years in UEM. A clear mission has been developed for the university in extraordinarily difficult external circumstances of structural adjustment during war.
- 2 The case of UEM illustrates the importance in this period for institutional capacity-building (management and decision-making, building rehabilitation, procurement units, libraries, travel, scholarship, budgetary support) as well as the more normal donor support directly used for teaching and research.
- 3 UEM has developed its new approach as a 'learning organisation'. It has not waited for the mythical 'perfect plan', but rather has pushed as far as it could with its ideas and then tried to learn from implementation.
- 4 Donors have supported the changes with increased support, increases in institutional funding, and some increases in flexible funding.

- 5 There have been some increases in managerial capacity in UEM, and support has recently been given to increase it further. For example, improved coordination has improved the even spread of resources around all priority areas.
- 6 Further progress will be accelerated by more donor flexibility and acceptance of integrated institutional reporting on the basis of clear, implementable, university plans.
- 7 In the case of UEM, no one is asking donors to support a 'paper plan'. Rather, the results are there to see and there is clear evidence of the increased transparency of the situation.
- 8 Therefore, the next step is for donors and UEM to agree on streamlined reporting systems. In principle, this could begin with the 1992-93 Annual Report discussions.
- 9 For its part, UEM will need to continue to improve its institutional reporting systems, at the centre and particularly in the faculties. The key issue is how to decentralise without constructing departmental and faculty 'baronies', thus losing the ability to coordinate university strategy which has been gained over the last years.

4 UNIVERSITY OF DAR ES SALAAM

4.1 Background

The University of Dar Es Salaam (UDSM) was established in the early 1960s, just as was UEM, but in rather different circumstances. In 1960, Tanzania had gained independence, and was the only country of the then East African Federation not to have a higher educational establishment. Some London University higher education courses were taught in Dar Es Salaam from 1961, and in 1963 a University College was formally constituted as part of the University of East Africa. 'The idea of the University College fitted well in the battle against the three big identified enemies of the nation — poverty, disease and ignorance. The University College was considered as one of the overall instruments of development' (UDSM, 1993: C1).

The new campus was built between 1964 and 1970 with significant bilateral aid for the new faculty buildings, as was the Engineering Faculty in the early 1970s. But only in the latter faculty has there been continuous external support based on the concept of institution building.

On the disbanding of the University of East Africa in 1970, the University College became the University of Dar Es Salaam. During the 1970s the young university became a forceful and creative institution producing top-class graduates with bachelor's degrees, whilst

setting up a wide range of masters programmes and beginning doctoral studies. Prominent Tanzanian academic staff members emerged to bring academic leadership to the institution. The consolidation of the 1980s, when the Agricultural Faculty became a separate university, ran into major resource constraints as the decade progressed. The efforts of the well-trained academic staff, in their vast majority Tanzanian, began to fragment as individual and institutional material conditions rapidly deteriorated. A vicious circle of fragmentation of academic life ensued, academic autonomy was eroded, and many senior Tanzanian staff left the university for jobs inside and outside the country. As the fragmentation grew, the budgets hit stricter and stricter constraints, and senior staff academic survival depended on developing some autonomous activity, inside or outside the university.

For many of the staff of the university, the sheer necessity for survival meant that all the academic activities—teaching, research and attainment of knowledge—became secondary or tertiary activities. . . . Management lacked the capability to monitor the likely impact the changes in the environment, which started in the late 1970s, were going to be on the philosophy and style of management and on the expectations and mission of the University of Dar Es Salaam (UDSM, 1993, C3).

Donor support to the university continued but, with a few important exceptions, amounted to a relatively large number of small projects with short-term funding horizons. As the 1980s progressed, support grew with more departmental strengthening programmes. But core government funding decreased relatively and with it the ability to glue together the maze of initiatives.

The previous Vice-Chancellor began a process of stabilisation of the institution and the present university leadership is committed to a process of transformation of the university.

The university has six faculties (Arts and Social Sciences, Commerce and Management, Education, Science, Law, and Engineering), together with the Muhimbili University College of Health Sciences, with four faculties (Medicine, Nursing, Dentistry, and Pharmaceutical Sciences). There are five autonomous research and development institutes (Development Studies-IDS, Kiswahili Research-IKR, Marine Sciences-IMS, Production Innovation-IPI, and Resource Assessment-IRA). Muhimbili also has five Institutes. The Vice-Chancellor, Chief Academic Officer, and Chief Administrative Officer, together with the Principal of the Muhimbili University College, are the senior officers of the university. They are all practicing and respected academics.

The university produces an Annual Report which is a legal obligation. But it is often delayed and does not contain all the key information. The latest one has sections missing from certain faculties and institutes. None of the administrative sections has a section in the report.

Unlike UEM in Mozambique, UDSM is one of many further and higher educational institutes. Widstrand (1992) mentions 264 post-secondary institutions in his review of Tanzanian research. Thus the fragmentation of the university is rather mirrored by the fragmentation of post-secondary education generally. The upgrading of the Medical Faculty into an autonomous college seems to fit this 'amoeba' trend. As the units become more and isolated, the budget for each becomes less and less tenable.

Student numbers at the UDSM have stagnated at a little over 3,000 over the last years but pass rates are good, unlike at UEM, with almost 700 bachelor-level graduates in 1991-92. Staff numbers have been rising steadily. Academic staff numbers are around 690, but many fewer are in post at any one time — fewer than 500, around one-half with Ph.Ds. Meanwhile, huge numbers of students are engaged in studies outside of Tanzania.

Government support to the university is not sufficient for the sustainability of the institution. Table 4.1 gives the budgets over the last years. Overall, the table shows the crisis of funding from the mid-1980s. The process of budget-making is itself an indication of the lack of understanding between government and the university. There has been an increasing gap between budget requests and actual allocations, so that in 1992/93 only 35 percent of the request was granted. The university believes that its requests are a reasonable indication of the real needs of the institution, though they acknowledge that the budget requests are, in their words, 'not made completely scientifically'.

The budget system is generally perceived as unsatisfactory. First, the salary component is met in full, giving little incentive to rethink staffing needs (see Table 4.2). Around 80 percent of student direct costs were met eventually in 1991/92, since the government agreed to increase students' meal and field allowances, compared with just 30 percent of university operating costs ('other charges' in the table). Given that the government funds around 90 percent of recurrent expenditure, even allowing for some 'overbidding', it should be clear that the university does not have sufficient government funds for its day-to-day budget needs.

Figure 4.1 Budget request and allocation equivalent

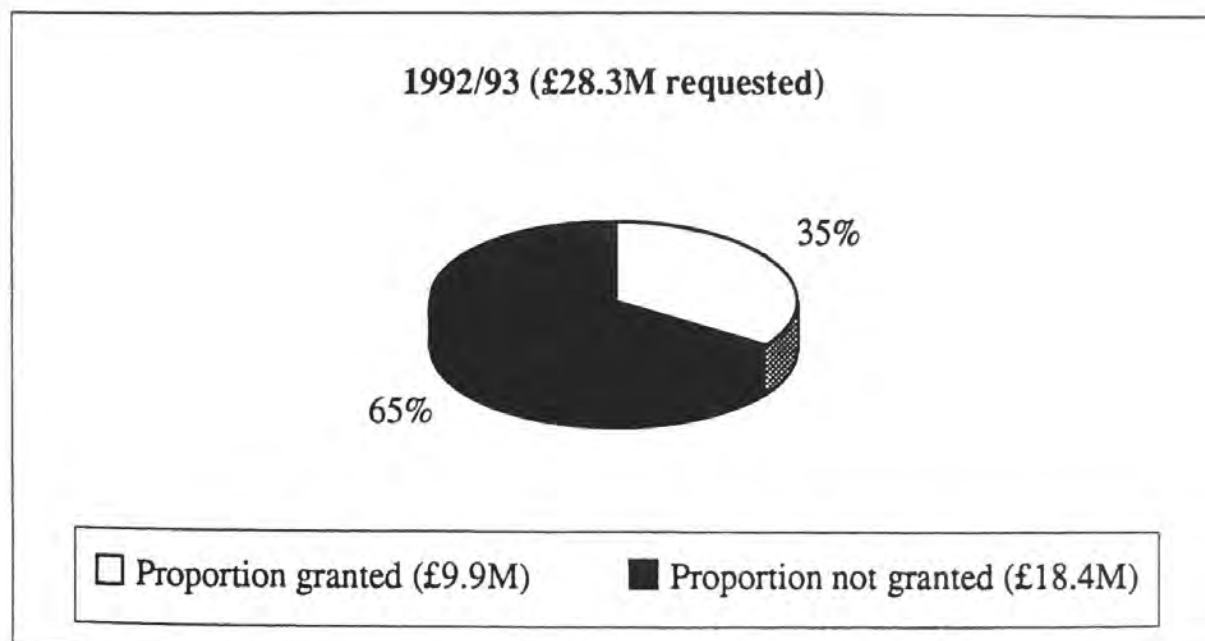
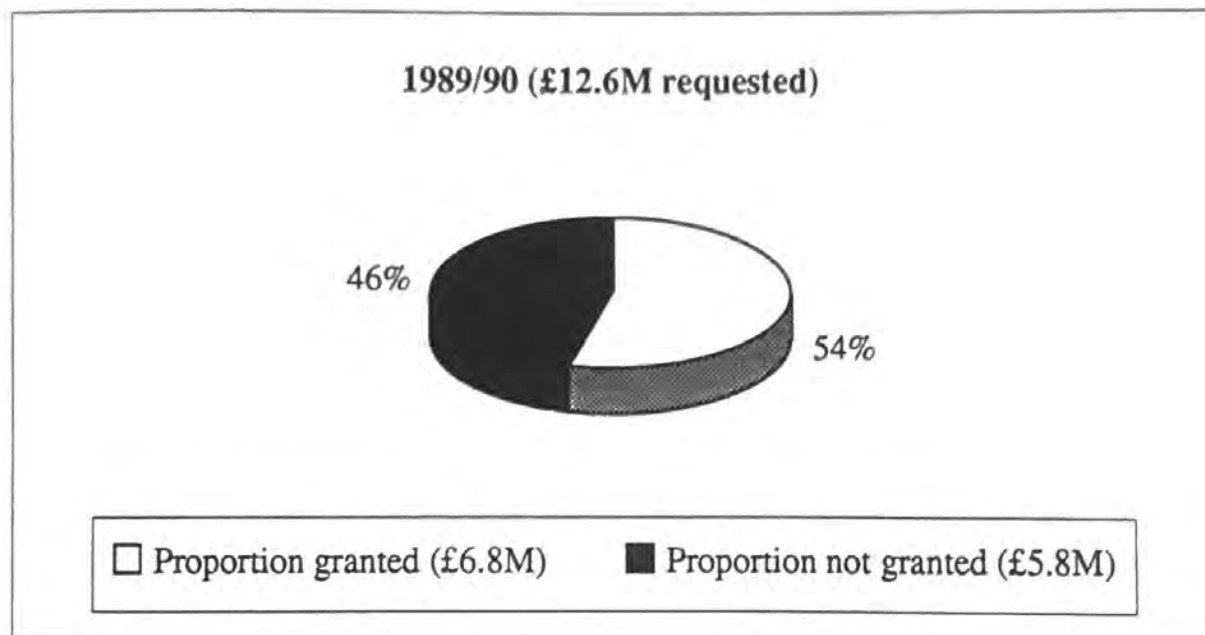
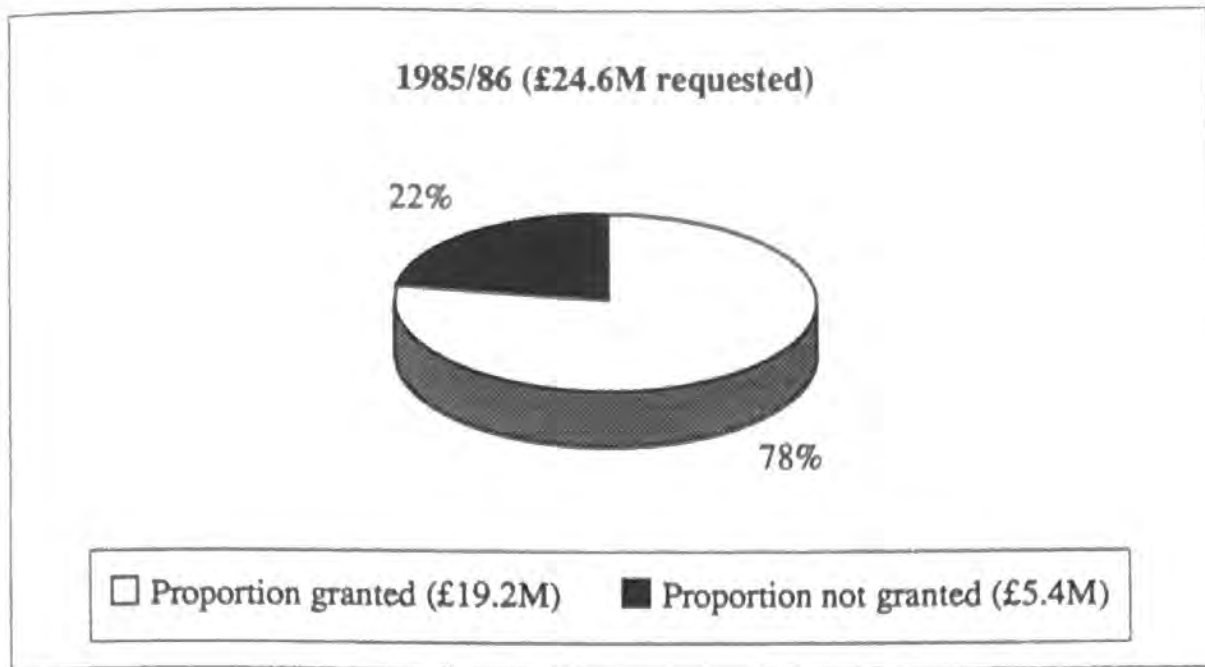


Table 4.1 Budget Requests and Allocations, 1985-94
(million Tanzanian shillings)

Year	Requested Budget	Actual Budget	% of Request	\$US m Equiv.	Exchange Rate
1985/86	419	326	78	19.2	17
1986/87	503	446	89	8.6	52
1987/88	822	501	61	6.0	84
1988/89	1,235	801	65	6.4	125
1989/90	2,418	1,303	54	6.8	192
1990/91	4,802	2,004	42	10.2	197
1991/92	6,647	3,386	51	14.6	232
1992/93	9,401	3,296	35	9.9	330
1993/94*	8,000	2,900	36		

* Estimate. In 1993/94 the budget will not include some direct grants to students. The change is in function of giving students more responsibility for buying food, books etc. This will probably amount to 1.3 billion shillings, making the total to compare with 1992/93 4.3 billion shillings.

Source: Bursar's Office.

Table 4.2 Breakdown of Budget, 1991 (m TzShs)

Item	Budget Request	Initial Budget Allocation	Final Budget Allocation	%
Staffing	615	615	1,019	100
Other Charges	4,210	1,284	1,284	30
Special Expenditure	685	209	209	31
Student Direct Costs	1,126	532	874	78
TOTAL	6,636	2,640	3,386	51

Source: Bursar's Office.

4.2 The Level and Nature of Donor Support

Overall Level of Donor Support

It is safe to say that the proportion of donor support to the university has been rising over the last years. The UDSM would be first to say that it does not have a very clear idea of the level of donor support to the institution. There are no accurate totals, since the university

does not budget for external funds in a comprehensive way. A recent document from the university attempts to begin the process of such accounting. It gives amounts for budget year July 1991/92 for a range of, but not all, donors (see Table 4.3). Its total for external funds was over 40 percent of the total budget of 4.8 billion shillings. This is a significant underestimate.

The report makes it clear that this is not an accurate total. The figures for Engineering and IPI are very good estimates. It explains that link agreements where funds are administered outside the university is not always included and suggests that the worst estimates may be in the Institute of Marine Sciences (IMS) and Arts and Social Science. But the data are sufficiently good to estimate that almost half of the universities resources in the last few years have come from international donors.

Donor Support by Faculty/Institute

Table 4.4 gives an idea of the level of donor support to each academic unit. It shows that most faculties are highly dependent on donor support. It is not possible to obtain an accurate indication of the donor proportion of Faculty/Institute resources, since the university budgets do not differentiate by faculty or institute. As an example, the 1991/92 government budget of 1,690 million Tanzanian shillings allocated to administration includes all administrative and academic salaries — a total of 1,019 million. This total cannot yet be allocated by faculty or institute. It is not surprising to find that the Faculty of Engineering obtains the highest level of funding from donors (887m Tz shs), though perhaps it is more surprising that the Science Faculty obtains 568m Tz shs from donors. There is a rather strong division table of donor support, by faculty. Thus Science and Engineering are at the top, Arts and Social Science/Commerce and Management/Education come next, and Law is at the bottom. There is less difference between the research institutes that have released figures. The unit that rather stands out is the Computer Unit, responsible for student computing services, which has very weak donor support, illustrating that gross unevenness of funding has very negative consequences for teaching. To give an indication of the importance of donor support by faculty, Table 4.5 compares it against the operating budgets allocated to each Faculty/Institute. The operating budgets do not include salaries, so constitute only the resources for day-to-day activities, such as teaching materials, laboratory consumables, photocopying, computing, furniture, and petrol. These data need to be treated with caution, since the donor component has not been differentiated; but they serve to illustrate the extent to which faculties and institutes are dependent on donor support.

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**Table 4.3 UDSM Budget 1991/92 Including Estimated Donor Support
(million Tz shs)**

Unit	Govt.	Donor	Total
Admin (VC,CACO,CADO)	1,690	62	1,752
Health	72	-	72
Library	61	45	106
Estates	248	378	626
Cafe	56	-	56
Dean of Students	20	-	20
Student Direct Costs	874	-	874
Faculty: Arts/Social Sciences	44	141	185
Commerce/Management	20	35	55
Education	28	48	76
Science	72	568	640
Engineering	70	887	967
Law	6	3	9
IDS	21	58	78
IKR	23	na	23
IRA	11	27	38
IMS	28	na	28
IPI	28	50	77
TOTAL	3,386	2,302	5,687

Source: Bursar's Office

Table 4.4 Donor Support by Unit, 1991/92

	Total (mTz shs)
Arts and Social Science	141
Commerce and Management	35
Education	48
Science	568
Engineering	887
Law	3
Inst. Development Studies	58
Inst. Kiswahili Research	na
Inst. Resource Assessment	27
Inst. Marine Sciences	na
Inst. Production Innovation	50
Library	45
Estates	378
Computer Unit	0
TOTAL	2,240

Table 4.5 Importance of Donor Support, by Faculty/Institute, 1991/92

	Operating Budget (m Tz shs)	Donor Support (est.)	Donor/ Operating Budget (Ratio)
Arts and Social Science	44	141	3.5
Commerce and Management	20	35	1.8
Education	28	48	1.7
Science	72	568	7.9
Engineering	70	887	12.7
Law	6	3	0.3
Inst. Development Studies	21	58	1.8
Inst. Kiswahili Research	23	na	na
Inst. Resource Assessment	11	27	2.7
Inst. Marine Sciences	28	na	na
Inst. Production Innovation	28	50	1.8
Library	61	45	0.7
Estates	248	378	1.5
Computer Unit	14	0	0
TOTAL	674	2,240	

Overall, what is masked here is big differences within faculties, and between sections with funding and sections without. Appendix 4a is an attempt to detail donor support by department and faculty. It gives some idea of the atomised and uneven situation. Table 4.6 gives a rough estimate of the links by faculty. It is not accurate since it doubtless contains some dormant links and omits some existing links.

What Table 4.6 does not do is show which are the most important links, quantitatively or qualitatively. For example, it does not show the difference between the institutional support of GTZ and SDC to the Engineering faculty and the unit-level support within science. At risk of superficiality, I shall assess the situation by faculty.

Table 4.6 Number of External Links (Estimate)

Arts and Social Sciences	30
Commerce and Management	2
Education	8
Engineering	20
Law	3
Science	20
IDS	10
IKR	4
IPI	3
IRA	5
Computer Centre	0
Library	2
Estates	2
DUP	1
Central Administration	1
Muhimbili University College	22
TOTAL	133

The Engineering Faculty (FoE) has been the focus of an extensive faculty institutional review process since 1988/89. It is a faculty that has historically been planned as a faculty, and has always had significant institutional donor support, a necessary but not sufficient factor for its relative health. The other unit to have had similarly fortunate donor support, the Institute of Production Innovation (IPI), was described to me as not having found a clear niche for itself. FoE has managed to continue to operate as a coordinated faculty. It is the only unit in UDSM to have a formal annual report procedure that links to an Annual

consultative meeting (see, for example, FoE, 1992). The faculty has a unit to coordinate consultancy and ensure more even consultancy workloads so that both individuals and faculty benefit.

The situation in the Science Faculty could not be much more different. This six-department faculty (Chemistry, Botany, Zoology, Mathematics, Geology, and Physics), plus a Central Workshop, operates as a loose amalgam rather than as a tightly coordinated faculty. Donor support accounts for a high level of total support, though less than Engineering. Since donor support is so very significant for the survival of the departments and the Faculty, it might be expected that there would be some sort of coordinated strategy even if the implementation were decentralised. However, it seems to be less a decentralised system than an atomised one. Such coordination as exists happens at departmental or unit level.

The Arts and Social Science Faculty has historically been a regional centre of excellence. It was a large faculty and spawned the education and commerce faculties in the 1980s. Some historically strong departments have fragmented badly, and most famous and senior academics have either left the university or 'do their own thing'. Overall, it seems very difficult to get staff to think of common good. Staff in economics, for example, do significant amounts of personal consultancy, as do staff in ERB, with seemingly little attempt to coordinate or share. I was informed that this was not so in Economics earlier in the 1980s when the then Head of Department brought in lots of consultancy to the department and shared it out among staff. At the moment, the system in the faculty is very individualised, where even in departments that obtain good funding it is not clear how much it strengthens the department. And some departments do rather badly, so some departments were described to me as 'orphans' with 'no one to look after them'.

The Education faculty became an autonomous faculty in 1989. It has spent some time thinking about the structure and plans for the Faculty, producing a document on the vision and mission of the faculty (see UDSM, 1992). Although it has attracted reasonable amounts of funding over the last few years, it is not enough for the development of a unit with rather weak infrastructure. Nevertheless, it has the beginnings of a focused approach to its future, with ideas about what it wants to do.

The Faculty of Commerce and Management is another relatively new faculty that was set up seemingly without thought to the cost of housing it. At the moment, after ten years, it is still squatting in the Arts and Social Science Faculty buildings. I was told of shortage of staff and problems of staff retention. Staff with MBAs are particularly difficult to keep.

The Law Faculty has probably received the least donor support. Nevertheless, it does operate as a coordinated faculty, with its four departments linked closely together. It does not, however, seem to have even basic equipment. There are, for example, no computers in the faculty at all!

Donor Support, by Donor

It is already clear that there is extensive donor support, that it is not enough, and most important that it is not, in the main, well coordinated. The information in Appendices 4a and 4b was gathered from a wide range of sources. There is no comprehensive information on UDSM-donor links. The Links Office has a list of about 75 links. But there are no comprehensive data on each link. Links with few or no resources are listed together with major long-term links with very significant funding. The Planning Office has also collected data on external funds support, such as that reported in Table 4.3. The way information was collected for this study was to go from unit to unit gathering it. The data collected for the present study suggest that there are more than 100 significant links. There is significant support from a wide range of donors, of which the most important are probably British Council, CIDA, DANIDA, FINNIDA, GTZ, IDRC, NORAD, NUFFIC, SAREC, SDC, and SIDA. In comparison with Eduardo Mondlane University, (UEM) NORAD, British Council, IDRC, DANIDA, GTZ, and SDC have more extensive links in UDSM than in UEM.

Much support has continued for long periods, ten years being quite common. In the case of Engineering, the support from GTZ has been continuous for 20 years and from SDC for 18 years. NORAD support in Chemistry and Chemical Engineering has continued for twelve years, and NUFFIC has supported microbiology for ten years. This type of support has usually built strong personal and work links between a particular donor and a particular unit or department.

Appendix 4b shows that most of the key donors have a wide range of links. NORAD/NUFU, for example, not only have the two wide-ranging institutional links in Chemistry and Chemical Engineering but links in many other units. It is not clear whether NORAD attempts to coordinate its university support as a whole. The British Council has twelve ongoing links, many quite small-scale, which are now coordinated through a meeting chaired by the Chief Academic Officer. SAREC, interestingly, operates differently in UDSM than in UEM, in that it is not clear that the different UDSM projects communicate with each other or are planned for institutional-capacity building.

The overall impression of donor support to UDSM is how important it has become, and how relatively weak it is as institutional support.

Initiation of Support

In contrast to UEM, initiation in UDSM almost always begins with personal contacts. The important counter-examples are the significant GTZ and SDC bilateral agreements from the 1970s. The history of the NORAD links, for example, lie with a Norwegian professor who worked in UDSM and has continued his contacts to this day. He was recently given

an honorary degree by the UDSM for his services to the university. The Irish HEDCO agreements also seem to have begun with two Irish expatriate staff. Other UDSM staff mentioned contacts made during PhD studies, previous expatriate staff at UDSM, and chance meetings at seminars. None mentioned the central units in the UDSM (the links office and the planning office) as initiating contacts.

Characterisation of Support

In comparison to UEM (see Table 3.4), there is significantly less of the institutional support that UEM has begun to obtain through its university strategy development. Neither are there many university-wide programmes of support — apart from support to estates, and the library (Table 4.7). This is not surprising, given the atomised nature of UDSM donor support. At the same time, the central university coordinating capacity is relatively weak and with little experience of finding support to 'give' to faculties and institutes. Given the history of distrust of central administration regarding correct use of donor funds pigeon-holed for particular units (see 'Management of Funds' section below), faculties would be very wary of any attempts to use central authorities to coordinate donor support. Thus, any change needs to be incremental in function of clear institutional transformation objectives and not just 'band-aid'.

The most important and impressive type of support from the perspective of institutional support based on a strategic and coordinated approach to donors is that in the Faculty of Engineering. The Swiss SDC and German GTZ bilateral support to the Faculty of Engineering is based on annual consultative procedures, faculty annual reporting, and planning procedures. The key observation is that these reporting processes are an integral part of the faculty's own strategic management processes.

Table 4.7 Characterisation of Donor Support to UDSM

(i)	Infrastructural support for central university institutions (e.g. library, estates, central administration).
(ii)	Faculty-wide institutional support with annual reporting and planning systems.
(iii)	Support of a programmatic nature with broad, multiple and integrated objectives usually to support a dept. or unit (like microbiology). Such support usually includes measures to improve teaching, staff development, equipment and research (eg NUFFIC, NORAD, and on a smaller scale British Council and HEDCO).
(iv)	Project research support (IDRC, SAREC). Sometimes such support brings much needed infrastructure (equipment) into depts; as well as assisting the researchers with their day to day material difficulties of doing research.
(v)	One-off projects
(vi)	Support for seminars, printing journals,
(vii)	Consultancies, some faculties and institutes registering them (Engineering, IRA, IDS), and others not.

The most important types of broadly based support in UDSM are those to strengthen a department or unit within a department. Much NUFFIC and NORAD support is of this kind. These support systems are a key element in UDSM, but they are not designed to bring institutional support to the university. NORAD has been giving overhead support in its grants; it is not clear what it is used for.

Another type of support is for research projects where there is an associated attempt to support a university-wide institution, as with SAREC support to the library. Some such research projects do bring much needed infrastructure to the university, like computers, transport, and photocopying machines. This is significant, but a little less prevalent than in UEM. In its most recent biennial funding, SAREC has given a small amount towards university coordination and communication of SAREC-sponsored research. Recently, a small grant was given to assist the Institutional Transformation Programme.

Overall, the situation is fragmented and uneven. The university has an idea which areas are 'orphans', but data are weak. The Faculty of Engineering stands out, and a good few departments have benefitted from long-term support. But the need for more university-wide support is very apparent. The Institutional Transformation Programme is designed to begin such a process.

4.3 Donor Policies and Practices

Donor Policies

UDSM does not, as yet, have a clear institutional view of donor policies and an approach to the coordination of donor support, in the way that UEM has built up over the last years.

There is also history of separation of donor from government funding. This is associated with a history of relative separation of academic issues (which academics have tried to control) from overall administrative issues. It is important to underline the perception among many academics that some of the central administration exists as a controlling arm of government rather than as a servicing unit to assist teaching and research. Within this perspective, then, donor support that is inside departments and units is support that is not easily controlled by the central administration. This perspective is obviously a simplification for a number of reasons. For example, the university leadership now in post are university academics from UDSM, committed to transformation. However, it is important to remember that these tensions surround questions of donor support.

Among those searching for donor support, there is a strong perception that donors have different styles needing to be accommodated if funding is to be obtained. Much donor support is initiated by individuals within the university. They have a reasonably accurate perception of the approach taken by the donors who fund them. Each project tends to be a separate thing with its own style wrapped up in the way the 'local champion' of the research and the donor agent on the ground have discussed and developed the proposal. This style of operation does not lead to pressure for more flexibility and funding for the institution as a whole. Neither does it provide learning experiences for central administration in working for even-handed institutional capacity building that gains the respect of working academics.

There is, of course, the feeling, shared by most academics, that they would prefer to get funding without having to write reports! This leads to sloppy reporting, since there is no peer group or departmental pressure to discuss research and research reports in UDSM. In UDSM, there is a feeling that some reporting is very weak and embarrasses the university. The evidence I saw suggested rather that it was uneven — some very good, some less good. There is no pressure from most funded academics in UDSM for more institutional funding even where it is patently obvious that their work depends on it. Rather, the approach is to put a frontier (literally using locks and metal doors) between their work and the rest of the university.

There are two locations where I found a broader approach to donor policy than that based on an ad hoc project-by-project approach. That was in the Faculty of Engineering and among some senior staff. In the Faculty of Engineering, the post-1988 review of activities

led to a faculty-based strategic management style that has a certain amount in common with UEM. The decision that the future of the faculty as a top-class engineering educational establishment depended on a clear strategy for development of the faculty as an integrated whole, led to the view that donor support also had to be coordinated. That is the reason for the annual meeting where the faculty presents its report and plans to government, prospective employers, and donors. This in turn leads to a continuing quest to persuade donors to give more flexible and more programmatic funding. So here, one finds the same perception towards donor funding as in UEM — that it needs to be more flexible, broadly based, and holistic.

The other place where I found more sense of an institutional approach was among some of the university leadership who have been thinking about the need for an institutional transformation programme. For example, Professor Mkude, Chief Administrative Officer, made the point that the central administration of the university should not be involved in line-by-line and top-down control of external funds, an approach which has grown to control government funds and leads to delays in payment, procurement problems, and the Chief Administrative Officer personally signing university cheques. But the university at least needed to know about the quantity and flow of donor funding into university activities. 'We need to know what is the impact of donor funding on the development of the university. We also need to avoid massive imbalances or at least to be aware of where the major imbalances are'. He was very aware of the accounting system at the moment where 'we check the shillings' without having a clear sense of the whole. He made the point that the administration needs to be much more proactive if it is to persuade donors to support institutional transformation and move from the present project-by-project, programme-by-programme approach. He was also aware of the wariness of academics of having their activities constrained by contact with the administration. He argued that a more transparent information system linked to a more decentralised administrative system would help.

Another example of a more proactive approach by the university leadership was when the university changed the management of a proposed project on biodiversity funded by FAO, to be located in four university departments. Originally, the project was to be undertaken using a separate agreements with each university unit, but the university asked for and obtained an agreement for an integrated university-wide agreement, where: 'FAO is at liberty to sign separate contractual letters of agreement with any of the four UDSM departments involved in the biodiversity project provided that such agreements embody the letter and spirit of the overall cooperation agreement'. This was seen as an advance by the university.

There have been some recent moves to set up university-wide coordination of donor support, where senior members of the university management chair coordination panels. This seems to be an advance on previous fragmentation. However, if every major donor had such a system even once a year, the result would be a large use of senior management time. Hence, the recent (September 1993) Institutional Transformation Program meeting with government, university, Tanzanian institutions, and donors (UDSM, 1993) marks a significant advance in the search for an integrated strategy for the university.

Management of Funds

Until recently, fund management of donor funds has happened at project level only. The university until very recently had weak data on the extent of donor funding. The situation did not arise out of the blue. There was a period when donor funds reaching the university accounting system were used for other purposes than those agreed, often to keep the university afloat. There is also a strong critique of the internal budgeting system and a wish by academics not to get embroiled in it. The result seems to have been that both project leaders and donors supported a system where funds were kept away from Tanzanian banks if at all possible. Thankfully, that period is drawing to a close. Projects, departments, and faculties can bring money to the university now without problems. Foreign exchange accounts can be opened officially with university signatories. However, it will take more change and some time before the academic community rebuilds its faith in the university authorities. In the meantime, many Tanzanian coordinators of projects are clear that they still prefer 'their' donor support to stay in the donor country for them to request for procurement when they wish. This means that the Tanzanian economy cannot gain from the funds being used for local purchases. Here again the engineering faculty has a policy that, where possible, procurement should take place within the country. They say that their local procurement system has been very successful.

In the meantime, a new accounting system is being built in the university. At the moment, the only funds that are audited officially are the government funds. One reaction to this unsatisfactory state of affairs is to argue that a new universal accounting system should be established. At present, donor funds go to the departments, faculties, and projects. Projects that need a centrally audited account get an audit stamp and signature by going to the accountant. It is seen as 'outside' of the 'official system', since the 'official' system is, by definition, that for the government funds. The danger with changing the system for donor funds is that the system in place for government funds is time-consuming, bureaucratic, and 'controlling', and a major reason why the funds have moved from the centre in the first place.

Before changing management systems it would, I believe, be better to study some decentralised systems in UDSM that do work to keep pro-active control of funds. Thus,

the faculties and institutes with systems in place should be studied before the bursar begins his transformation of budget systems. A first step might be to work on two fronts: to build up systems for donor funds coordination at the same time as simplifying government budgeting systems, rather than to try a once-off radical change.

In summary, the Faculty of Engineering is ready immediately to begin a serious coordination of donor support with flexible funding. The university leadership wishes to move in that direction for the whole institution and has begun an Institutional Transformation Programme. Any improvement of planning for donor funding will depend on simplified audit systems and avoidance of over-centralised, over-detailed and over-bureaucratised controls that act against real-time management flexibility. Put simply, flexible funding requires flexible and transparent management systems.

4.4 Reporting Requirements

Diversity of Reporting Systems

Appendix 4b gives an idea of the wide range of reporting systems in place in the university. A relatively large number of agencies require six-monthly reports. FINNIDA asks for six-monthly progress reporting to include financial accounts. NUFFIC asks for six-monthly reports with financial statement. GTZ and SDC need six-monthly reports produced by its representative in Dar Es Salaam. NORAD asks for a quarterly statement of accounts and an annual report on activities. Its key activity in Chemistry and Chemical Engineering involves an annual visit to the university. SIDA ask for an annual report. British Council asks for annual reports on its links, plus a report from each individual involved in an activity. HEDCO asks for quarterly reports from its representative in UDSM and makes an annual visit to the university. DANIDA asks for annual reports on its projects, as does SAREC. The person or agency responsible for reporting also varies tremendously. The only rule seems to be that the central authorities of the university are only responsible for signing the financial statement and sometimes signing reports produced by project leaders. Since most of the funds are not managed within the university, the final responsibility for much reporting lies with the donor representative. In the case of NUFFIC, this is the Netherlands lead university. For GTZ it is the resident representative in Dar Es Salaam. SDC (Swiss) assistance to the Engineering Faculty is managed by GTZ. HEDCO's report is drafted by their representative at the university.

The agencies that give responsibility for reporting to the university include IDRC and SAREC, where project leaders are responsible for the technical reports and for producing a financial statement signed by the bursar. NORAD has recently changed its system. Now the university departments of Chemistry and Chemical Engineering are responsible for reporting. Previously SINTEF, an agency charged with assisting the projects, wrote reports to NORAD and NORAD did a significant amount of administration for the projects,

particularly procurement. Now that is expected that the university departments do it and SINTEF reports to the university department not to NORAD. This change may have been too abrupt, with not enough training, but is certainly a move towards giving the university more control over its funds.

Only in the Faculty of Engineering has there been a serious attempt to rationalise reporting. Each year since 1990 there has been a conference to report and present plans. The first, in 1990, was called a donors conference. It became clear that a broader constituency of interested parties should be involved in consultation on the faculty, so they are now called Annual Coordinating Conferences and all the faculty's funds and users are invited. The *Annual Report 1991/92 and Development Plan 1993/95*, produced in December 1992, is a comprehensive document with six sections and around 100 pages plus appendices.

It is obvious that large amounts of time are spent in reporting. But the time used is very decentralised, in comparison to the situation in UEM. Although reporting is seen as a chore, it has not become a key issue as in UEM. The reason is that, in general, there is no coordination. Individuals know that if they are to get further funds they must report, and that no one else will do it for them. The result is that if the individual takes reporting seriously, there will be a good report; and if the individual is doing too many such projects, or is involved in other activities, or leaves the university, the reporting can be weak or non-existent. The places where reporting is an issue are precisely those where there is a pressure for overall coordination and strategy: again the Faculty of Engineering and the Central Administration.

In the Faculty of Engineering, the need for integrated reporting and more flexible systems based on the faculty's annual consultative process was clearly articulated. If the faculty were not clear about the general funding situation in the faculty, I was told, it would not be able to think about, and decide on, priority areas and areas not getting support. In the university central administration, it was put more in terms of avoiding embarrassment when donors and other agents go to the senior staff of UDSM to complain about work badly done, including work given out as private consultancy.

To summarise, reporting in UDSM is decentralised with no central coordination at present. The need for streamlining and coordination is not yet apparent in many units because they see donor support only in terms of their unit and activity, and because they worry about losing control over the destiny of their funding and their work.

However, if the university is to move to transform its structures, then reporting will become an issue. The evidence for this comes from those areas wishing for more strategic management.

The preconditions for making reporting more flexible are probably the following. First, to move rapidly to establish reporting systems at faculty and institute level. Second, to build up simple information systems on donor support at central levels — just to know what exists would be a major advance. Similarly, if the Bursar were to set up a simple budgeting system to deal with the donor funding that was not a carbon copy of that in place for government funds, that would be a major advance.

The Faculty of Engineering/GTZ story is a remarkable one that needs to be studied hard by the university as it begins its Institutional Transformation Programme. The faculty is perceived within the university as being highly fortunate in having core funding. This is, of course, true. But what is particularly interesting is that the faculty and donors sensed trouble in the mid-1980s and proactively worked to overcome problems, doing so in the absence of an institutional framework. Learning from the strengths and weaknesses of the faculty is an essential first step in transformation. The faculty's development of an integrated reporting system is worthy of study by any university.

On reporting, the answer to criticisms of some reports is surely not to set up new administrative systems to 'control' donor funding. Although UDSM appears more decentralised than UEM, the level of centralisation of some key functions is very high; and there is a history where some senior administrative staff were seen less as academic leaders than custodians of the institute. Changing that culture will not be helped by adding new forms of control, particularly at this moment when support is needed for the institutional transformation programme.

The process of learning associated with integrating donor support into university transformation is obviously related to reporting systems. The answer is not to insist on more reporting, as donor agents sometimes do. *The answer is surely not 'more' but 'better'*. If reporting becomes more of an administrative chore than a strategic process, it can only be counter-productive to those activities that keep the aspirations and creativity of academics alive in very difficult circumstances.

4.5 Summary

- 1 UDSM has been through an exceptionally difficult period. Both the external (government and donor) and internal environments deteriorated rapidly during the 1980s.
- 2 Internally, there are initial signs that the university is taking up the challenge of rehabilitating the institution. The top leadership of the university has changed and is committed to change, evidenced by support for studies and working groups and now the establishment of an Institutional Transformation Programme.

- 3 The university's external environment remains extremely unstable. Government-university communication is regular, and the government has supported the initial proposals for institutional transformation. But implementation of these proposals will require improved understanding and discussion of the university's plans. The experience of negotiations over budget allocations illustrates the problems that lie ahead.
- 4 The legacy of donor project and programme support in the 1980s is the institutionalisation of a fragmented and uneven system with weak institutional capacity. It has produced a range of good projects and good long-term donor academic links which could form the basis of new broader relationships. But some priority areas have weak support, and there is a need for more university-wide support.
- 5 There is a need to build confidence between donors, project leaders, and university leadership. Successful donor coordination is only possible if the university itself coordinates the donors through the development of strategic plans that are accepted widely through the university. UDSM is not, as yet, geared up for this big task, but could rapidly begin simplified information systems and learn from its units that already have such systems.
- 6 The need is accepted to move from studies to implementation of institutional transformation, and thus to the development of programmes that would allow experimentation with donor coordination and increased institutional support plans.
- 7 In this regard, the example of the Faculty of Engineering shows what can be done, given the will and the resources. The faculty has, since the late 1980s, developed strategic planning techniques in rather an unpromising university environment, but with strong donor support. Not all its donor support can yet be integrated into all of its management systems, but it has plans to integrate all external funds generated by the faculty into its annual coordinating and reporting systems.
- 8 Faculties and institutes other than Engineering are not nearly as far as advanced as Engineering in their ability to control their own destiny. The Education faculty has a strategic 'vision and mission' document; other faculties are moving towards strategic documents (Arts and Soc Sci), but not yet with staff 'on board' and enthusiastic. Departments at Muhimbili have begun running strategy workshops. Information on these initiatives would assist other units.

PART B

DONOR POLICIES AND

REPORT REQUIREMENTS IN AFRICAN UNIVERSITIES

5 DONOR SUPPORT TO AFRICAN UNIVERSITIES

5.1 Background

The recent increase in donor support to African universities may have increased reporting requirements, but it has not necessarily improved managerial effectiveness. Some reporting, most particularly integrated reporting linked to clear university strategy and planning, has certainly played a key role in improved effectiveness. But most reporting has not been of that nature; rather it has led to fragmented and divided university systems. The cases of Eduardo Mondlane University and the University of Dar Es Salaam give a detailed picture of two African universities with relatively high proportions of external donor support, but their situation is mirrored to some extent in many other universities. They present a picture that suggests the need for major revision of donor reporting requirements and significant streamlining of reporting systems.

How can reporting be improved?

The case of UEM, and a few other institutions, suggests that improvements can be made with integrated reporting systems based on institutional plans that aim to coordinate donor support.

But to what extent are donors free to provide flexible support and to allow universities to coordinate donor support?

To answer this question we compiled information on current donor policies and practices towards African universities, through a mixture of responses to structured questions (see Appendix 5a) and detailed discussion. The result is a series of tabular data, quotations and opinions.

5.2 Trends in Donor Support

There has been a significant trend from separate project, scholarship or expatriate support towards more integrated forms of support to higher educational institutions (see Table 5.1). Even agencies that cannot, by their terms of reference, give flexible core support to institutions, have responded to the crisis in African universities. Although the Rockefeller Foundation, for example, mainly supports 'research and training, and occasionally departmental strengthening and libraries to support the above projects', it is concerned to sustain scholarly capacity with a recent proposal to prevent brain drain. The Ford Foundation cannot give core support but 'supports the growth and development of higher education, especially postgraduate teaching and research'.

Agencies with remit to support research capacity have also broadened their approach. For example, IDRC 'supports research and capacity building for research, and supports infrastructure where this is necessary to facilitate research'. SAREC supports 'capacity

building in a holistic sense' with priority to 'comprehensive university support'. The ODA is moving 'away from individual, scholarship and expatriate staff support to staff training, consultancy/advice, book and capital infrastructure and inter-university links'. The French Ministry of Cooperation is reducing expatriate support rapidly. It now has university institutional development programmes and projects targeting capacity building (management), cost-effectiveness and university transformation (favouring professionalized training closely linked to labour-market need).

For CIDA 'the trend is to look at universities or departments rather than individuals'. In SIDA 'there has been a move from indirect support ... towards the need to consider the universities' development as a whole'. GTZ says its support is 'to assist a university in institution building in selected fields'. In NORAD 'we are slowly moving from supporting institutions and staff development to overall framework agreements, looking more to the universities' capacity to plan and implement. We want to give more responsibility to the recipient, let them take the lead, away from donor driven support.'

A further trend is towards inter-university contacts. For example, ENRECA's 'overall aim is the enhancement of research capacity through joint research - learning by doing ... Sometimes the objectives are not so important as the process'. NUFU supports 'long term cooperation between universities in developing countries and Norwegian university institutions for the purpose of capability building in developing country university institutions'. NUFFIC's 'objectives are to develop, strengthen and improve the general functioning of institutions of higher education' and 'to achieve a sustainable enhancement of their institutional capacity' through inter-university collaboration.

Table 5.1 Types of Donor Support

Agency	Projects/ Scholars/ Expats	Dept Strengthening	Institutional Strengthening	Infrastructure	Budget/ Salary
CIDA	Yes	Yes	Limited	Libraries	No
France	Yes, decreasing except scholarships	Yes	Yes	Limited	Limited
Netherlands	Yes, within instit. framework	No	Yes	Yes, up to 20% of programme	Yes, budget No, salary
NORAD	Yes, in projects and scholarships, increasing	Yes, important and increasing	Yes, increasing	Yes	No, but some exceptions
ODA	Yes, decreasing rapidly	Yes	Yes	Yes	No
SIDA	No	Yes	Yes, important	Yes	Yes, budget No, salary
ENRECA	Yes, within instit. framework	Yes	Yes, research	Indirectly, as research support	Limited
IDRC	Yes	No	Yes, limited to research	Limited to research	No
SAREC	Yes, but within instit. framework	Yes	Yes	Yes	No
Carnegie	Projects, in context of instit. framework	Yes, through research and teaching support	Yes	Libraries, hardware	No, but honoraria
Rockefeller	Yes, projects, scholars No, expats	Limited	Yes	Rare	No
British Council	Yes	Yes	Yes	No	No
GTZ	Yes,	Yes	Yes	Limited	Very limited
HEDCO	Yes	No	Yes	Yes	Yes, but limited
NUFFIC	Yes, but within instit framework	Yes, within institutional framework	Yes	Yes	No
NUFU	Yes, within instit framework	No	Yes	Yes, except construction	Limited
World Bank	Yes	Yes	Yes	Yes	Yes, limited

Overall however, though the trend is towards institutional development, the picture in practice is of a complex and diverse series of support schemes. Carnegie, for example, has a range of three sub-programmes through its programme on 'Strengthening Human Resources in Developing Countries'. Rockefeller Foundation has a dozen or so sub-programmes that could potentially support research in African universities, and a further range of fellowship programmes. These two agencies have relatively simple and stable programmes. Each donor agency has a range of initiatives and programmes, redesigned and changed as agencies flexibly respond to global issues. Each is, as Masuha et al say, 'entirely commendable', but it all adds up to a mixture of constantly changing complexity. Some years gender may be a priority, other years population, others democracy, and so on. We found that agencies regularly changed their programmes, so that their documents were often out of date. Two comments were 'Shall I send that document, because we are rewriting it at the moment?' and 'We have changed our priorities recently and it is not yet reflected in our document'.

5.3 General Conditions for Support

Agencies had four main types of general conditions for support. Often such general conditions were implicit, and either unwritten or part of general government policy and written in documents other than those related directly to donor support.

The first type of conditions were those associated with overall political and overseas aid or cooperation policy. One agency mentioned 'concurrence with democratic structures' as an implicit condition, another mentioned the need to mesh with the 'ideology of our (donor country) higher educational philosophy'. Others cited the need to operate within donor country overseas aid policy. Thus, some agencies, like SAREC and SIDA, emphasised the particular needs of the poorest LDCs, some underlined their link to francophone or commonwealth countries, others had prioritised African countries. For example, NUFFIC's MHO programme must be more than 50% focused on African countries. ENRECA also underlines its support to African countries.

Second, many agencies have emphasised environmental and gender concerns. Thus, in the Netherlands direct support (DSO) scheme 'women will be involved in the identification, formulation, assessment, implementation and evaluation of DSO projects'. The Overseas Development Agency vets projects on economic, social and environmental grounds and emphasises the need for women trainees.

Third, most agencies emphasise institution building and/or institutional transformation. The Netherlands DSO, for example, requires 'a quantifiable and documented need for institution building'. NUFFIC requires that 'the strengthening of institutions of higher

education in developing countries is supported by establishing inter-institutional linkages between these institutions and one or more Dutch institutions of higher education ... In order to achieve the objective of "institution building", institutional linkages should be set up institution-wide and are in principle long-term arrangements'. Another said 'the collaboration implies long term support based on links with a research institution in our country'.

Fourth, many agencies chose to prioritise management and reporting requirements. One example is 'The university should have: (i) a strategic plan; (ii) a transparent system for budgeting, accounting and auditing; (iii) a mechanism for disbursement of funds within the institution; (iv) good reporting systems'. Another agency said 'we look for improved management; universities that want to reduce student numbers and improve selection'. Yet another emphasised that support was governed by a legally binding agreement in which there were performance requirements including adherence to rate and degree of policy reform and an acceptable standard of financial and decision making transparencies.

6 DONOR ASSESSMENT AND APPROVAL PROCEDURES

6.1 Who Can Apply?

The bilateral and multilateral agencies have highly formalised application processes that include government to government discussion and agreement. However, in practice most bilateral agencies are in close contact with African universities, and there is a strong assumption that universities will get government agreement for their proposals to donor agencies. Universities, and sometimes university departments, usually get the opportunity to initiate applications.

The inter-university agencies (ENRECA, NUFFIC and NUFU) formally only accept applications from universities in their own countries, in collaboration with developing country universities. Informally though, the developing country university, department and sometimes individuals have some autonomy in initiating contacts and beginning the application process.

Although applications from individuals are the norm in independent funding agencies like Rockefeller, Carnegie and Ford, and also IDRC, decisions are increasingly judged in function of institutional capacity building. SAREC operationalises its holistic approach to capacity building by not accepting applications from individuals. Though research groups are the direct beneficiaries of much of its support, the trend is to integrate its support around a comprehensive university support programme.

6.2 Collaboration Between Institutions

There is a significant trend towards increased collaboration and linkage between institutions. Collaboration can be divided into three types. Firstly, north-south inter-

university collaborations between universities in donor countries and African universities. All national donor agencies studied had schemes, or formally encouraged such cooperation. As we mentioned above, ENRECA, NUFFIC and NUFU exist with this as their only or major objective. ENRECA is relatively new, beginning operations in 1989, with a fairly small but growing programme (US\$4 million per annum) for capacity building of research in the poorest developing countries. NUFU, initiated in 1991, has a more diverse programme to finance long term cooperation between universities in developing countries and Norwegian university institutions. It has an annual budget of around 35 million kronors (\$5.2 million) and, in practice, a significant focus on research. NUFFIC's Joint Financing Programme for Cooperation in Higher Education (MHO) has a specifically institutional capacity building objective, as described earlier. The programme's objective is to choose a limited number of developing country universities and focus on an integrated range of capacity building initiatives. Several Dutch universities are normally involved in each linkage, each making a small contribution of its own to the cost of the project. The budget for 1993 was 38 million guilders (\$22 m).

Other agencies also have, as part of their support, schemes dedicated to inter-university linkages, including the CIDA 'Partnership' and British Council 'Links' schemes. Other agencies (France, GTZ, NORAD, SIDA and HEDCO) expect their projects to have an inter-university element, and SAREC and Rockefeller encourage such collaboration.

The second type of collaboration is regional collaboration between African universities. All seventeen donor agencies interviewed in this study allow such collaboration in one way or another. Agencies gave various examples of such collaboration, from NORAD's support of a Masters programme in 'Women and Law' at the University of Zimbabwe, to Carnegie's support of a Science and Technology Policy Network and IDRC support for various networks. SAREC and Rockefeller have supported regional programmes. Some agencies, like SIDA, claim that there are 'no strings attached' to support and who can collaborate with whom, though some agencies suggest that setting up such collaborations was not easy in practice and that collaborations were 'often cumbersome'. Few agencies appeared to have earmarked programmes for networking within Africa.

Third, most agencies allow collaboration with institutions in industrialised countries other than their own, though in only around half was it normal. Only three agencies, of seventeen, said that it was not allowed and another six suggested that it was 'not normal' or 'very rare' or that it encounters 'very strong resistance' in the agency. Several agencies believed it was essential to have the possibility of collaboration with other countries for courses and expertise that is not available in their country.

Apart from the formal inter-university schemes, there has been a big reduction in donor agency funds to support applications from donor country institutions. The French Ministry

of Cooperation still had such a system but it is much reduced in number and policy is to concentrate it on fewer partnerships with increased budget allowance. Some agencies have separate funds to support development research in their home country but have divided it from development cooperation funds.

6.3 The Assessment and Approval Process

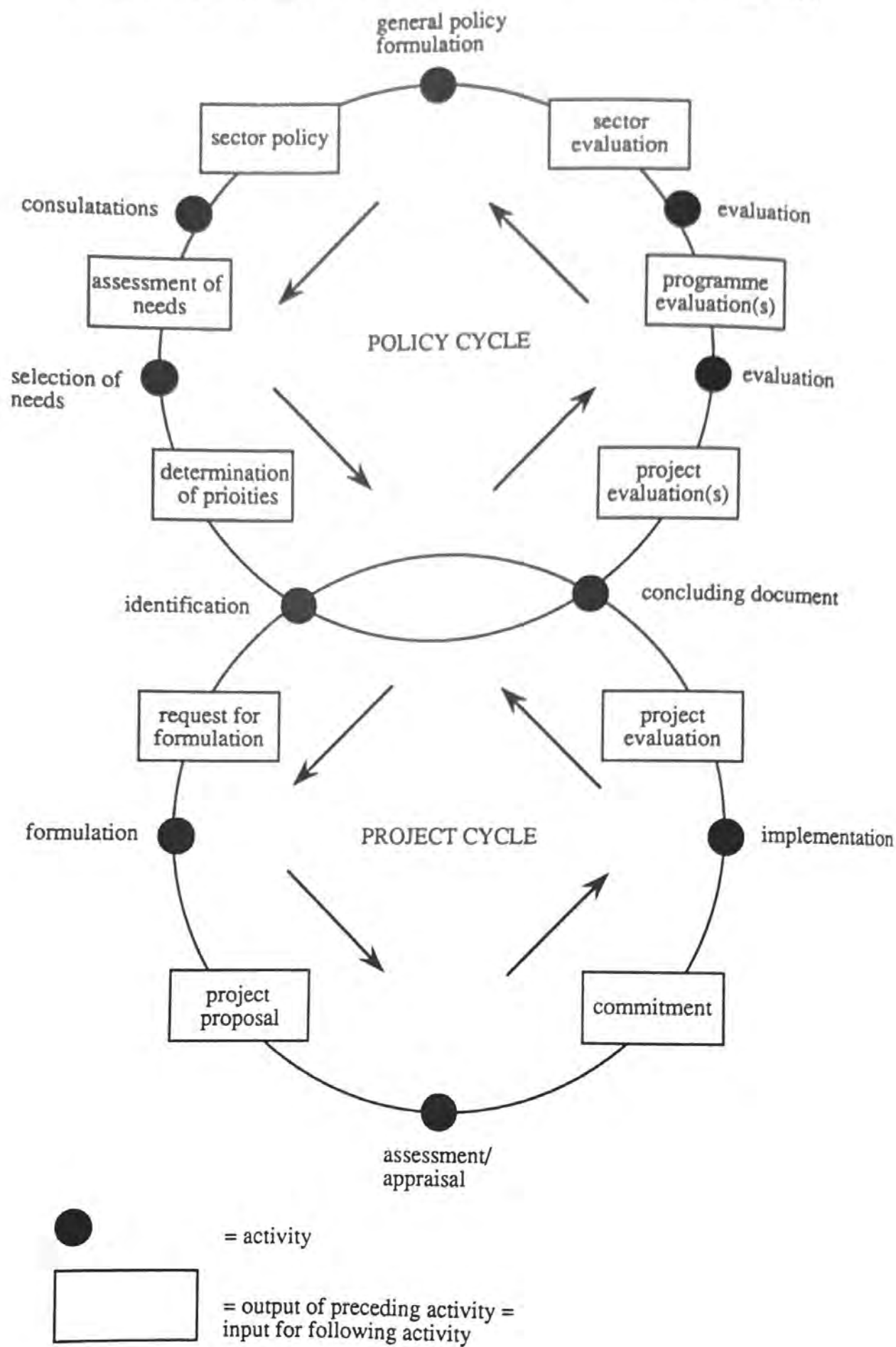
The trend is towards written down information and criteria. Eleven of seventeen agencies have guidance notes, though several say they need revision and the guidelines and forms are not compulsorily followed in some agencies.

Agencies also emphasise the 'process' of developing proposals. One said 'there is a process of interactive discussion, then informal negotiations, then formal negotiations, then an agreement'. One agency explained that it used its guidance notes and documentation only as a guide to the process of proposal work-up. The form filling often comes quite late in the process. Half the agencies had no written criteria for how they assess and approve projects, though two said they were in process of producing brochures. Only seven of seventeen formally gave applicants an indication of the length of time it takes them to respond to applications.

The application, assessment and approval process followed a similar pattern, being faster for smaller or more routine proposals. The pattern went more or less as follows: informal discussion of initial ideas; initial proposal; meeting and/or site visit; formal application; appraisal (by local representative, regional representative; or headquarters staff - often with independent appraisers); to committee or board for approval OR return with appraisal comments for redesign of proposal; reapplication; sometimes a new site visit; second application; to committee or board. The Netherlands DSO programme, which has a rather fast appraisal system (of three months) publishes an schema of its project and policy cycle (figure 6.1). Assessments are usually confidential but a few agencies make them available to applicants. An increasing number, a majority of those studied, make summaries available, especially to applicants they want to resubmit, and to unsuccessful applicants.

The appraisal and approval process is often extremely time consuming. A year is not abnormal. I sensed no trend to lower the workload to universities or agencies. Every major new programme requires at least one site visit and most agencies make regular such visits.

Figure 6.1 Policy and Project Cycles for the Netherlands DSO Programme



7 AGREEMENTS AND ADMINISTRATION

This section summarises the different approaches to establishing and administering donor support to African universities.

7.1 Agreements

There exist a range of means by which donor agencies enter into agreement with African universities. Most bilateral donor agencies enter into formal agreements with governments, not directly with the university. Of the donor agencies in our detailed study, this included the ODA, SIDA, French Cooperation Ministry, CIDA and NORAD. The World Bank's agreements are also with governments. A few implementing agencies also signed formal agreements with governments, such as GTZ and HEDCO (in so far as it was managing agent for governments). Some agencies, including HEDCO and the British Council are managing agents for a range of donors, and emphasise that they are involved in a range of different types of agreement.

Some bilateral agencies enter into direct agreement with the African university with which they collaborate - as is the case between SIDA and the University of Zambia and between the Netherlands Government and to African universities for its direct support scheme (DSO). CIDA mentioned that it signed a legal agreement with government and a further agreement, called a 'contribution agreement', between CIDA and the Canadian university.

A second group of donor agencies mostly enter into formal agreement with the African university. Such agencies include the independent funds Rockefeller and Carnegie, as well as the research support agencies SAREC and IDRC. The independent funds also had some forms of support where individuals could sign the formal agreement.

Thirdly, the three inter-university agencies (ENRECA, NUFFIC and NUFU) enter into formal agreements with their own country lead university, though in the case of ENRECA the African university had also formally to co-sign the letter of agreement. In one of these agencies there is pressure to bring the African university more formally into the agreement.

Even more diverse than who enters into agreements are the types of legal agreement entered into. The government bilateral agencies all have standard format agreements that include representation, obligation of parties, disbursements of funding, disputes procedures, and usually evaluation and reporting requirements and procurements systems. Two agencies underlined that their formal bilateral model agreements do not fit university support particularly well. But most formats can be amended with annexes.

The independent agencies studied use a rather straightforward letter of agreement based on a standard structure but easily amended. SAREC has a model agreement that can be amended for particular cases, which contains details of funding, how funds can be used,

reporting requirements, procurement, and ethical approval systems. IDRC has a standard agreement but it is flexible and can easily be changed. The implementing agencies tend to use either a model agreement that is always used or a semi-standard format that can be amended as required. Each World Bank agreement is different and project specific.

Ranking produced the following order: first, tightness of objectives; second, financial accounting; and third, overall reporting requirements. However, seven (of seventeen) agencies decided not to rank the elements, emphasising that all the following were key: tightness of objectives, reporting requirements, reporting regularity, and financial accounting. Though one agency noted that 'sometimes the requirements are not realistic. Sometimes too much reporting is requested'.

The information gathered, including copies of more than forty agreements, suggests a relatively high degree of freedom to negotiate the detail of each agreement within a basic model that included reporting requirements, accounting procedures, obligations of each side and dispute procedures. Although agencies gave a fairly standard set of required elements there seemed to have been no attempt to harmonise such agreements. It was not clear either whether the ability to be flexible outweighed any possible gains from harmonisation.

7.2 Fund Management

There is a trend to move fund management to African universities (Table 7.1). Six agencies now expect the university to manage their funds, though in two of these the formal responsibility lies with the developing country government. A seventh expects the African university to manage funds, with assistance from developing country government.

Two agencies responsible for inter-university collaboration, give fund management responsibility to the donor country university. One of these is trying to get agreement for involvement of the African universities: 'at the moment it is the donor country university which manages the funds ... In principle, the donor country university keeps the African university fully informed. In practice this doesn't always happen ... Our agency is pressing to change our system to involve more the less developed country universities'.

In three agencies (IDRC, NUFU and ENRECA), the predominant fund management system is a mixed one between the African university and the donor agency or donor country university. One agency, for example, is 'flexible and follows the advice of the African university'. It usually shares joint responsibility with the African university but 'we are moving towards university management, and we are supporting university capacity building in fund management and procurement'. The other two agencies have a mixed system that includes both collaborating university from donor country and the African university. However, it seems that the donor country university controls decisions. One of

them describes the system as follows 'The [donor country] university is given the funds but can transfer money to the African university to manage. We also provide funds for programme coordinators in both universities. They write a joint report each year'.

Four agencies themselves take complete responsibility for fund management, and another gives complete responsibility to its national implementing agency. One agency's funds are 'handled by our project assistant ... financial expenditure is computerised and there is a daily awareness of spending fully recorded'. There are some, albeit limited, signs here of increasing involvement of African universities. One agency said, for example, that 'certain areas are now managed by the university'.

There is no uniformity in systems of fund dispersal. The following examples give an idea of the diversity:

- 'Awards of up to \$100,000 we give in advance, more than \$100,000 is in instalments.'
- 'Once or twice a year, often in advance.'
- 'Usually annually, in advance.' (Four agencies)
- 'As often as necessary. Two to four times per year.'
- 'Every six months after receipt and approval of report on previous six months.'
- 'Variable. twice to four times per year, sometimes in advance.'
- 'As needed every three to four months - funds are added to top up the first payment.'
- 'Depends on agreement. It is very controlled.'
- 'Flexible. can be in advance or in arrears.'
- 'Individual and negotiable.'

Once more, often well meaning systems customised to each agreement, add up to a rather uncoordinated system, seen from the financial and academic perspective of the African university.

Table 7.1 Fund Management

Agency	Totally African University	Totally donor/ implementing agency	Another donor country implementing agency	Mix
CIDA			√ uni	
France		√		√ donor agency + donor uni
Netherlands	√			
NORAD				√ African uni + LDC government
ODA		√		
SIDA	√ mostly			√ + LDC government
ENRECA				√ donor agency + donor uni + African uni +
IDRC				√ donor agency + African uni
SAREC	√ mostly			√ + donor country uni
Carnegie	√ mostly			√ donor agency only if absolutely necessary
Rockefeller	√ mostly			√ donor agency only if absolutely necessary
British Council		√		
GTZ		√		
HEDCO		√		
NUFFIC			√ uni	
NUFU				√ donor uni + African uni
World Bank	√			

7.3 Funding Alterations

One key issue in fund management is the extent to which the original funding agreement is open to alteration. All agencies allow small changes to contracts, some having limits below which changes can be made without need for written agreement: one mentioned 10-15%; another up to 10%; a third up to 30%. Others allow changes with verbal consultation, confirmed by exchange of letter. Others have formal systems but all report that such

changes are 'quite normal' and are done 'all the time'. The World Bank said that often, at mid-term review, a decision can be made whether the changes require modification to the original agreement.

7.4 Procurement

Procurement is an area of some creativity. Agencies are divided more or less equally as to whether main responsibility is in donor country or host country: eight agencies control procurement and nine expect the African university to take responsibility. Some agencies do not want to take any responsibility for procurement but find they sometimes have to. One said 'we resist the pressure to do this'. Another said 'we only do this when absolutely necessary to execute the project'. A third, 'we encourage the African university to do this but can assist if necessary'. And finally, 'in the past our policies didn't recognise the lack of capacity to manage funds, procurement, etc. Now we try to assist if necessary'. Agencies sense difficulties around procurement and have developed ways to assist. One method is to assist in training. Thus one agency wrote 'It is important to build up direct competence in this area. We are willing to assist in the building of procurement capacity'. And another said 'At one time we were responsible for procurement. Now we rarely do it but use our staff to train in procurement'. Another approach is to advise on third party procurement agencies. One agency that keeps responsibility for procurement in-house, nevertheless said that 'we are changing to give our project managers freedom to procure, including from local markets. Only if it is not available locally, does our headquarters office procure'.

7.5 Staff, Contracting and Salaries

The divide among agencies on who takes responsibility for contracting staff reflects the situation with procurement. Those donor agencies that take responsibility for procurement are also the ones that are responsible for hiring and contracting staff. Four agencies take responsibility for hiring of expatriate staff for projects, though they all emphasise that numbers are falling. In inter-university collaborations it is normal for each university to hire necessary staff for their part of the collaboration. Nine agencies give the African university responsibility for hiring staff, though many say that numbers hired are very low: 'usually all staff are in place' one said. Another said 'usually, any hiring that takes place is only for short term research assistants'. Some agencies will help with recruitment: 'We can administer advertisements for expatriate staff' 'We can help if the university needs a consultant'.

The area of salary recompense and allowances is extremely negotiable and it has become an increasingly important issue for agencies as salaries in African universities have deteriorated.

Donor direct payment of salaries is very restricted (see Table 7.2). Apart from the research assistants and project personnel needs for new projects, there are few agencies that pay the academic staff's salaries, though a few will contribute to salaries or buy-out the time to be spent by an academic on donor funded projects. However, around a half of the donor agencies studied will contribute a top-up to local salaries and others will contribute allowances and expenses.

Table 7.2 Salary Recompense

Agency	Situation
CIDA	Could be done but unusual
France	Yes for expatriate staff and top up for local staff if justified
Netherlands	Yes, for new staff required for duration of project. Not for regular university staff
NORAD	Abnormal, but some salary top-up
ODA	Yes, for expatriate staff required for duration of project
SIDA	Limited and abnormal
ENRECA	Yes, buy-out of time for donor country staff, 'research allowance' for African university
IDRC	Abnormal, will contribute when justified as salary for time-release for researcher
SAREC	Pays for Swedish researchers but not for African university research
Carnegie	Yes, for research time spent on projects, if consistent with institutional practice
Rockefeller	No, except for new project staff
British Council	No
GTZ	Yes, expatriate, but only if partner unable to provide. Can sometimes contribute to salaries
HEDCO	Yes, for expatriate project officers and top-up for local staff
NUFFIC	Not excluded, but try to avoid. Do not pay regular salaries
NUFU	Yes, but limited to donor university and African university coordinators
World Bank	Yes, as technical aid to the project

The picture that emerges is of a relatively restricted but highly flexible situation without very clear rules and with lots of 'abnormal' circumstances where agencies can 'assist with a problem'. One agency said that most of their budget negotiations were about salaries and allowances.

Overall, although our results from section 5 suggest that donor agencies increasingly conceive of their support to African universities as needing to be managed in function of institutional development priorities, the picture emerging from sections 6 and 7 is of a highly diverse, time consuming and constantly changing set of practices.

These practices are often customised to specific situations and practices are changing to increase African university responsibility. The danger is high that the proliferation of donor objectives and conditions is increasing fragmentation of university activities even when a major aim of donor support is to assist in the overall development of the institute.

8 REPORTING

8.1 Background

Proliferation of donor objectives, conditions and practices may result in a proliferation of reporting systems. This section is concerned with donor reporting requirements in practice, and the possibilities for changing them.

The situation is complex and diverse. The basic starting point is that all donor agencies have their own reporting systems developed in function of their needs and a relationship of accountability between themselves and their main budget sources. However, donor agencies, and officers within them, to a greater or lesser extent, increasingly realise the burden of reporting. Donor agencies have all, in one way or another, begun to think about this problem, and also regularly change their reporting systems. The result has often been increased rather than decreased fragmentation. However, many agencies suggest that they are open to reporting systems that better link to university reporting and management systems.

8.2 Reporting, Monitoring and Evaluation Systems

All agencies recognised the need both for financial reporting and what they variously termed technical, narrative, or progress reporting. As expected most agencies had their clearest and most rigid rules about financial reporting, and most had separate, often more frequent, reporting periods for financial reports (see Table 8.1).

Agencies are more or less divided into two equal groups as to whether they use formal reporting formats, some insisting on their format, others encouraging but not insisting on their format, others preferring not to have a format, instead asking for a report based on the specific objectives of each collaboration. Some agencies have a formal written system for financial reporting but no format for progress reports. Most of those that have formats find them useful in giving guidance for identifying key issues.

Table 8.1 Regularity of Reports (Number per year)

Agency	Financial	Technical/narrative/ progress	Formal Reporting Format Exists?
CIDA	4	1	No
France	1	1	No
Netherlands	2	2	Yes
NORAD	4	1	Yes
ODA	4	4	Yes
SIDA	1	1	No
ENRECA	1	1	Yes
IDRC	2	1	No, under consideration
SAREC	1	1	Yes
Carnegie	1	1	No
Rockefeller	1	1	No
British Council	1+	1+	Trial
GTZ	12	1	Yes
HEDCO	4	4	Yes
NUFFIC	4	2	Yes
NUFU	1	1	Yes, Financial
World Bank	2	1	No

Not only do all donors have reporting systems, almost all have further evaluation and monitoring. The most common form of monitoring and evaluation is the team evaluation involving site visits. These evaluation and monitoring systems, taken on top of reporting systems, are an additional drain on university senior management time.

Table 8.2 Monitoring and Evaluation

Agency	Type
CIDA	Yes, evaluation mission mid-term and end-project. Tendency to increase
France	No formal systems in place yet but often mid project and/or project-end evaluation
Netherlands	Yes, interim internal evaluations. External evaluation at project-end in consultation with institutions concerned
NORAD	Yes, for long-term programmes with mid-term and end-term team evaluation, part Norwegian, part local
ODA	Yes, Annual visits. National monitoring in one country, chaired by that government
SIDA	Nothing written down but often has mid-project evaluation
ENRECA	Yes, aim to visit every three years
IDRC	Yes, evaluation unit. Aim for one visit per project. Increasing evaluation between phases
SAREC	No formal evaluation system, but annual visits and occasional external evaluations. Pressure to make them more quantitative
Carnegie	No formal system. Almost all projects are seen on site. Regular contact.
Rockefeller	Yes, big and long term programmes have team evaluation
British Council	Yes, becoming more formalised
GTZ	Yes, regular project reviews
HEDCO	Yes, according to donor's instructions
NUFFIC	Yes, regular site visits and external evaluations
NUFU	No extra site visits. Evaluation between phases
World Bank	Yes, site visits every six to eight months, mid-term evaluation, and end of term evaluation

8.3 Responsibility for Reporting

A precondition for donors to accept university reporting systems is that the university is given responsibility for reporting. The trend is toward this situation.

Responsibility for reporting can be divided into three main types (Table 8.3):

- (i) The donor agency, implementing agency, or other contractee is responsible for reporting, not the African university (six out of seventeen agencies);
- (ii) The African university, or an employee (eg principle investigator) is responsible (seven agencies);

- (iii) There is a mixed system, with either joint responsibility, or an agreed division of labour (four agencies).

There are two tendencies. On the one hand, some agencies have tightened their requirements, sometimes sensing increased pressure from their main budget source. As a result, agencies feel increasingly constrained in moving reporting responsibility to the African universities they support. However, even under such pressure, some agencies want to give universities more responsibility and are experimenting with increased report flexibility and increasing participation in reporting by the universities they support.

There is also a clear trend towards giving African universities' formal responsibility for reporting.

However, there is no clear correlation between responsibility for reporting (donor or university) and support for increased flexibility in reporting. Those donors that give responsibility for reporting to the African universities' tend to be more flexible. However, some donors that keep report responsibility also support increased flexibility, as we report later in this section.

Table 8.3 Responsibility for Reporting

Agency	African University or its Agent	Mixed	Donor Agency or its Agent
CIDA	√		
France			√
Netherlands	√		
NORAD		√ trend to African University	
ODA			√
SIDA	√		
ENRECA		√	
IDRC	√		
SAREC	√		
Carnegie	√		
Rockefeller	√		
British Council			√
GTZ			√
HEDCO			√
NUFFIC			√ Uni
NUFU		√	
World Bank		√	

8.4 Reporting Timetables: Room for Flexibility

The majority of agencies have clearly established reporting timetables based on their reporting needs (Table 8.4). Usually, the timetables are related to national public accounting years. Seven agencies did not have such a system, and were therefore flexible. There was evidence of willingness to change, with two agencies changing during the study period. Of the ten with tied timetables, four had experience of changing reporting times and said they could be flexible in principle. This ability to be more flexible was also increasing as agencies gained experience and confidence. One agency staff member said: 'Our financial year is different to those in Africa. The different cycles have caused problems and we have not properly understood the requirements of the universities we support. We have recently been looking at this but have not yet found a satisfactory system'.

Thus, when agencies were asked if they could negotiate on reporting times to assist university needs, on top of the seven agencies with flexibility, and the further four with experience of timetable flexibility, another three said that they could negotiate on timing. As an example of the type of response, one agency said 'In present conditions, universities must accord with our regulations. In the longer term, we could discuss being part of a unified system.' Only three, two of whom gave no responsibility for reporting to the African university, said that it would not be possible to consider changes.

Table 8.4 Is Report Timing Tied?

Agency	Tied to Agency year?	Related to Public Accounts Year	Flexibility on Timing	Could You Negotiate On Timing?
CIDA	No	No	Yes	Yes
France	Yes	20%	80%	Yes
Netherlands	Yes	Yes	Yes	Exceptions are allowed
NORAD	No	No	Yes	Related to the university tax year
ODA	Yes	No	Yes	Exceptions are allowed
SIDA	Yes	Yes	Yes	exceptionally, eg Mozambique
ENRECA	Yes	Yes	No	No
IDRC	No	No	Yes	Yes
SAREC	Yes	Yes	Yes	Can be flexible to recipients' financial year
Carnegie	No	No	Yes	Yes
Rockefeller	No	No	Yes	Yes
British Council	Yes	Yes	No	Not applicable
GTZ	No	No	Yes	Yes
HEDCO	Yes	Yes	?	Not arisen, but could negotiate
NUFFIC	Yes	Yes	No	Yes, but rather constrained
NUFU	Yes	Yes	Not Yet	Yes
World Bank	No	No	Yes	Yes

8.5 Specifying Agency Contribution

Another factor affecting the shape of future university-wide reporting systems is the level of detail required in university reports about each agencies contribution.

To the question of whether their contribution had to be mentioned in university reports, four of the larger supporting agencies all replied in a similar bent that it was indeed important. One agency person said 'Our projects are large and require mention, though not to the nearest dollar. It is more important that the main issues and problems are mentioned'. Other agencies were more flexible. One said it had previously required this

but that recently the agency had become more flexible. Three other important agencies were more concerned that overall university systems were improved than that their own contribution was detailed.

Four of those that did not give responsibility for reporting to African universities replied that they did not require mention in university reports. One of these said that it should not expect such mention in the university's report since the universities' role in its own reporting systems could not as yet be increased. Another agency made the point that since their report must contain details of what the African university contributes to collaboration, it was reasonable the university report did the same. One agency pointed out they had the opposite problem - 'the African universities would like to know about our contribution in more detail - we are not authorised to give details of exact amounts of money'.

8.6 Legal Constraints on Flexible Reporting

A question was asked to all agencies about the legal constraints on the reporting process. The reason for asking the question was to gauge the extent to which legal systems were a part of the relationship, and how clear or foggy were the legal elements of the donor-university relationship. The idea was not to be as ambitious as to detail all legal conditions on which grants and loans were made. Rather, the aim was to ascertain the extent to which these conditions impinged on the practical working and reporting relationships between donor agencies and African universities.

The responses fell into four main types: the document of agreement between the parties; the financial audit systems; the accountability relationship between donor agency and the donor government/ministry; and, the tightness of legal conditions in agreements.

First, the document of agreement, as expected, varies from a relatively simple letter of offer and acceptance (the norm for independent funds); to a several page agreement, as for example with IDRC where a model agreement exists with paragraphs to add and delete for different types of agency and different types of ethical practices in research; to bilateral and multilateral agreements, often with bulky annexes. All agreements are organised and phrased in legal form that contain the actions to be undertaken by the different parties.

Second, the financial audit was the constraint most frequently mentioned by the agencies. Requirements are quite strict and agencies are most concerned with them. Requirements include regular reports (as we reported above) and appraisal by external accountants or official financial officers.

Third, a serious concern in some agencies was the increased evaluation and monitoring of themselves, usually by their parent ministries and related state audit bodies. Such evaluations are on the increase. Government official auditors, for example, were involved in formal evaluations of eight agencies in 1993 and 1994, on top of their normal annual

reporting systems. One agency wrote: 'We are heavily constrained by the terms of our intermediary situation. We would like to do more than we can.' And another said 'Our requirements are in debate within our national public sector. We will probably have to report more thoroughly on results of our support.'

Fourth, most agreements seem to be rather fluid, in the sense either that they can, within a basic structure, be changed on a case by case basis, or that agencies make regular policy changes that affect the agreements signed. There are exceptions. For example, the Netherlands DSO programme has a fifty page check-list for project documents, and GTZ has a sixty-six page guide-line document for project progress reviews.

Thus, although there are exceptions, the overall impression is that the legal conditions in agreements are interpreted rather unevenly, and that there is considerable uncertainty about what constitutes a legal requirement. Nevertheless, increased audits of public donor agencies are having a tightening effect. One key issue is the extent to which these pressures can be responded to with good university based reporting systems. The response of donor and implementing agencies is twofold: concern to tighten the formal reporting systems; and concern to focus objectives of collaboration so that outcomes are more easily ascertained.

8.7 Creative Reporting Systems

This section reports on different types of reporting relationship than the straightforward two-way relationship between donor agency and African university.

Joint Reporting

Agencies were, in the main, relatively open to joint reporting systems (Table 8.5). Nine of seventeen agencies had experience of joint reporting. The three agencies that definitely could not accept joint reporting were all from those that did not give responsibility for reporting to the African universities. Most agencies that gave complete report responsibility to African universities, or where there was mixed responsibility for reporting saw no constraints on joint reporting.

One agency saw merit in joint reporting systems, but could not see how the agency could avoid a parallel report for itself. Three agencies were unsure, without any experience, two being unclear about their ministry's position on the issue. Some donors made the argument that, since they accepted standardised reporting from international agencies, there was no reason in principle why they shouldn't accept it from universities.

Table 8.5 Joint Reporting

Agency	Already Experienced Jt Reporting	Could do Jt Reporting	Comments
CIDA	No	Not sure	Do it with UN multilateral agencies
France	No	Yes, if joint funding	Not applicable
Netherlands	Yes	Yes	
NORAD	Yes	Yes	
ODA	No	No	Would want own report. Prefer parallel financing to co-financing
SIDA	Yes	Yes	
ENRECA	No	Not sure	Would depend on DANIDA
IDRC	Yes	Yes	Providing it met agency requirements
SAREC	Yes	Yes	
Carnegie	No	Yes	So long as agency needs are met
Rockefeller	Yes	Yes	
British Council	No	Yes	No problem
GTZ	Yes	Yes	
HEDCO	Yes	Yes	Would need parallel report.
NUFFIC	No	No	Would like to, but are bound by present regulations. Sometimes involved informally
NUFU	No	Not sure	Would depend on Ministry
World Bank	Yes	Yes	Often Bank reports for other donors

Are Agencies Using, or Planning to Use, African Universities' Management Reporting Systems?

Four agencies said that they were already involved in experiments to use university reporting systems as their own reporting system: three of them explicitly stating, without prompting, that they were very pleased with the result and were hoping to extend their

experiments. 'We are actively promoting the use of management reporting systems within the universities', said one. Another said: 'We are trying to use the universities' own reporting system whenever possible? All four have supported training in this area. Three agencies explicitly mentioned the Mozambican experience, saying they would be trying similar systems in other countries. Another agency mentioned an experiment in Kenya and that shortly they will be supporting further experiments. Three further agencies said they were in discussions about starting, one saying 'we are not experimenting yet, but plan to soon'. Another group of three agencies had not experimented with university reporting systems but were interested and open to change. For example, one wrote 'we are interested but we only created our present system two years ago and are still working it through. But we are interested in a more unified system'. Another said 'We are involved with a group talking about reforming the reporting system and management. In certain circumstances we would consider the possibility'. The third said that the issue had been raised in the agency.

But other agencies said that they would have problems changing systems only recently set up after long negotiations with their governments. Said one, 'Our system is so tied to government regulation', and another 'We are unhappy with the situation but cannot do much more'. Another used university reports but in parallel with its own. Altogether seven of seventeen said they could not use unified reports at this moment.

Agency Acceptance of Unified University Reporting Systems
Agency staff were asked to respond to the questions:

- * Would your agency be prepared to negotiate a reporting system that had been collectively agreed with other donors?

and

- * Would your agency be open to more flexible reporting systems linked to university management strengthening?

The answers divide agencies into four groups (see Table 8.6). I will use quotes to clarify the replies.

One group of seven out of seventeen agencies answered 'Yes' to both questions. One of these agencies said 'Our agency has been experimenting with more flexible reporting systems, and we will continue to do so'. And another 'we are interested in any exercise that makes reporting less of an imposition and easier'.

A second group of four agencies also answered 'Yes' to both questions but each had reservations - all different. One has already been involved in experimental reporting systems and believes that the agency would accept more on the basis of negotiation 'case

by case'. Another did not believe there would be problems. 'We are open to more flexible reporting systems' she said, but did not want to give a categorical 'Yes'. A third, again, was sure that the agency would agree, but was worried about 'increasing problems with government controls'. The fourth agency, that took complete responsibility for its reporting, thought that it would need parallel reporting - but that this would be helped by a unified reporting system.

A third group of three agencies answered 'no', 'not sure', or 'can't answer' to the stronger question: 'would your agency be prepared to negotiate a collectively agreed reporting system?' but 'yes' to 'would your agency be open to more flexible reporting systems?' The staff in one agency wanted to take 'the burden off the LDC university but we are limited by our role as an intermediary. We would like to do more than we can'. Another said 'if we enter negotiations we would need approval from the ministry - this would be very limited - perhaps [we could negotiate] in certain cases'. A third argued that 'in the framework of donor coordination the agency may be open to proposals. There is an openness for that kind of proposal'. And finally, from an implementing agency, 'we would be interested. Whether we would want to be part of a more uniform system would depend on whether it suited [the donor agency's] requirements'.

Only two agencies answered 'no' to both questions, both being agencies that gave no responsibility for reporting to the African universities' they support.

To summarise Table 8.6 it seems that five agencies out of seventeen (SIDA, IDRC, SAREC, Carnegie and Rockefeller) give total reporting responsibility to African universities, and are open to unified reporting systems. Another four agencies are generally supportive and give universities all or an increasing responsibility for reporting (CIDA, NORAD, NUFU and the World Bank).

NUFFIC illustrates the rather hybrid situation of north-south inter university links. On the one hand long term positive relationship develop. Somewhat strangely though, given the NUFFIC MHO prime objective to build developing country university institutional capacity, several dutch universities often participate in inter university linkages, and each one has responsibility for reporting on its linkage. Thus, it seems that no single report is produced on the overall university institution building, and the developing country university has no formal role in assessing the institutional development process.

To summarise, it seems that enough agencies are interested in pursuing new initiatives on unified reporting systems for a concerted effort to be made to advance the process, if African universities want that to happen.

Table 8.6 Collective and Flexible Reporting

Agency	Gives Reporting Responsibility to University	Would Agency Negotiate Collectively Agreed Reporting Systems?	Is Agency Open to Flexible University Reporting Systems?	Comments
CIDA	Yes	Not sure	Yes	Open to this proposal in the framework of donor coordination
France	No	Not applicable	Not applicable	
Netherlands	Yes	Yes, but	Yes	Open but problems of government regulations
NORAD	Mixed	Yes	Yes	
ODA	No	Yes, but	Yes	Agency would then do its own separate report
SIDA	Yes	Yes	Yes	
ENRECA	Mixed	Not sure	Yes	We are interested would depend on Danida
IDRC	Yes	Yes	Yes	Criteria are fairly standard. Interested in exercises to lower imposition of reporting
SAREC	Yes	Yes	Yes	
Carnegie	Yes	Yes	Yes	Provided reporting needs are met
Rockefeller	Yes	Yes	Yes	
British Council	No	Irrelevant	Irrelevant	
GTZ	No	Can't answer	Yes	Limited possibilities and would need approval from ministry
HEDCO	No	Yes, but	Yes	Open, not 100% relevant to agency
NUFFIC	No	No	Yes	Agency limited at this moment
NUFU	Mixed	Yes	Yes	
World Bank	Mixed	Yes, but	Yes	Would need to be negotiated case by case

8.8 Key Reporting Requirements

What might be the conditions required from donors for acceptance of unified university reporting systems?

Analysis of the detailed information obtained from donor agencies, through interviews, questionnaires, formal guidance notes and a large number of reports suggests that there are three separate ways to answer this question. First, by verifying the elements considered as key requirements - What is required? Second, by verifying the kind of information and level of detail required - How much is required? And third, by considering the reporting relationship between donor and university and its implications for unified university reporting - Why is it required?

That there are various ways to answer a seemingly simple question is itself an indication of underlying complexity: not only of the interface between different organisations but within organisations. In this section, I will present the three approaches.

Key Elements in Reporting

We reported earlier (section 7.1) what agencies believed were the key elements of their written agreements with African universities, and were asked to rank these elements in order of priority. They ranked them as follows: first, tightness of objectives; second, financial accounting; and third, overall reporting requirement. However, seven agencies could not prioritise a rank order emphasising that all elements were key, though one noted that sometimes too much reporting was required.

At the level of what should be reported, there is relatively strong consensus within agencies, though differences of balance exist: some agencies being more interested in data on results achieved; whilst others take a more process-oriented approach. Overall, however, there are few surprises. Most agencies operate from the specific context of their project or programme and want to know the extent to which objectives have been achieved. They are not usually looking for great detail. As we have reported they differentiate progress/technical/narrative reporting from financial reporting.

The major reporting requirements are quite similar and reflect the key aspects of written agreements. Those in Table 8.7 are summarised from the report forms of four agencies.

Table 8.7 Major Requirements for Progress/Technical/Narrative Report

<ul style="list-style-type: none"> * Objectives of the project/programme * Objectives for the period in question * Context of project/programme: key relevant aspects external to the project/programme (in country, university, etc)
<ul style="list-style-type: none"> * Participants and collaborators * Project/ programme organisation/management * Main activities for the period (staff, visits, fellowships, etc)
<ul style="list-style-type: none"> * Training, by level (technician, admin, undergraduate, masters, doctoral) * Outputs from training (PhDs, masters, etc)
<ul style="list-style-type: none"> * Infrastructure (building, books, equipment) * Scientific and laboratory facilities
<ul style="list-style-type: none"> * Overall assessment/judgement of objectives * Sustainability
<ul style="list-style-type: none"> * Plans for next period * Extent of change of plan from previous period * Request for re-allocation

Most agencies indicate the number of pages they need. The vast majority want a short (few page) report, much of it qualitative, asking for description and assessment of work done. At the financial report level, though agencies ask for official auditors to sign off the financial report the itemisation is normally straightforward, based on a few standard items. Most relationships do not require a huge amount of reporting. The problems arise in the detail.

Level of Detail

It is at the level of detail where more diversity in donor practice arises. This is particularly apparent in financial reporting. As an example of an organisation that requires a higher level of detail for financial reporting, the Netherlands DSO programme's standard system has five basic levels (personnel costs; acquisitions and investments; operational costs; training and courses; and contingencies). Each is broken down into sub-categories. So 'Acquisition and investments' is broken down to: buildings and land; equipment and supplies; vehicles; computer equipment; basic materials (chemicals, etc); transport and

insurance. And so in - a total of well over eighty standard codes and sub-codes, based on public sector accounting regulations in the Netherlands.

Most agencies - at least eleven - had rather simple requirements. Funds like Carnegie and Rockefeller have quite simple itemised budget items, as do agencies that are more oriented towards project support. ENRECA, as an example, has eight standard budget items (salaries; travel and subsistence; equipment; materials, including literature and computer costs; publication and dissemination of research findings; administration; other; and budget margin). NUFU's standard items are similar, but include as separate items 'fellowship costs' and 'costs for substitute teaching'.

Most of those other agencies with more complex requirements (like NUFFIC, Netherlands DSO, French Cooperation Ministry and GTZ), gave reporting responsibilities to donor country agencies or universities.

Overall, on level of detail, the evidence validates the perceptions that came from the studies in UEM and UDSM. A proportion of reporting was to fulfil legal requirements - though these requirements are often not very clear in practice; another portion of reporting is to fulfil donor agency requirements, sometimes passed down from parent bodies. These are usually clearer and often written down in guidelines. Finally, some reporting has evolved over the years resulting from the style of the particular donor-university relationship. This portion is large, fuzzy and subject to change with change of agency and university staff.

In practice, to move forward on the acceptance of unified reporting systems, it seems important:

- (i) to separate financial from progress/technical/narrative reporting, since the former is more legally constrained than the latter.
- (ii) to differentiate donor agencies that do not, as yet, give reporting responsibility to African universities, from those that do;
- (iii) to differentiate agencies that will use local accounting standards from those that require their own standards;
- (iv) to differentiate agencies with flexible requirements willing to take unified university reports from others.

The Reporting Relationship

When agencies were asked about their key reporting requirements, or asked what were the requirements that they felt they would always require, there was a range of thoughtful responses. They almost all focused down to the objectives of the particular project/programme they were supporting, and the relationship between those objectives and

the broader issue of university capacity building. A good example of such a response is the following one: 'We want reports concerned with overall goals and objectives of the project, not descriptions which lack the broader picture. Broader reports are required since they may show that all the right things are being done but with disappointing results'.

The major differences between agencies were around use of tighter objectives or broader ones. For example, in contrast to the response above, one agency's response was 'to report on the fulfilment of inputs and outputs as specified in the project document'. Another said 'we want an analysis of the problem addressed by the support, an assessment of what has been achieved towards the objectives set out.' But another donor said 'We want to know if we are on the right track, or are we missing the point. The report needs to be more than an agglomeration of what has happened, but it is often just that, the number of books in the library, not the state of the library.'

Many agencies talked about the need for brevity. 'We want a brief report related to the objectives of support'. And another 'Our needs are modest. The main purpose of the report is to be brought up to date'.

In many responses there was a sense of disquiet which went beyond the surface of the reporting situation. There was a clear sense of the need to respond to the present situation in African universities by relating support more closely to university strategies for change. But there was an underlying worry that their support may not be well integrated into the whole picture. Nevertheless, some agencies do not translate that overall concern into support for streamlined and unified reporting. One respondent argued that the real problem was that agencies don't really know what they want so they often either try to 'catch-all' with complex detailed reporting or else are very vague about what they want. One donor argued that 'the point of departure should be the information needed by the leaders of the universities to direct and manage their institutions. They should clearly know what they need to know and why. If a donor has additional needs ... if the donor can argue the case for a particular bit of information, the institute's leaders will probably have a need for it as well'. The sense of disquiet and agreement that change is needed suggests that the time is ripe for a lead to be taken.

9 CONCLUSIONS

9.1 Conclusions From Study of Two African Universities

Major funding constraints in African universities have changed the nature of donor support needed. In the two universities studied here, UEM and UDSM, donor support now constitutes a major proportion of available financial resources. Donor funds, mostly used to fund one-off projects, and strengthen departments and sub-departments, have become the key to continued high-quality teaching and research in every academic subject area. Donor support to individuals, departments, and even whole faculties can be put at risk by weakened institutional capacity (Olsson, 1992). Instead of being perceived as 'extra' to the government's core budget, universities now need to integrate donor support closely to their priorities. That is the context which has led both UEM and now UDSM to begin institutional transformation that includes developing integrated strategies for their universities. It has also led donors in a trend to increase broader, more flexible, and institutionally based support. It is clear that in such circumstances project-by-project reporting systems will not give an accurate, holistic picture of the situation during transformation.

Although the two universities have different histories, and are at different stages in their change processes, their situations and necessities have significant similarities to other universities in Africa. The donors to the institutions also face similar issues. Both universities, in common with many others, face major problems emanating from outside the university: like economic structural adjustment programmes. These have lowered public expenditure, and removed a proportion of baseline funding. The resulting devaluation and inflation have lowered the value of resources in the university, and of the salaries of their staff, so that many staff need to chase parallel means of earning a living. Within the universities, managements have not been able to keep the initiative and institutions have deteriorated.

Both institutions have responded in a number of ways. They have entered into dialogue with government. They have begun internal transformation. They have started integrating donor funding into their institutional systems. Overall, both universities are struggling to regain the initiative after a decade when the situation seemed to be slipping away.

In the last years, there has been increasing concern from donors about the crisis of higher education in Africa. In many universities, this concern has been translated into increased donor support. With it has come an increase in reporting and a growing concern in the two universities studied, but in others too, with the expansion of well-meaning but extremely diverse reporting requirements by donors. The servicing of donor needs diverts energy of scarce senior university staff from the prime tasks of institutional management and

planning. One major conclusion of the present study is that the perceived burden of reporting increases as donor support becomes better integrated into overall institutional management and planning systems, because it is at that point when senior staff time is needed. In the case of UEM, it was when the university leadership moved to coordinate and integrate donor support that the full complexity of the myriad reporting systems came through. In UDSM, not so advanced in overall coordination, it is mainly in the Faculty of Engineering and recently at central senior management levels that the problems of different and complex reporting systems were mentioned.

The levels of donor support are key for both institutions. In UEM, it is both key and core, with over two-thirds of budget from external sources and donor support increasingly geared to the rehabilitation of the university. In UDSM, the level of donor support is proportionately less but still constitutes over 40 percent of total budget. In many other universities, support may not be quantitatively so important, but it is significant enough to require a qualitative change towards unified reporting on support for the university.

In UDSM, the nature of donor support could be characterised as key but not core in that it is not, at present, integrated into institutional management and planning systems. The level of donor support in UDSM is extremely uneven, with weak or non-existent support for some important teaching areas. UDSM has a strong history of academic quality. But it has a recent history of loss of control of its destiny. As we have seen, the last decade has brought much-lowered government funding. The economic recovery programmes have brought lowered and fragmented working conditions and recompense. Donor support has been growing as a proportion of UDSM funding but is not integrated into the institution's information systems and plans. The university was historically managed by an administration that tended not to exert academic leadership. Strong administrative control has developed over the government funding, but academics have kept strong control over donor support for their activities. Changes have begun. Budgeting is now being partially decentralised down to faculty level by the bursar. External accounts can now be opened for university-based projects. One problem is to convince those that control external accounts that it is safe for them to use the new systems. Similarly, the administrative officers need convincing that fund control does not have to be so time-consuming for academics that they give up. The relationships between donors and university staff seem good in the main, and the links between UDSM and the international university seem to provide excellent results.

UEM has a history of growing effectiveness with central coordination and development of an institution-wide change process. At the moment, it has less ability to decentralise processes to faculty, departmental, and directorate levels. A management task is clearly to develop such capability without lowering the capability of the whole institution, which remains very fragile. The idea of having faculty-based reporting meetings that will feed

into the Annual Consultative Meeting is evidence that the university's ideas on reporting are being used as part of its process of transformation. Hopefully, this process will not leave any units behind, so that the university as a whole integrates its reporting systems with its strategy development and implementation. It is an ambitious target but progress has been fast.

Both UDSM and UEM are affected by the short-term nature of funding and reporting. Although most donors continue funding projects and programmes through several phases, so that it is not uncommon for there to be decade-long donor support to a particular unit or department, the vast majority of support comes for periods of less than three years. This offers little stability for planning and requires senior staff to be permanently engaged in fund raising.

Direct management of donor funds by either university is very low. Even in UEM, less than one-third of donor funds are directly managed. In UDSM, where responsibility for reporting lies at individual project level or departmental level, reports are of uneven quality. When reporting is weak, donors tend to increase their reporting demands in frequency and detail.

From the analysis in Part A of two African universities, university reporting can be seen as having three components:

- (i) A small proportion, but a key element for financial reporting, is legally required reporting;
- (ii) Another component is reporting needed to fulfil binding regulations for the donor agency. This component tends to be written down in guidance forms;
- (iii) A final component was sometimes called by donors 'good practice' reporting. This component has usually evolved over considerable time, can have emerged from personal relationships between donor agents including field staff and university staff.

The problem with 'good practice' reporting is that it seldom gets less. On the contrary, weak reporting almost always produces a demand for more reporting, and more regular reporting.

Even agreed 'good practice' accountability routines, if required in many different formats and periods, can kill the activities being supported. Overall, such reporting has become an onerous burden.

The solution is not more reporting, but better reporting. How can reporting be improved? The present study suggests a number of improvements that can be made by universities and donors. Universities could improve their reporting by:

- (i) gathering full data on the level and main characteristics of their donor support, to better understand the full picture of the institution - and to know the gaps in information from donors;
- (ii) beginning annual institutional reports, focusing on key process and output indicators, based on institution's own strategies;
- (iii) developing and harmonising comprehensive external or official audit, of all funds - internal and external;
- (iv) developing, and experimenting with, integrated reporting systems at the faculty and institute/centre level;
- (v) initiating a dialogue with donors on how such reports would satisfy donor reporting requirements;

The study of African universities suggested that donors, for their part, could improve reporting and coordination of donors by:

- (i) using university reporting systems, proposing changes where necessary;
- (ii) coordinating donor support at university level, in function of university priorities, rather than project by project;
- (iii) gradually handing over fund management to universities, with relevant institutional support, particularly the strengthening of management capacity (Olsson, 1992);
- (iv) in university link programmes, gradually to give direct responsibility to the African university, or at least joint responsibility to both lead universities.

In addition to improvements that donors could initiate, the effectiveness of policies would be improved by avoiding a number of practices, such as:

- (i) setting up parallel donor and university reporting systems;
- (ii) separating 'donor supported' from 'other' university activities;
- (iii) using over-general reporting requirement criteria without clear objectives;
- (iv) handing over direct fund management abruptly without assisting management capacity building;
- (v) paying for the services of individual academics outside of university consultancy systems;

Early results with integrated reporting systems illustrate their effectiveness. Both in UEM, with its focus on university-wide systems, and UDSM, with its example of a faculty system, it is clear that university, other national agencies, and donors all find it a massive advance on previous types of reporting. To improve it further requires agreement to

broaden its scope. In UDSM, the priority is articulated as building systems as part of its Institutional Transformation Programme; in UEM the programme includes building faculty-level integrated reporting as part of general capacity-building. Donors have moved rapidly to support the universities in a very difficult period. Donor support is now needed for the development of integrated reporting systems as part of a clear university strategy for institutional transformation.

9.2 Conclusions From Study of Donor Agencies

Over the last years, donor support to African universities has tended to shift the balance somewhat from separate project based support towards more holistic forms of institutional support with more departmental strengthening, faculty core support, and university wide support programmes. Donors increasingly support flexibility in fund management and reporting. There is a definite trend to move fund management and procurement to African universities and more agencies are supporting the development of managerial capacity.

However, the diversity and complexity of support schemes has grown and there are significant changes each year. Overall, even after recent improvements in integration of support towards university-wide capacity building, there are real signs of continued fragmentation of support.

There has been an increase in north-south institutional collaboration between universities in donor agency countries and African universities. Many of these inter-institutional collaborations allow long term relationships to develop and there is strong support for their continuation from the African universities studied. Interestingly, it is usually the donor country university that has responsibility for reporting on the support, which must make difficult donor assessment of support from the perspective of overall African university capacity building. Although agencies allow and often encourage regional and south-south linkages, there is less evidence of growth of support for collaboration of this kind.

All agencies require financial reports, progress reports, and most require site visits. There are two countervailing tendencies surrounding reporting. On the one hand, there is more pressure on, and inside, donor agencies for tighter accountability. At the same time, increasing numbers of agencies want to give universities more responsibility for reporting, and are increasing flexibility in reporting. Of the seventeen agencies studied in depth, six do not give reporting responsibility to African universities, four share responsibility, and seven give complete responsibility to the African university they support. Although all donor agencies giving responsibility to African universities are also interested in more flexible university wide reporting, some of the other agencies also support it.

The most important legal constraint on changing reporting systems as seen by donor agencies, was the financial audit. Universally, there is need for official auditing, though the

level of detail in requirements is extremely varied and there is acknowledgment from some that standardisation of audit itemisation could be improved.

Other than financial reporting, there is less restriction, rules being based more on the need for accountability and effectiveness. Some agencies are heavily constrained by their ministries and face increased pressure for more audits and evaluations - they are increasingly affected by the 'audit explosion' (Power, 1994). The reaction is usually concern to tighten reporting and to narrow objectives. Nonetheless, there is considerable uncertainty inside agencies about what are the exact legal constraints and legal conditions are interpreted very unevenly within some agencies.

Among donors, there is considerable goodwill towards the argument that reporting needs to change so it better reflects the overall situation in African universities. There is a wish to lower the burden of reporting, in unison with a wish to support the improved ability of universities to better coordinate and plan for the future in most difficult conditions.

A majority of agencies studied had experience of accepting joint reports prepared for more than one agency and the three agencies (of seventeen) that said they definitely could not accept joint reports were agencies that did not anyway give reporting responsibility to African universities.

Four agencies have been involved in experiments to use university reporting systems, and all were very satisfied with the results. Three further agencies are in discussion about starting to use them. Other agencies are watching with interest. A group of seven agencies suggested they were ready to negotiate reporting systems agreed by donors linked to university management systems. These were NORAD, SIDA, IDRC, SAREC, Carnegie, Rockefeller and NUFU. A further group of four agencies (Netherlands, ODA, HEDCO and the World Bank) were in agreement, with some conditions.

That this is a good moment to begin such changes is underlined by the problems faced in donor/university relations. Donor procedures for support and management are tending to become more formalised and written, more driven by the need to show results. Evaluation of donors is on the increase. One danger is that this formalisation will be driven in many different directions because, at the moment, the differences between donor agencies remain strong. The pressure for unified systems needs to be pushed hard to avoid that each donor goes in its own direction.

Agencies have not fully internalised the difficulties that universities face with multiple reporting. In some of our interviews, respondents acknowledged the problem but then went on to describe a new system that did not seem less complex, involving one more change for universities. There is considerable confusion about donor relations with African universities and with reporting requirements. Although in principle there is concern that

donor support is properly integrated into university capacity building, in practice concern is not always translated into operational systems that support unified institutional development. The need for harmonisation could not be stronger.

There is real scope for improvement of reporting systems that would (for donors) improve accountability and give a sense of how donor funds fit into the universities strategy; and would (for African universities) improve management of funds and overall management of strategy and activity .

From donor responses it is clear that one way ahead is for universities to build up a group of donor agencies that: (i) give them reporting responsibilities; (ii) are willing to work towards accounting standards; (iii) are happy to have their monitoring systems and visits coordinated by the university and (iv) are willing to take unified university reports for all or most of the requirements.

9.3 Overall Conclusions

In African universities, donors, whether they like it or not, have been thrust into a position where, for their support to be sustainable, it needs to be integrated into strategies for university transformation. If donors are to continue their support to these universities, the implication is that they have to take on new responsibilities, associated with the need for coordination of donor support. Many donors have begun to take on these responsibilities.

It is an obvious truth that donors cannot coordinate themselves. They need to be coordinated through a university-based strategy, based on detailed consultation with themselves and other stake-holders. The universities' ability to develop self-sustaining systems depends on their ability gradually to control the planning and implementation of programmes of teaching and research, rehabilitation of infrastructure and facilities, that make learning and knowledge creation possible and useful. Such systems include university-based reporting and consultation.

As the Rector of UEM states: ' the experience of reporting is useful for the university. Reporting is a need for the institution itself and not as a donor requirement'. Reporting is an important means not only of accounting for past support, but also of reviewing the past to assist the coordination of future activities.

Reporting and evaluation cost a great deal of financial and especially senior human resource. They can easily become a deviation from the key focus of improving the management of universities so that they can better undertake their role of national and responsibility for higher education, research and application.

African universities and most donor agencies are subject to increased audit and accountability. They are all grappling with the problem of how to counter the tendency for new audit systems to become a burden that fragments their activities. In the UK, where

there has been an explosion of audit, there has recently been a strong critique of narrow auditing systems. One study of academic audit reports 'Audits are not simply answers to problems of accountability. They also shape the contexts in which they are demanded'. The audit type of accountability is a form of social organisation that usually constitute a shift in power: 'from the public ... and from the teacher, engineer and manager to the overseers'. The idea of 'audit is linked to ideals of organisational transparency and accountability'. But instead 'often deters substantive inquiry' (Power, 1994, p 47-48).

The added context of the donor-university relationship in African universities increases the danger of escalation of reporting systems that are more in function of donor agency accountability than university capacity building.

In African universities, the donor-university reporting relationship is the tip of the iceberg of the donor-university relationship. The form of reporting relationship is a key indicator of the donor university relationship. The problems of report diversity arise from the loss of previous university core funding and consequent fragmented nature of fund support, much from international donors. Many universities have been clear in their request for integrated institutional relationships. A move from bilateral forms of reporting and academic audit towards institutional reporting is a move towards opening up the transparency of institutions to all stakeholders, and taking seriously university responsibility to the whole society.

The next step for donors and universities is to initiate a phase of standardisation and harmonisation of reporting systems. Development of a comprehensive, globally useable system would be too inflexible and bureaucratic. But a major opportunity exists to build up best practice on a university by university basis. A start can be made immediately in one or a few universities, based on university institutional strategies, with a core group of agreeable donors. Universities would propose to agreeable donors how they would like to handle reporting requirements and identify management strengthening needs that might be required to make these changes. Donors would then react to such university proposals, and support appropriate strengthening of university management systems.

Donors would need to be clear what their major requirements were and would need to stick to essentials based on objectives of university capacity enhancement. They would need to be able to negotiate issues of detail so that the reporting system reflected the relationship between donor and university.

Some donors would not be able to join in at first. However, they would still have the benefit of the university reporting system. They should take responsibility for the extra requirements they may have over and above those in the university reporting systems. So that the extra reporting burden does not fall on the university.

As university leaders wrestle with the challenge of marshalling resources and focusing them to transform their institutions, they need the support of donors. A key element of such support is to be able to count on agreement for integration of support into institutional strategies and unified reporting systems. The way ahead is for a substantial group of donors to agree to be coordinated through university strategy and reporting systems.

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APPENDIX 2A

INTERVIEWS AT UEM

May 1993

Professor Narciso Matos, Rector

Professor Carlos Quadros, Vice-Rector (Administration)

Dr Lioudmilla Myssova-Afonso, Director of Planning

Dr Celia Diniz, Director of Finance

Dr Conceicao Dias, Planning Dept

Dr Silva Magaia, Director, Faculty of Engineering

Dr Alexandrino Jose, Asst Director, Centre of African Studies

August 1992

Dr JR Pereira, Director, Faculty of Agronomy and Forestry

Dr Fung Dai Kim, Previous Director, Faculty of Sciences

Dr Antonio Saraiva da Sousa, Previous Director, Faculty of Engineering

Dr Maria Ines Nogueira da Costa, Director, Historical Archive

Dr Mouzinho Mario, Pedagogical Director

Head, Registry

Director, Documentation

Director, Human Resources

Secretary, Scientific Council

APPENDIX 2B

INTERVIEWS AT UDSM

May 1993

Professor ML Luhanga, Vice-Chancellor

Professor DJ Mkude, Chief Administrative Officer

Professor SY Maselle, Principal, Muhimbili University College of Health Sciences

Professor AC Mascarenhas, Director, Postgraduate Studies

Professor GKK Munishi, Dean, Faculty of Arts and Social Sciences

Professor K Okoso-Amaa, Dean, Faculty of Commerce and Management

Professor HJ Moshia, Dean, Faculty of Education

Professor PN Materu, Dean, Faculty of Engineering

Professor HM Mlawa, Director, Institute of Development Studies

Professor CLC Migiro, Director, Institute of Production Innovation

Professor IS Kikula, Director, Institute of Resource Assessment

Professor TSY Sengo, Director, Institute of Kiswahili Research

Professor BM Mutagahywa, Director, Computer Centre

Professor JG Yarro, Associate Dean, Science Faculty

Dr NNN Nditi, Associate Dean, Law Faculty

Dr ES Kajjage, Associate Dean, Faculty of Commerce and Management

Dr BA Manja, Head, Mathematics Department

Professor GL Mhehe, Head, Chemistry Department

Professor AK Semesi, Head, Microbiology Unit, Botany Department

Dr JJ Semboja, Economic Research Bureau

Dr SNF Kiwia, Education Faculty

Dr EM Chale, Education Faculty

Dr AH Bakari, Law Faculty

Mr MSM Mahanga, Bursar

Mr EGM Jambo, Assistant to Vice-Chancellor

Mr Mannate, Chief Planning Officer

APPENDIX 2C

CONTACTS MADE WITH DONOR AGENCIES

	Interviews	Other Contacts	Written Materials
British Council	David Elliott	Janet Ferguson	✓
Carnegie Corporation	Akin Adubifa Dr Patricia Rosenfield		✓
CIDA	Patricia Miaro		✓
ENRECA	Erik Rudinger	Klaus Winkel	✓
France: Cooperation Ministry	Jean-Yves Hoisnard		
GTZ	Dr Kuper	W A Heidenreict S Speiser	✓
HEDCO	Jill Roe		✓
IDRC	Eva Rathgeber Chris Smart	Muthani Mwangi	✓
Netherlands Foreign Affairs Ministry	Dick Wentinck		✓
NORAD	Marit Vedelt		✓
NUFFIC	Kees van den Bosch	J H C Wallenkamp	✓
NUFU	Kurt Lovshal		✓
ODA	Digby Swift	Dr Treffgarne	✓
Rockefeller Foundation	David Court	Jane Hughes	✓
SAREC	Eva Lovgren Berit Olsson	Malur Bhagavan	✓
SIDA	Ingemar Gustavsen	Kjell Myström	✓
World Bank	Gregory Hancock Bill Saint		✓
	Interviews	Other Contacts	Written Materials
Africa Capacity Building Foundation	-	Koffi Edoh	
African Development Bank	-	Thiam Mwamifuye	
Commonwealth Secretariat	-	Jaspir Singh	
DSE	-	Eckhard Dentscher	✓
Ford Foundation	-	Charles Bailey	✓
Gulbenkein Foundation	-	E Marcal Grilo	✓
Japanese International Co-operation Agency	-	Michio Kanda	✓
Swiss Development Corporation	-	Cristoff Graf	

APPENDIX 3A

DONOR SUPPORT TO UEM, BY FACULTY AND CENTRE

Agronomy Faculty

- (i) NUFFIC programme support: (1985-1997) for 'Plants, Soils and Water'. 5.175m FHL for 1993-1997 (phase iii). Link with Agricultural University, Wageningen.
- (ii) FAO programme support (1987-92).
- (iii) Italian Government support (1980-).
- (iv) IDRC research project support.

Architecture Faculty

- (i) Italian Government programme support (1984-). Link to La Sapienza, Rome.

Science Faculty

- (i) World Bank support for rehabilitation.
- (ii) Basic Sciences: NUFFIC programme support (1985-1997) 3.523m FHL for 1993-97 (phase iii), through link to Free University, Amsterdam.
- (iii) Basic Sciences: EC Programme support, (1987-) linked to Free University, Amsterdam. 5.152m FHL.
- (iv) Biology: NUFFIC programme support (1991-94) FHL 2.146m, Link to University of Groningen for teaching and research.
- (v) Biology: NORAD support to ecological protection of Inhaca (1992-94) \$50,000 US.
- (vi) Biology: IDRC (Canada) support.
- (vii) Biology: Rockefeller support for international seminar (\$5,000).
- (viii) Chemistry: IDRC support for research into cashew nut shell liquid (1990-93) 240,000CAD.
- (ix) Geology: NUFFIC programme support (1992-96) FHL 2.069m for 3-1/2 years through link with University of Utrecht in 'Geology and Geochemistry'.

Law Faculty

- (i) DANIDA programme support for teaching and staff development.

Economics Faculty

- (i) World Bank programme support (1991-94): Part of Education 2 (\$2.45m).
- (ii) Italian government support for teaching (1983-).
- (iii) UNDP support for staff development and teaching (-1993).
- (iv) UNICEF for research on agricultural commodity pricing.

Engineering Faculty

- (i) World Bank support for rehabilitation and linkage agreements.
- (ii) Civil Engineering: NUFFIC programme support to Water Resource Engineering (1990-97) 2.729m FHL in period 1993-97 (phase iii), linked to Technical University of Delft.
- (iii) Mechanical Engineering: GTZ (Germany) support to teaching and laboratory rehabilitation (1993-96).
- (iv) Electrotechnical Engineering: GTZ (Germany) support to teaching and laboratory rehabilitation (1993-96).

Arts Faculty

- (i) Geography: UNFPA support for staff development and teaching (1991-94) \$250,000.
- (ii) Languages: ODA (UK) programme support to the teaching of English. £.505m over four years (1993-97).
- (iii) Social Sciences: Ford Foundation support to strengthen research and undergraduate teaching in social sciences - see Institutional Support.

Medicine

Veterinary

- (i) NUFFIC programme support, linked with University of Utrecht in 'Animal Health' (1986-97), 1.932m FHL for 1993-97 (phase iii).
- (ii) FAO programme support (1987-92).
- (iii) GTZ (Germany) support for teaching and laboratory rehabilitation (1993-96).
- (iv) Spanish Government support.

Centre of African Studies (CEA)

- (i) Ford Foundation support for staff scholarships and library development, \$80,000 over 1991-93.

Centre for Informatics (CIUEM)

- (i) NUFFIC programme support. Link with Technical University of Delft for period 1985-93, in computer maintenance. Present phase ii, 1.255m FHL for 1990-93.
- (ii) Italian government support.
- (iii) Ford Foundation support - see Institutional Support.

Institutional and University-Wide Support

- (i) SAREC support for research in most faculties (24m SEK for 1993-94, 31 projects).
- (ii) NORAD support for research and scholarships for junior staff (1991-94) 3m NOK.
- (iii) World Bank support for management support to improve audit and accountability. Directorate of Finance (part of Education 2 - \$2.45m).

- (iv) World Bank support for improvement of effectiveness of teaching, ensuring regional and gender representation, textbooks, computerisation, establish maintenance programme, improvement of management, staff development, including administrative staff, rehabilitation of physical installations, support for financial systems, staff housing, (30m, 1992-2000).
- (v) British Council support to management training short course, Harare, 1992.
- (vi) British Council scholarship support.
- (vii) GTZ (German government) support towards ex-GDR assistance.
- (viii) Calouste Gulbenkian Foundation support for bursaries and documentation.
- (ix) Portuguese Government support for three teaching staff.
- (x) Commonwealth Fund support for regional contacts in medicine, sciences, biology, and mathematics (1991-93) \$85,000 US.
- (xi) USAID support for the construction of hostels for student residencies (\$ 5m).
- (xii) Ford Foundation support for internal reorganization, including library and computing (\$422,000 for 1991-93).
- (xiii) Ford Foundation support for implementation of new governance and management structures at UEM and strengthening of undergraduate teaching in the social sciences (\$425,250 for 1993-1995).
- (xiv) USIS support for staff bursaries and short courses.
- (xv) Australian support for student bursaries and scholarships.
- (xvi) FINNIDA support for volunteers to teach in UEM.
- (xvii) NUFFIC Programme support (1988-95) 0.968m FHL for 1992-95 (phase ii) for University staff training in teaching.
- (xviii) West-East-South programme of the Netherlands Ministry of Foreign Affairs/DGIS: from this programme the salaries are paid for 10 staff from East European countries. Annual budget Dfl 600,000.
- (xix) Supplementation Expert Programme of Netherlands Ministry of Foreign Affairs/DGIS. Annual Budget approx. Dfl. 5m.
- (xx) SIDA institutional support for infrastructure, including , staff development, teaching materials, maintenance of plant and equipment, library support, small research projects, 12.5m SEK for 1992-93.
- (xxi) SIDA support for construction of student residences, 10m SEK.
- (xxii) Italian Government support (15 bursaries).

Appendix 3b: Donor Support to UEM, by Donor

Name donor	Recipient	Function	Duration	Amount	Fund name	Link	Recent Type	Recent Freq.	Responsible
Australia	University-wide	Student Bursaries			UEM				UEM
British Council	University-wide	Institutional	1992		UEM	No		Ann. Single Report	UEM
British Council	University-wide	Staff Dev. scholarships							
Gulbenkian Fdn.	University-wide	Scholarships							
Commonwealth Fund	Medicine, Sciences	Regional Contacts	1991-1993	US\$ 85k	UEM				UEM
Commonwealth Fund	University-wide	Teaching							
Oaks									
DANIDA	Law	Teach., Staff Dev.	1991-1993		UEM				UEM
European Union	Basic Sciences	Programmatic	1987-1993	Ecu 2.3m	Free U.	Free U, Amsterdamian	Tech., Fin., Meeting	Ann. Tech, Fin, Meet 3 Mo. 6 Mo.	UEM
European Union	Student Residences	Building							Free U
European Union	University-wide	Teach., Staff Dev.							UEM
FAO	Agronomy	Teach., Staff Dev.	1987-1992		FAO				UEM
FAO	Veterinary	Teach., Staff Dev.			FAO				FAO
FINNIDA	University-wide	Computer, institutional							FAO
Ford Fdn.	CEA	institutional	1991-1993	\$422K	UEM				UEM
Ford Fdn.	University-wide	Staff Dev., Books	1991-1993	\$80K	UEM	No			UEM
France	University-wide	Institutional	1993-1995	\$425K	UDM	No			UEM
GTZ	University-wide	Teaching Staff	1993-1996		GTZ				GTZ
GTZ	Eng., Electrotechnical	Programmatic	1993-		GTZ				GTZ
GTZ	Eng., Mechanical	Programmatic							
Guinea Conakry	Veterinary	Equipment	1993-						
IDRC	Agronomy	Research	1993-1995		UEM				UEM
IDRC	Biology	Research	1990-1993		UEM				UEM
IDRC	Chemistry	Research	1980-7		UEM				UEM
Italy	Agronomy	Programmatic	1984-pres.	Cad 241k	Italy				Italy
Italy	Architecture	Programmatic		US\$ 19.8m	Italy	La Sapienza U., Rome			Italy
Italy	Chem								Italy
Italy	Economics	Teaching	1983-pres.						Italy
Italy	University-wide	Staff Dev.	Ongoing						Italy
Netherlands/DGIS	University-wide	Salary support	1993-94		UNDP				Italy
Netherlands/DGIS	University-wide	Salary support	7	Dfl 0.6m in 1993					Italy
NORAD	Biology	Research	1992-1994	Dfl 5m in 1993	UEM	No			UEM
NORAD	Law	Research		US\$ 50k		No			UEM
NORAD	University-wide	Research, Staff Dev.	1991-1994	Nok 3m	UEM				UEM
NUFFIC	Agronomy	Programmatic	1985-1997	'93/97 Dfl 5.18m	NUFFIC				UEM
NUFFIC	Basic Sciences	Programmatic	1985-1997	'93/97 Dfl 5.5m	NUFFIC				UEM
NUFFIC	Biology	Programmatic	1991-1994	'91/94 Dfl 2.2m	NUFFIC				UEM
NUFFIC	Chem	Programmatic	1985-1993	'90/93 Dfl 1.3m	NUFFIC				UEM
NUFFIC	Eng., Civil	Programmatic	1990-1997	'93/97 Dfl 2.7m	NUFFIC				UEM
NUFFIC	Geology	Programmatic	1992-1996	'92/96 Dfl 2.1m	NUFFIC				UEM
NUFFIC	Sudop	Uni. Staff Dev.	1988-1995	'92/95 Dfl 1m	NUFFIC				UEM
NUFFIC	Veterinary	Programmatic	1986-1997	'93/97 Dfl 1.9m	NUFFIC				UEM
ODA (UK)	English	Programmatic	1993-1997	L.505k	Mix				Mix
Portugal									
Rockefeller Fdn.									
SAREC	University-wide (31 Proj.)	Rsch, Infrastr.	1978-1994	'93/94 Sek 25m	UEM				UEM
SIDA	Student Residences	Building	1992-pres.	Sek 10m	UEM				UEM
SIDA	University-wide	Institutional	1992-1993	Sek 25m	UEM				UEM
Spain	Economics	Teach., Staff Dev.	7-1993	US\$ 250k	UNDP				UNDP
UNDP	Geography	Teach., Staff Dev.	1991-1994	US\$ 5m	Mix				Mix
Unifra	Student Residences	Building	1993-	US\$ 5m	UEM				UEM
United	Econ., Sci., Eng., Mgmt.	Institutional	1991-1994	US\$ 2.5m	Mix				Mix
Usaid	University-wide	Institutional	1992-2000	US\$ 30m	UEM				UEM
UNIS									
World Bank									
World Bank									

APPENDIX 4A

DONOR SUPPORT TO UDSM, BY FACULTY AND INSTITUTE

Arts and Social Science Faculty

- (i) Ford Foundation support to faculty publications programme.
- (ii) SIDA support for textbooks for Statistics, Sociology, Political Science, and Public Administration (500,000 SEK).
- (iii) Art, Music, and Theatre: British Council link with Leeds University.
- (iv) Demographic Unit: UNFPA programme support.
- (v) Economics: SIDA programme support (1978-93) link with University of Lund, together with ERB.
- (vi) Economics: NORAD programme support over at least three years, linked with Trondheim University.
- (vii) Economics: IDRC - Macroeconomic management, phase 2 research project, 1990-94.
- (viii) Economic Research Bureau (ERB): NUFFIC programme support, link with ISS, The Hague.
- (ix) ERB: SIDA programme support, as with Economics.
- (x) ERB: DANIDA - and Danish Research Council, major research on local government performance in East Africa, linked with Centre for Development Research, Copenhagen.
- (xi) ERB: NORAD - later NUFU Research project with Trondheim University on agricultural transport.
- (xii) ERB: USAID supported research on social dimensions of structural adjustment, linked to Cornell University.
- (xiii) ERB: IDRC supported research projects on: (i) coffee marketing and pricing; and (ii) rural informal sector.
- (xiv) ERB: SAREC recent research previous support for social dimensions of structural adjustment.
- (xv) Foreign Languages and Linguistics: Brown University, USA - Collaboration where UDSM does Kiswahili teaching and Brown funds staff sabbatical visits.
- (xvi) Foreign Languages: British Council link with Lancaster University.
- (xvii) Foreign languages: Collaboration with Leiden University. Department of African Languages.
- (xviii) Geography: British Council link with Glasgow University.
- (xix) Geography: IDRC supported research project on 'Urban agriculture'.
- (xx) History: NORAD support to archeology unit, link to Bergen University.
- (xxi) History: NORAD support to History Journal.

Kiswahili: None.

Literature: None.

- (xxii) Political Science and Public Administration: SAREC funded research (1992-4) on 'What drives donor strategy and behaviour' (750,000SEK).
- (xxiii) Pol Sci: Tanzanian Government - significant support for research on democratisation.
- (xxiv) Pol Sci: Ford Foundation support for studies of the democratisation process in Tanzania (\$100000 1993-95).
- (xxv) Pol Sci: NORAD support for research and education for democracy in Tanzania.
- (xxvi) Pol Sci: SIDA supported link to Department of Peace and Conflict Research, Uppsala University.
- (xxvii) Sociology: British Council sponsored link with Hull University associated with Cambridge and Glasgow Universities.
- (xxviii) Sociology: IDRC funded research project on 'Women's access to land' (1990-).
- (xxix) Sociology: NORAD funded aids research with Bergen University.
- (xxx) Statistics: British Council link with Southampton University.

Commerce and Management Faculty (Four depts)

- (i) HEDCO (Ireland) - 233K Irish Punts between 1988-90, then 43K 1991-93.
- (ii) British Council link with Sheffield University.

Education Faculty (Five depts)

- (i) CIDA programme support (1986-92) linked to Alberta University.
- (ii) IDRC major research project with literature and equipment (equivalent of 2.9 million Tz shs) and support for masters fieldwork.
- (iii) British Council staff development and research link with Southampton University. (1982-89), Leeds University. (1989-).
- (iv) SIDA support for research 1985-92. 3.1 million Tz shs.
- (v) World Bank supported research project (\$2.9m) with small part for faculty (\$85,000).
- (vi) NUFU, Norway support for capacity building in dept. of Physical Education, funded by NORAD, linked to Norwegian University of Physical Education and Sport.
- (vii) World Bank support to establish a Research and Evaluation Bureau, 1990- .
- (viii) German Government small-scale support, 160,000 Tz shillings.

Engineering Faculty

- (i) GTZ (Germany) Faculty institutional support since 1973, 6.4 m DM for 1990-95, plus 3.4 m for training of road engineers for 90-94 plus 5m DM for 1991-95.
- (ii) SDC (Switzerland) for faculty institutional support, 6.4m SFr. for 1992-96, administered by GTZ.
- (iii) NORAD support for Dept of Chemical and Process Engineering. Link with Norwegian Institute of Technology.
- (iv) HEDCO, link with UC Galway, programme support for Water Res Eng Civil Engineering.
- (v) British Council funded link with Imperial College environmental engineering and structural engineering. Based in Civil Engineering Department.
- (vi) British Council link with University of Southampton in electrical engineering.
- (vii) SAREC funded research project on solar thermal electrical energy generation, linked to Royal Institute of Technology: Electrical Engineering.
- (viii) ANSTI (UNESCO) - Coordinates support for the Masters in Water Res Eng (WRE), with support from Ireland, Belgium, and UNESCO.
- (ix) Kassel University, Germany - Cooperation in hydraulic structures, Civil Engineering Department.
- (x) Technical University , Tampere, Finland - agreement to supervision their PG students in Tz by Civil Eng dept.
- (xi) Technical University, Braunschweig, Germany - visiting staff for Msc (WRE), Civil Eng; and cooperation in hydraulic structures, also Civil.
- (xii) Inter University Postgraduate Programme in Hydrology (IUPHY), Belgium - Support to Masters in WRE.
- (xiii) Federal Institute of Technology, Switzerland - associated with SDC support.

Faculty Of Law (Five Depts)

- (i) Oxfam/DANIDA/US Embassy support to the faculty's legal aid committee.
- (ii) British Council link with Warwick University to support the Human Rights Research Unit.
- (iii) Belgium Govt funded link with Ghent University for institutional strengthening.

Science

- (i) FAO support to four units: Botany, Zoology, IRA, and IMS to strengthen their research on biodiversity.
- (ii) Botany: SAREC funded research with IRA on overgrazed lands in Dodoma and Man-land interactions in semi-arid Tanzania.

- (iii) Botany: NUFFIC programme support Applied Microbiology Unit, over ten years, 1.8 million Guilders over 3-4 year period, link with Nijmegen University.
- (iv) Chemistry: NUFFIC programme in 'organic chemistry', 1983-94. Linked to Catholic University, Nijmegen. Present phase 1991-94 with FHL 2.3m.
- (v) Chemistry: NORAD programme support over ten years for 1992-95. 17 million Norwegian Kr.
- (vi) Chemistry: British Council link until recently with Salford University.
- (vii) Geology: FINNIDA programme support 16 million Finnish m.
- (viii) Geology: SAREC funded research on environmental aspects of mining and industrialisation in Tanzania.
- (ix) Geology: CIDA funded link with Quebec University.
- (x) Mathematics: HEDCO support for computing, scholarships books.
- (xi) Mathematics: Bible Studies Foundation USA support for scholarships.
- (xii) Physics: SAREC support for solar energy research, linked to Uppsala University.
- (xiii) Physics: International Atomic Energy Agency?
- (xiv) Physics: NORAD programme support Applied Physics and Information Technology, link with Bergen University.
- (xv) Zoology and Marine Biology : British Council, Applied Zoology project, linked to Cambridge University.
- (xvi) Zoology: NORAD supported link with Oslo University.
- (xvii) Zoology: HEDCO.
- (xviii) Zoology: FAO project, cited above.
- (xix) Zoology: NUFFIC supported link with Catholic University, Nijmegen, in microbiology 1986-97. Present phase iii 1993-97 with 2.563m FHL.
- (xx) Central Science Workshop: NUFFIC programme support, linked to Catholic University, Nijmegen, 1981-94. Total budget 3.1m FHL. Last phase of project 1992-94 with 0.2m FHL.

Computer Centre

No support.

Institute of Development Studies

- (i) IDRC/Carnegie - Technology Policy network for East and Southern Africa.
- (ii) DANIDA - 11million Tz sh for election study, linked to Centre for Development Research, Copenhagen.
- (iii) Friedrich Ebert Stiftung, Germany.

- (iv) Netherlands Government DGIS funded project on 'Workers participation development programme for english speaking Africa', with support from Institute of Social Studies, The Hague. 2.363m Dfl for 1992-96.
- (v) SAREC support for project (Womens research group) on 'teenage girls and reproductive health'.
- (vi) SAREC, Core support for 1992-94.
- (vii) NORAD project support for 'gender issues in Shinyanga', link with Helsinki University.
- (viii) IDRC project support for 'Urban management and the informal sector'.
- (ix) IDS, Sussex University link to promote regional teaching of development studies.
- (x) Ford Foundation support for curriculum redevelopment (1993-94).

Institute of Kiswahili Research

- (i) FINNIDA - Culture and language (first phase 1989-92).
- (ii) UNESCO/SIDA support for Swahili-Swahili dictionary.
- (iii) UNESCO/FINNIDA support for newsletter.
- (iv) UNESCO support to produce Swahili edition of General History of Africa, with UNDP, DUPE, and History.

Institute of Marine Sciences

- (i) SAREC funded collaborative project with Stockholm University, Uppsala University, UDSM Botany, and the IMS for research on coral metabolism, marine flora, seaweed and mangrove ecology.
- (ii) NORAD support for projects on: effects of pollutants on corals around Zanzibar, salt production; and aquaculture.
- (iii) CIDA financed link with Institute for Ocean Development and/or University of Quebec at Montreal?

Institute for Production Innovation

- (i) GTZ institutional support including link with Cologne University.
- (ii) NORAD support for a project on pollution abatement in gold processing.
- (iii) International Centre for Theoretical Physics.

Institute of Resource Assessment

- (i) SAREC support to IRA and Botany for 'Man-land interactions in semi-arid Tanzania', link with Stockholm University.
- (ii) DANIDA (Centre for Development Research/ Institute of Geography, Copenhagen University).
- (iii) British Council funded link with Cranfield Institute of Technology.
- (iv) British Council funded link with Glasgow University, through Geography.

Library

- (i) SAREC long-term support towards textbooks and periodicals, 1984-present.
- (ii) Ford Foundation support for expansion fo CD-ROM database services (\$230,000 for 1993-96).

Estates

- (i) SDC (Switzerland) suport for capital dev work (300,000 SFr) to be continued.
- (ii) SIDA support for concrete treatments to building.

Dup (Press)

Central Admin

- (i) British Council funded link with Bath University.
- (ii) SAREC support towards Institutional Transformation process (30k SEK).

Muhimbili University College of Health Sciences (incomplete)

- (i) Ford Foundation support for strategic planning workshop and follow-up seminars (\$57,300, 1992-1994).
- (ii) Ford Foundation support for research and annotated bibliography on fertility and contraceptive use (\$63,900, 1992-1994).

Medicine

- (i) British Council link with Newcastle University.
- (ii) NORAD support for microbiology research, link with Bergen University and Botany, UDSM.
- (iii) NORAD support for training and research in AIDS.
- (iv) SAREC support for research in AIDS/HIV, with sociology and educational psychology, UDSM.
- (v) SAREC support for clinical management of malaria.
- (vi) IDRC funded project on epilepsy.
- (viii) NUFFIC funded project on the relationship between AIDS and tuberculosis.

Dentistry

- (i) FINNIDA programme support, link with Kuopio University, over nine years.
- (ii) British Council link with Newcastle University.
- (iii) NUFFIC support through link with Catholic University, Nijmegen, during 1979-1993. Final phase 1990-93 with 1.074m FHL.
- (iv) IDRC supports a research project.

Nursing

- (i) CIDA programme support, link with Dalhousie University.

Donor	Recipient	Function	Duration	Amount	Fund Source	Link	Report Type	Report Frequency	Responsibility
Belgium Bible Studies Foundation	Law	Scholarships Programmatic	1985-pres.	91 L 171k	Donor	U. Bath	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Math	Staff Dev.	Ongoing		Donor	U. Leeds	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Administration	Research, Staff Dev.	1984-19937		Donor	U. Sheffield	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Art, Music, Theatre		1989-pres.		Donor	U. Sheffield	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Chemistry		Ongoing		Donor	Newcastle U.	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Commerce & Mgmt.		Ongoing		Donor	Newcastle U.	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Dentistry		Ongoing		Donor	Imperial College	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Education		Ongoing		Donor	U. Southampton	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Engineering, Civil		1990-pres.		Donor	U. Southampton	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Engineering, Electrical		1989-pres.		Donor	U. Manchester	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Epidemiology & Biostatistics		1990-pres.		Donor	U. Manchester	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Foreign Lang. & Linguistics		1990-pres.		Donor	U. Lancaster	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Forestry								
British Council	Geography								
British Council	Inst. Resource Assessment		1989-pres.		Donor	U. Glasgow	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Law		1990-pres.		Donor	Cranfield I. Of T.	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Medicine		1990-1993	L 203k	Donor	U. Warwick	Teach.	Ann.	Faculty Coord. To B.C.
British Council	Sociology		Ongoing		Donor	Newcastle U.	Teach.	Ann.	Faculty Coord. To B.C.
British Council	Statistics		1992-1995		Donor	U. Hull	Teach.	Ann.	Dept. Coord. To B.C.
British Council	Zoology & Marine Biology		1989-pres.		Donor	U. Southampton	Teach.	Ann.	Dept. Coord. To B.C.
Camogie	Inst. Dev. Studies		1988-7		Donor	Cambridge U.	Teach.	Ann.	Dept. Coord. To B.C.
CIDA	Inst. Dev. Studies	Programmatic	1989-1993	91 US\$ 25k	UDSM		Teach, Fin.		Ida To IDRC
CIDA	Education	Prog., Res., Staff Dev.	1989-1993	92 US\$ 28k	UDSM		Teach, Fin.		Ida To IDRC
CIDA	Inst. Marine Science		1986-1992				Eval.		
CIDA	Inst. Marine Sci. & Geol.								
CIDA	Nursing		1991-pres7						
DANIDA	Economic Research Bureau	Staff Dev.	1991-pres7	Cad 709k	Mix	U. Newfoundland		6 Monthly	
DANIDA	Education	Research	1989-1993	Dkr 300k		U. Quebec			
DANIDA	Inst. Dev. Studies		1992	Dkr 18m		Dalhousie U.			
DANIDA	Inst. Resource Assessment			Tab 11m		CDR, Copenhagen	Ann. Tech., 3 Eval.		
DANIDA	Law	Research	1991-1996			Tech. Eval.	Ann.		
DANIDA	Medicine, Veterinary	Prog., Res., Staff Dev.				CDR, Copenhagen			
DANIDA	Political Science					CDR, Copenhagen			
FAO	Agriculture	Research	1992-1996	US\$ 100k.7			Eval.		
FAO	Dentistry	Capital Dev., Staff Dev.	9 Years7			Kuopio U.	Eval.	Midterm Review 19897	FAO Tech. Advisor, Dem PAD
FINNIDA	Foreign Lang. & Linguistics	Research, Teach.	1985-19917	Fin 16m			Eval, Fin, Teach, End		
FINNIDA	Geology	Programmatic, Staff Dev.							
FINNIDA	Inst. Dev. Studies	Publication	1989-1992		Donor				
FINNIDA	Inst. Dev. Studies	Publication	1993-1995	US\$ 100k	UDSM				
FINNIDA	Inst. Kawahili Research	Research	1992-1994	US\$ 57k	UDSM				
Feed Foundation	Political Science	Institutional	1992-1994	US\$ 64k	UDSM				
Feed Foundation	Muhimbili	Research	1993-1995	US\$ 40k	UDSM				
Feed Foundation	Muhimbili	Teaching	1993-1996	US\$ 120k	UDSM				
Feed Foundation	Inst. Dev. Studies	Library							
Feed Foundation	Inst. Dev. Studies	Teach., Research							
France	Economic Research Bureau		1989-1990	Tab 160k					
GTZ	Education	Programmatic	1990-1995	90/95 Dm 6.4m	Donor				
GTZ	Engineering	Staff Dev, Road Engineers	1990-1994	Dm 3.4m	Donor				
GTZ	Engineering								

Name_donor	Resipients	Function	Duration	Amount	Fund_name	Link	Report_Type	Report_Frequency	Responsible
GTZ	Engineering	Research	19917	Dm 810k	Donor			6 Monthly, Ann.	GTZ
GTZ	Inst. Production Innovation	Publication	19877		Donor			6 Mo, Ann., 2 Yr Rev	Ipl For UDSM, 2 Yr Rev
GTZ	Inst. Production Innovation	Research	1993-1995	Dm 1.5m	Donor			Qtrly Rpt., Ann. Via.	Hedoo
GTZ	Inst. Production Innovation	Cap. Dev., Prog., Staff Dev.	1990-1995	Dm 5m	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'88 Ir1 83k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'89 Ir1 90k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'90 Ir1 60k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'91 Ir1 26k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'92 Ir1 10k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Commerce & Mgmt.	Res., Staff Dev., Teach.	1988-1993	'93 Ir1 8k	Donor			Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Engineering, Civil: W.r.e.	Teach.	1982-pres.	'91 Ir1 96k	Donor	U. Galway	Eval.	Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Math	Res., Staff Dev., Teach.	1991-1993	'92 Ir1 105k	Donor	Dublin Inst. Of Tech.	Eval.	Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Math	Res., Staff Dev., Teach.	1991-1993	'93 Ir1 105k	Donor	Dublin Inst. Of Tech.	Eval.	Qtrly Rpt., Ann. Via.	Hedoo
HEDCO	Zoology	Research	1992						
IDRC	Dentistry	Research	1990-1994	Cad 31k					
IDRC	Economic Research Bureau	Research	1986-1992	'89 Tah 3m					
IDRC	Economic Research Bureau	Research	1992	Cad 20k					
IDRC	Economics	Research	1992	Cad 33k		U. Alberta	Eval.		
IDRC	Education	Research	1990-1992	US\$ 14k					
IDRC	Education	Research	1989-1993	'91 US\$ 25k					
IDRC	Education	Research	1989-1993	'92 US\$ 28k					
IDRC	Education	Research	1993-1995	Cad 113k					
IDRC	Geography	Programmatic			UDSM				
IDRC	Inst. Dev. Studies	Programmatic			UDSM				
IDRC	Inst. Dev. Studies	Research							
IDRC	Inst. Dev. Studies	Research	1988-1993	US\$ 9k					
IDRC	Medicine	Research	1990	US\$ 22k					
IDRC	Sociology	Research	1993-1997						
Institute For Social Studies (Netherlands)	Inst. Dev. Studies	Programmatic, Research		1st Qtr. '93 \$28k	Mex				
Inter University Postgrad Program In Hydrology (Belgium)	Inst. Dev. Studies	Research	1988-1993						
International Atomic Energy Agency International Centre For Theoretical Physics Kasel U. (Germany)	Physics	Staff Dev.	1992-1996	Dfl 2.4m					
Netherlands NORAD	Inst. Production Innovation Engineering: Civil	Research							
	IDS Botany	Programmatic							
	Engineering, Civil: W.r.e.	Research							
	Physics	Research							
	Inst. Production Innovation Engineering: Civil	Staff Dev.							
	IDS Botany	Programmatic							
	Engineering, Civil: W.r.e.	Research							
	Physics	Research							
	Inst. Production Innovation Engineering: Civil	Staff Dev.							
	IDS Botany	Programmatic							

Name/Abbr	Medicine	Function	Duration	Amount	Eval. period	Link	Report/Expend.	Responsible
NORAD	Chemistry	Res., Staff Dev., Teach.	1984-1994	93 Tah 213m	U. Tromsheim			
NORAD	Chemistry		1992-1995	Nok 17m	Sintef, U. Tromsheim			
NORAD	Chemistry		1989-1990	Nok 22.5m	U. Tromsheim	Fin., Eval.	Fin. Qtrly.	Evkl. Stused Vust
NORAD	Economic Research Bureau		3 Years?					
NORAD	Economics							
NORAD	Education		1989-1990	Tah 2.5m	Norwegian Inst. Of Technology			
NORAD	Education, Physical		1992-1996	92 Nok 640k	Norwegian U. Of P.E.			
NORAD	Education, Physical		1992-1996	93 Nok 798k	Norwegian U. Of P.E.			
NORAD	Education, Physical		1992-1996	94 Nok 940k	Norwegian U. Of P.E.			
NORAD	Education, Physical		1992-1996	95 Nok 1.2m	Norwegian U. Of P.E.			
NORAD	Education, Physical		1992-1996	96 Nok 986k	Norwegian U. Of P.E.			
NORAD	Engineering		1992-1994	93 Nok 7.6m	Norwegian Inst. Of Technology			
NORAD	Engineering, Chem. & Process		1992-1994	94 Nok 7.4m	Norwegian Inst. Of Technology			
NORAD	Engineering, Chem. & Process		1993-1994	Tah 304.4m	Norwegian Inst. Of Technology			
NORAD	Engineering, Chemical		1980-1990	Nok 17m				
NORAD	Engineering, Civil: W.r.e.		1991-1994	Nok 80k	Centre Dev. Sk., U. Bergen			
NORAD	Forestry		1992-1995	Nok 3.1m	U. Helsinki			
NORAD	History	Publication Research				Eval.		Notad
NORAD	History: Archaeology							
NORAD	Inst. Dev. Studies	Research	1991	Tah 9.3m	Mex			
NORAD	Inst. Marine Science	Research						
NORAD	Inst. Production Innovation	Staff Dev.	1984-1990					
NORAD	Inst. Production Innovation	Research	1993-1994					
NORAD	Medicine	Research	1983-1992					
NORAD	Physics	Programmatic	1991					
NORAD	Political Science & Pub. Adm.	Research						
NORAD	Sociology	Research	1988-1990					
NORAD	Zoology & Marine Biology	Staff Dev.	1986-1997	93/97	U. Bergen			
NUFFIC	Zoology	Research, Teach.	1987-1994	DI 2.36m	U. Oslo			
NUFFIC	Central Science Workshop	Programmatic	1987-1994	DI 3.1m	U. Nijmegen			
NUFFIC	Chemistry	Staff Dev.	1983-1994	91/94 FHL 2.3m	U. Nijmegen	Fin., End Rpt.	Ann. Rpt.	Director Ids To Notad
NUFFIC	Dentistry	Programmatic, Staff Dev.	1979-1993	90/93 FHL 1.1m	U. Nijmegen			
OXFAM	Law		1990-1993	90/91 Sek 1.6m				
SAREC	Botany	Research						
SAREC	Economic Research Bureau	Research						
SAREC	Engineering, Electrical	Research						
SAREC	Geography		1989					
SAREC	Geology	Research	1992-1994	92/93 Sek 500k	UDSM			
SAREC	Geology	Research	1992-1994	93/94 Sek 400k	UDSM			
SAREC	Inst. Dev. Studies	Programmatic	1992-1994	92/93 Sek 800k	UDSM			
SAREC	Inst. Marine Science	Research	1992-1994	92/93 Sek 2.7m	UDSM			
SAREC	Inst. Marine Science	Research	1992-1994	93/94 Sek 3m	UDSM			
SAREC	Inst. Marine Science	Research	1990-1991	Sek 2.2m	UDSM			
SAREC	Inst. Marine Science & Botany	Research	1991-1992	Sek 2.2m	UDSM			
SAREC	Inst. Resource Assessment	Research	1992-1994	92/93 Sek 3.3m	UDSM			
SAREC	Inst. Resource Assessment	Research	1992-1994	93/94 Sek 3.6m	UDSM			
SAREC	Inst. Resource Assessment	Research	1990-1991	Sek 2.9m	UDSM			
SAREC	Library	Research	1992-1994	92/93 Sek 2.5m	UDSM			
SAREC	Library	Research	1992-1994	93/94 Sek 3m	UDSM			
SAREC	Medicine							
SAREC	Medicine	Research						
SAREC	Physics	Research	1992-1994	92/93 Sek 350k	UDSM			
SAREC	Physics	Research						
SAREC	Physics							

Name donor	Recipient	Function	Duration	Amount	Fund source	Link	Recent Uses	Recent Frequency	Responsible
SAREC	Physics	Research	1992-1994	'93/94 Sek 300k	UDSM		Tech., Fin.	Ann.	Binnar Signa Fin.
SAREC	Political Science & Pub. Adm.	Research	1990-1991	Sek 300k			Tech.	Ann.	
SAREC	Wrhp., FoE	Research	1992-1994	Sek 750k			Tech., Fin.	Ann.	
SAREC	Wrhp., FoE	Research	1992-1993	Sek 1.1m**					
SDC	Engineering	Staff Dev.	1990-1991	Sek 1.6m	GTZ		Tech.	Ann.	GTZ
SDC	Engineering	Programmatic, Staff Dev.	1974-1992	Dm 1.8m	GTZ				GTZ
SDC	Engineering		1992-1996	Sfr 50m	GTZ		Eval	Ann. Conf	GTZ
SDC	Engineering		1993-1994	Sfr 6.4m	GTZ				GTZ
				Tsh 430m					
SDC	Estates	Capital Dev.	1991	Sfr 6m					
SIDA	Arts & Social Science	Textbooks		Sek 500k		U. Lund,			
SIDA	Econ. Res. Bureau & Economics	Programmatic, Staff Dev.	15 Years	'93 Sek 3m					Prog. Coord., Economics, U. Lund
SIDA	Education	Research	1985-1992	Tsh 3.1m					
SIDA	Estates	Capital Dev.		Sfr 289k					
SIDA	Inst. Kiswahili Research	Publication							
SIDA	Political Science & Pub. Adm.								
Tech. U. (Denmark)	Engineering	Research				U. Uppsala			
Tech. U. (Tampere, Finland)	Engineering, Civil								
U.S. Embassy	Law								
Unesco	Engineering, Civil: W.r.c.		1982-pres.						
Unesco	History	Publication							
Unesco	Inst. Dev. Studies	Publication							
Unesco	Inst. Kiswahili Research	Publication							
UNFPA	Demography		1993-1994	Tsh 12.3m					
Usaid	Economic Research Bureau	Research							
Usaid	Economic Research Bureau	Research	1989-1990			Connell U.			
Usaid	Inst. Production Innovation	Research							
Usaid	Medicine								
World Bank	Education	Research	1990	US\$ 85k					
World Bank	Education								

APPENDIX 5A

QUESTION LIST FOR DONOR AGENCY RESPONDENTS

Name of Agency:

Person in Agency:

Post of person:

Date of responses:

Type of interview (telephone, written, face-to-face, etc)

Who wrote down the responses?

This check list of questions aims at the collection of information on how donors organise the support they give to African universities, particularly how reporting, evaluation and feedback is organised and implemented. Often the answer may be best given by already available documents. If that is so, please mention the title of the document, and if possible send it.

The answers are confidential in that no person's name will be mentioned in any written report, and no donor agency need be mentioned concerning any particular instance. The aim is to get a sense of the whole situation, not to evaluate any one agency

1 Types of Support to African Universities

(i) What kinds of support do you offer? Example (not exhaustive):

- * Project support to individuals
- * Scholarships
- * Expatriate staff to support universities (long, short-term)
- * Departmental strengthening programmes
- * Sub-dept strengthening programmes
- * Institutional support
 - eg Physical infrastructure
 - Libraries
 - Budget support
 - Salary support
 - Others (specify)
- * Support for research
- * Support for teaching
- * Support for extension

(ii) In a few sentences how would you sum up the kind of support your agency gives?

2 General Policy for University Support?

Are there explicit conditions pertaining to the agencies support (conditions relating to national agreements, conditions at the university, conditions in relation to direct collaborating partners)

3 System for Treating Applications

(i) Who can apply?

- * For example, Government ; Central University Admin ; faculty; department; section; individual

(ii) Is it necessary to collaborate with a university from the donor country?

- * Is it advantageous so to collaborate?
- * Is it allowed so to collaborate?

(iii) Is it advantageous to collaborate with other African LDC institutions?

- * Is it allowed so to collaborate?

- (iv) Is it allowed to collaborate with institutions from other industrialised countries than the donor country?
- (v) Can institutions (for example, universities and research institutes, faculties, depts, individuals) from your country, apply for funds from your agency?

4 Processing of Applications

- (i) Is there a specific application form/or suggested format for applicants; instructions for applicants?
- (ii) Is there information on the criteria for approval?
- (iii) Is there information of how long it takes to get a response?

5 Procedures for Assessing and Approving Applications

- (i) How does the assessment process work? (written applications? site visits by agency staff? other evaluators?)
- (ii) What is the decision making process?
- (iii) Are assessments made available to those applying?

6 Agreements

- (i) Who formally enters into agreement?
 - * Govt to Govt
 - * agency to university
 - * LDC university to collaborating university
 - * Others (please specify)
- (ii) Could you please send examples of the type of agreements that best represent your agencies systems?
- (iii) What are the key elements of the agreements?
 - * Is it that you have just one model agreement that you use - is it always used.

Tick any that you consider important, then rank order the three most important.

- * Objectives - how tight?
- * Reporting requirements
- * Regularity of reports
- * Financial accounts

7 Administration of Support

- (i) Who manages and handles the funds?
- * Totally university
 - * Totally donor agency
 - * Another implementing agency
 - * A mix: what is the mix of responsibility?
- (ii) How often are funds dispersed?
- (iii) Who is responsible for procurement?
- (iv) Who is responsible for hiring and contracting staff?
- (v) Any special requirement?
- (vi) Can the university alter the original agreement for the use of the assistance? Can you accept the movement of funds from one budget head to another?
- (vii) If yes, does this have to be done in consultation with your agency?
- (viii) Salaries - under what circumstances would your agency consider paying salaries?
If 'none' - why not?

8 Reporting Requirements

- (i) What kinds of report are required?
- * Financial report
 - * Technical/progress reports
 - * Reports on each segment of support, if support is multi-project programme
(Is it multi-project, dept by dept, etc OR a single report for all donor support to the university?)
- (ii) Is there a written document for reporting format? (Please can we have an example)
Is the same format used for every university to university (describe different formats)
- (iii) How often are reports required ?

Type of report	A	Frequency
	B	
	C	
	D	

- (iv) When in the year are reports required?
- Type of report A
 B
 C
 D
- (v) Is timing of reporting tied to donor agency requirements or flexible in relation to budget system of supported university?
- (vi) Is agency involved in any experiments to use universities own management reporting systems as its own reporting systems?
- (vii) Any interesting experiences?
- (viii) Does the university's report need to be specific about your agency's contribution and how it has been put to use?
- (ix) Could your agency negotiate on reporting times in order to assist the university's other reporting needs?
- (x) Are there legal impediments and constraints to the reporting process? If so, what are they?
- (xi) Where your agency is involved in a multi lateral project would your agency be prepared to accept joint reporting (ie one report for all).
- (xii) Would your agency be prepared to negotiate a reporting system that had been collectively agreed with other major donors?
- (xiii) Would your agency be open to more flexible reporting systems associated with university institutional strengthening?
- (xiv) What are the key requirement of your agency?
- (xv) If you could start afresh what would you like to see in the report that is not there at the moment?

9 Other Monitoring and Evaluation

Are formal evaluation systems in place?

What are they?

(evaluation missions, when, external evaluation of donor agency)

10 How is the Donor Agency Itself Evaluated?

- * Annually?
- * Formal external evaluations

Describe:

Anything written?

WRITTEN MATERIALS

The following documents, would be most useful for our study:

- * Annual reports of the Agency
- * Major recent policy documents/speeches as they affect policy of the donor agency towards African universities
- * Documents containing conditions concerning support to African universities
- * Documents on types of support (projects, programmes, defined subject support, institutional support, overhead support, local costs, local salary support)
- * Documents on who can apply, information to applicants
- * Documents on systems for evaluation of proposals before approval
- * Documents on agreements, examples of agreements, who signs, key elements covered
- * Documents on handling of funds, fund management
- * Examples of contracts
- * Documents on report expectations, report models, forms
- * Documents on evaluation and monitoring of projects
- * Examples of reports considered 'model' reports.

We would be grateful if you could supply these documents if they exist in your agency, or to fax details of whom in your organisation may be able to send them?

sarec

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