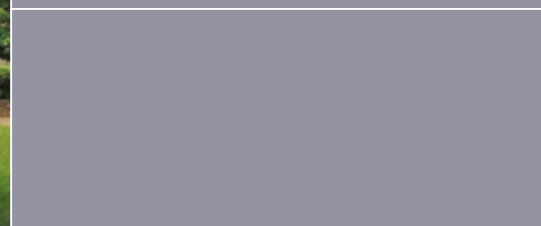
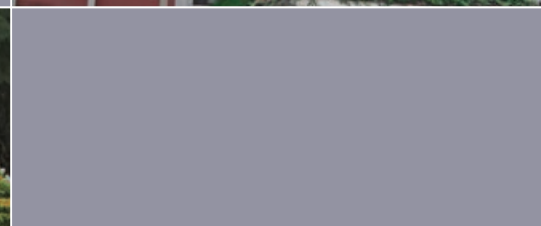
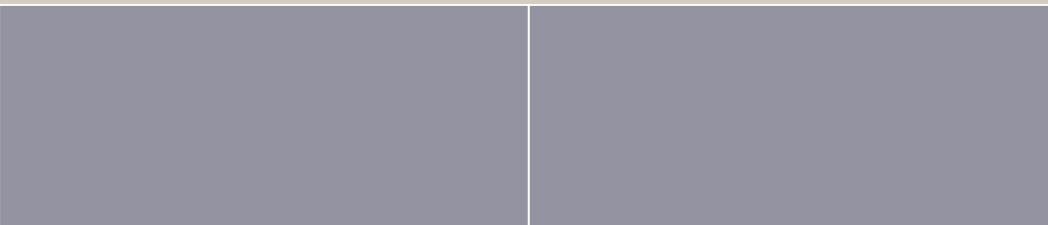




# Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)

Evaluation Report 7/2009  
Annexes



**Norad**

Norwegian Agency for  
Development Cooperation  
P.O.Box 8034 Dep, NO-0030 Oslo  
Ruseløkkveien 26, Oslo, Norway

Phone: +47 22 24 20 30

Fax: +47 22 24 20 31

**Photos:**

Large picture: University of Malawi (Photo: Gunnar Zachrisen)

Small picture: Tribhuvan University Central Office, Nepal (Photo: Cowi AS)

Design: Agendum See Design

Print: 07 Lobo Media AS, Oslo

ISBN: 978-82-7548-471-8

# Annexes



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# Annex 1 a: Tools for data collection and analysis – Evaluation framework

## Evaluation framework - issues, questions, hypotheses and indicators.<sup>1</sup>

Issue	Evaluation questions	Hypotheses	Indicators
<b>1. Capacity development in the South</b>	<ul style="list-style-type: none"> <li>How has NUFU contributed to sustainable capacity building at academic institutions in South?</li> <li>Has NOMA taken efficient steps to provide national work force with adequate qualifications? (See issue 6)</li> <li>Has capacity development efforts been influenced by length of time beneficiaries have been professionally active in native country after finishing training?</li> <li>Could similar outcomes be achieved in more cost-efficient manner?</li> </ul>	<ul style="list-style-type: none"> <li>Stronger attention to <i>institutions'</i> ownership of adequate facilities, curriculum, student supervision etc. has contributed to sustainable capacity</li> <li>Effectiveness of capacity development is enhanced when candidates from the NUFU and NOMA programmes are professionally engaged at research institutions / universities after finishing training.</li> <li>Capacitated institutions in South are more cost-efficient in achieving outcomes. Do South institutions consider themselves sufficiently capacitated?</li> <li>Comparison of indicators with NFP and previous NUFU programme cycles and with other European programmes (incl. unit cost, administrative load, outputs and outcomes) will indicate cost-efficiency</li> </ul>	<ul style="list-style-type: none"> <li>An enabling institutional environment created, generating research funding, publications in refereed outlets, establishing collaborative research networks nationally and abroad, and influencing national policies and priorities</li> <li>Number of graduates pursuing career tracks within institution increased</li> <li>Transparent administrative and recruitment procedures established, research and educational, curriculum strategies formulated, students intake and graduates produced increasing</li> </ul>
<b>2. South-South collaboration</b>	<ul style="list-style-type: none"> <li>To what extent has NUFU and NOMA stimulated regional coop. among academic inst. in South?<sup>1</sup></li> <li>Under which forms may such cooperation have been established?</li> </ul>	<ul style="list-style-type: none"> <li>Newer NUFU and NOMA projects/ programmes value regional networks, new forms of knowledge sharing, and South-South collaboration - as a consequence of 1) critical evaluations and 2) networking trends of our time.</li> <li>What are perceptions of different networking models by different stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>Regional networks established and research and educational quality improved through improved curricula, joint degrees, joint publications, joint financing of projects, exchanges, sharing educational workload, etc.</li> </ul>

<sup>1</sup> Given the shortcomings identified in previous evaluations an important question is whether the South-South 'component' has led to new forms of collaboration, new forms of knowledge transfer, exchanges, technologies etc. and whether adjustment of the programmes has affected the supply-demand driven balance.

Issue	Evaluation questions	Hypotheses	Indicators
<b>3. Management and administration</b>	<ul style="list-style-type: none"> <li>Is SIU administration, incl. monitoring and follow-up, efficient and effective according to agreements?</li> <li>Do Programme Boards carry out responsibilities according to mandates?</li> <li>Does Norad carry out steering role in efficient manner?</li> <li>Is collaboration between SIU and Norad conducive to good management?</li> <li>Is size of contributions, incl. salaries and indirect costs (from MER), appropriate? (see issue 7 b)</li> </ul>	<ul style="list-style-type: none"> <li>SIU is anticipated to administer - incl. M&amp;E and follow up with participating institutions - in accordance with agreements. Likewise Progr. Boards are anticipated to fulfil their mandates, and Norad to fill its role efficiently.</li> <li>How do SIU, Boards, Norad and institutions in N and S assess the efficiency and effectiveness of SIU administration and of Boards? How do they perceive the programme set-up incl. Norad - MFA and MER? Size and distribution of direct/indirect costs?</li> <li>Are agreements and mandates adequate? Relevant? Top-heavy? Need change?</li> <li>SIU-Norad collaborative structures - extended to MFA and MER - were established under a different development agenda and regime for financing higher education/ universities. Adjustments of structures may be pertinent. What are stakeholders' priorities?</li> </ul>	<ul style="list-style-type: none"> <li>Transparent and effective administrative routines established;</li> <li>Effective initiatives taken to minimise transaction costs, through clear divisions of responsibilities</li> <li>Financial reporting clear, timely and cost effective</li> <li>SIU and programme boards have shown to be "learning organisations", being flexible and adapting to new challenges</li> <li>SIU and progr boards have established effective M&amp;E tools and feedback system</li> <li>Southern partners have gained increasing and satisfactory influence on administrative routines, with clear responsibilities</li> </ul>

Issue	Evaluation questions	Hypotheses	Indicators
<b>4. Synergy effects</b>	<p>To what extent do NUFU and NOMA activities support each other and produce synergy effects?</p> <ul style="list-style-type: none"> <li>• How can effects be strengthened?</li> <li>• Is there added value from interaction with other programmes?</li> <li>• How can synergy be increased?</li> <li>• Is there a need for greater cooperation between MFA and MER? (See issue 7 b)</li> </ul>	<ul style="list-style-type: none"> <li>• Synergy effects between NUFU &amp; NOMA activities have been and still are, more ad hoc than strategically integrated, due to different goals, contents and administrative and financing procedures, etc of the programs, because: the benefit of synergies (including with other programmes e.g. Quota Scheme), is not understood by the involved parties. transaction costs of establishing synergies are high benefits of synergies between programmes need to be experienced to be pursued. Are there examples of good practices?</li> <li>• Environment for producing wider synergy effects is sensitive to political decisions over and above single ministries</li> </ul>	<ul style="list-style-type: none"> <li>• Initiatives have been taken to share experience and learning through joint sessions</li> <li>• Formalised coordination modalities have been established through regular meetings, joint review missions, etc.</li> <li>• Common reporting and procedural formats are established</li> <li>• Complementarity of programmes have actively been pursued Several examples of synergy and coordinated action presented</li> </ul>

Issue	Evaluation questions	Hypotheses	Indicators
<b>5. Decision-making processes and transparency</b>	<ul style="list-style-type: none"> <li>• How do stakeholders in North/South influence in decision-making processes?</li> <li>• Is level of transparency at different levels satisfactory?</li> </ul>	<ul style="list-style-type: none"> <li>• Programme management seems rather complex and decisions taken at programme level (SIU and boards) are difficult to assess in relation to effectiveness and transparency</li> <li>• Decision making structures in place between MFA and Norad on the one hand, and SIU and boards on the other adds to the complexity of programme management</li> <li>• Decisions taken at programme level (SIU and boards) are not easily communicated to partners</li> <li>• Southern partners have difficulty in accessing SIU and boards, and influencing decision making</li> <li>• Few decision making features are left with Southern partners</li> <li>• Southern partners continue to express their concern over lack of influence, participation and empowerment related to prevailing decision making structures</li> </ul>	<ul style="list-style-type: none"> <li>• Concrete steps have been taken to forge more transparent and less costly decision making structures in the North</li> <li>• Number of decision making levels and fora have been reduced</li> <li>• Decision-making documented to be increasingly inclusive and less Northern biased</li> <li>• Stakeholders express satisfaction with degree of involvement in decision making - formal and informal</li> <li>• Stakeholders in the South can present several good cases of inclusion in decision making, resulting in ownership and sustainability</li> <li>• Stakeholders in the South perceive current decision making structures as both transparent and accountable, particularly in relation to recruitment procedures</li> </ul>



Issue	Evaluation questions	Hypotheses	Indicators
<b>6. Relevance to South</b>	<ul style="list-style-type: none"> <li>• Are NUFU activities relevant to national development and poverty reduction in South?</li> <li>• To what extent are needs and priorities of countries in South reflected in cooperation (incl. the eight academic fields of NOMA programme (education; environment, economic development and trade; gender; health; HIV/AIDS; oil and energy; good governance, democratic development, human rights and migration; peace and conflict resolution); should they be maintained or changed)?</li> <li>• Is there a tendency to focus on themes from Norwegian public debate rather than on topics considered essential by governments and academic institutions in the South?</li> </ul>	<ul style="list-style-type: none"> <li>• Coherence between objectives/activities in the NUFU and NOMA programmes with strategies and priorities in the South are generally satisfactory</li> <li>• Ability to ensure continued relevance of programmes, given rapidly changing international conditions, may not continue to be adequate</li> <li>• Programmes are not particularly well suited to adapt to challenges fostered by, for example, food crisis, climate change or globalization</li> <li>• Programmes do not have the “right” balance between Master’s and Ph.D. level education/research focus, given the new international challenges, such as globalization</li> <li>• Programmes generally reflect to a sufficient degree needs of the labour market and current employment opportunities, but are less well suited to address future needs</li> </ul>	<ul style="list-style-type: none"> <li>• Programme participants easily find employment; candidates are much in demand</li> <li>• Relevance of programmes recognised by stakeholders, both within the programme and beyond (policy/users level)</li> <li>• Evidence of and procedures for analysis of institutional and societal needs</li> <li>• Concrete changes in programmes (curriculum, themes and methods) indicate adaptability to new relevance requirements</li> <li>• Programmes seeking to adjust between Master’s and Ph.D. levels</li> <li>• Programme management receptive towards request from the South for adjustments</li> </ul>

Issue	Evaluation questions	Hypotheses	Indicators
<b>7 a. Relevance to Norwegian institutions</b>	<ul style="list-style-type: none"> <li>• Has the level of interest from Norwegian institutions been stable?</li> <li>• Possible causes for increase or decrease?</li> </ul>	<p>Quality of programmes conditioned on the active involvement of Norwegian researchers and institutions</p> <ul style="list-style-type: none"> <li>• Compensation/rewards paid to researchers/institutions not covering full costs</li> <li>• Interest so far has been carried by an impressive amount of voluntarism and enthusiasm on part of researchers/institutions, which may not be sustained</li> <li>• Increasing, and often conflicting, requirements on researchers and researcher time challenge sustainability and quality</li> </ul>	<ul style="list-style-type: none"> <li>• Increasing difficulties in securing engaging researchers/institutions</li> <li>• Numbers stagnant/gradually declining</li> <li>• Number of joint research networks/research groups, partner group constellations/ joint publications, etc stagnant</li> <li>• Sense of career opportunities vs. 'punishment'</li> <li>• Increasing degree of frustration felt by Southern partners</li> </ul>
<b>7 b. Political and institutional environment in Norway</b>	<ul style="list-style-type: none"> <li>• Which effects have been registered / can be expected of the university reform and of changes in Norway's development agenda?</li> <li>• How can an enabling environment be ensured and incentives for involvement of Norwegian researchers and institutions be maintained till 2011 and beyond?</li> </ul>	<ul style="list-style-type: none"> <li>• Both university reforms and the new development agenda may negatively affect the future of, in particular, the NUFU programme</li> <li>• The amount of self-financing required of aid grants for the programmes poses risks for the continuation of programmes</li> <li>• The premises for incorporation of the NUFU and NOMA types of aid in overall strategies for both aid (Stortingsmelding 1.3) and higher education/ research (Stortingsmelding 14) are changing. Transparency of the dilemmas needs clarification and follow up.</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with Norwegian researchers/institutions reflect increasing challenges ahead for the programmes</li> <li>• The recently held Malawi conference illustrates that the programmes are faced with serious challenges, and that Southern stakeholders increasingly feel uncertain about future developments;</li> </ul>

Issue	Evaluation questions	Hypotheses	Indicators
<b>8. Gender</b>	<ul style="list-style-type: none"> <li>• Has NUFU focus on gender mainstreaming been reflected in projects?</li> <li>• Has there been increase in female researchers and gender related research?</li> <li>• Has NOMA contributed significantly to gender equality in education and empowerment of women?</li> <li>• Have sufficient measures been taken to reach 50% female students?</li> </ul>	<ul style="list-style-type: none"> <li>• Women's participation in the programmes is mainly maintained and understood as a gender ratio.</li> <li>• Gender mainstreaming would enhance relevance of the programmes both to employment and country needs</li> <li>• Female participation has increased employment opportunities</li> <li>• Female participation has increased gender awareness in the programme</li> </ul>	<ul style="list-style-type: none"> <li>• The number of women recruited to the programmes have increased</li> <li>• Number of degrees and defence of theses on schedule</li> <li>• Number of female coordinators/researchers/academic or administrative staff increasing</li> <li>• Steps taken to actively encourage female participation</li> <li>• Gender aspects incorporated in programmes and curricula</li> </ul>

# Annex 1 b: Tools for data collection and analysis – Interview guide

Interview guide (generic) - field visits

Introduction to evaluation and interview

For a start, please describe your involvement in the NUFU and/or NOMA programme.

## **1. Capacity development**

Do your NUFU/NOMA activities contribute to capacity building at your institution? (How?)

Has it involved training of administrative personnel?

Contributed to the establishment of new procedures?

Establishment of coordination units? Steering committees?

New recruitment procedures?

New infrastructure, classrooms, IT support?

What has been done to ensure that the programme activities will benefit the institution in the long run?

## **2. South-South Collaboration**

Has your participation in NUFU/NOMA stimulated regional cooperation with other academic institutions? (Examples/how?)

Have the NUFU/NOMA programmes been more / less focused on regional cooperation than support from other donors? On South-South-North cooperation?

## **3. Management and administration**

How would you characterise the NUFU/NOMA agreements and mandates? (Relevant, top-heavy, flexible...?)

What is your experience with the administration of the programme/project?

– at institutional level?

- regarding partner institutions?
- regarding NUFU/NOMA administration (SIU/Boards)?

How would you characterize the reporting schemes/procedures?

Do you consider the size of contributions incl. salaries and indirect costs, appropriate?

Which are your major donor cooperation partners besides Norad? How would you compare their models of assistance and cooperation?

#### **4. Synergy effects**

To what extent do NUFU and NOMA activities support each other and produce synergy effect at your institution? (Cooperation activities, joint lessons learned...)

How/why not cooperation?

Do your NUFU/NOMA activities cooperate with other programmes? (How/why not?)

#### **5. Decision-making processes and transparency**

Do you find your influence in decision-making processes regarding NUFU/NOMA sufficient/appropriate?

Which changes have happened with regard to your participation in decision making in the programme(s), if any? Would you recommend any improvements?

Would you characterize the level of transparency of the decision-making process in the NUFU/NOMA programmes as satisfactory? Which changes have taken place?

How are your procedures for recruitment of students for the NUFU/NOMA programmes? Are the requirements of the programmes reasonable? Why/why not?

#### **6. Cooperation with Norwegian institutions**

How would you characterize the cooperation with your Norwegian (and other) partner institution? (engagement, decision-making, equal partnership, communication, distribution of responsibility/work assignments...?)

Have there been changes in the institutional cooperation?

How do you see the role of the Norwegian Embassy in the NUFU/NOMA cooperation programmes?

#### **7. Relevance to Institution/Country**

What are the mechanisms for priority setting of research and education in your NUFU/NOMA supported programmes?

How is the coherence/link between the objectives of your NUFU/NOMA related activities and the overall strategies and priorities at institutional/national level?

Could the link be strengthened?

How is the work situation / future career possibilities for students/researchers who participate/have participated in your NUFU/NOMA activities?

Do you have any procedures for identifying employment needs and possibilities?  
Procedures for tracing candidates/ follow-up once they have finished training?

### **8. Gender**

How would you characterize the level/character of participation of female students/researchers in your NUFU/NOMA activities?

Have you taken any specific measures to increase the number of female students/researchers?

How do you deal with issues of gender in recruitment? In curriculum? In research?

What are the obstacles in reaching an equal share of female students/researchers?  
What could be done to overcome them?

If you should state three positive aspects of your participation in NUFU/NOMA, what would they be?

If you should state three negative aspects of the NUFU/NOMA programmes, what would they be?

What has been the Most Significant Change in the NUFU/NOMA programme support?

# Annex 2a: Ethiopia Country Report

**A Case study for the Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)**

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## Abbreviations

AAU	Addis Ababa University
IFS	International Foundation for Science
NOMA	Norad's Programme for Master Studies
NUFU	Norwegian Cooperation Programme for Development, Research and Higher Education
Sida/SAREC	Swedish International Development Cooperation Agency / The Department for Research Cooperation
SIU	Norwegian Centre for International Cooperation in Higher Education



# 1. Introduction

This report contains the findings from the field study in Ethiopia. Studies in Nepal, Ethiopia and Malawi have contributed findings towards fulfilment of the objectives of the evaluation, which are:

1. To analyse and assess NUFU and NOMA in relation to the current aims, objectives and strategic directions of the programmes and make relevant recommendations. The question is, if the changes and redesign of the programmes have lead to expected improvements.
2. To document the quality of work done under the two programmes.
3. To provide a learning exercise for stakeholders with a view to improve synergies in future.

Key findings from Ethiopia are presented in section 1.1, while chapter 3 presents the findings in accordance with the evaluation themes of this evaluation in more detail.

## 1.1 Key Findings

- Throughout, whether at institutions at Mekelle, Hawassa, Dilla or Addis Ababa University, the mission has met an impressive number of extremely devoted and qualified researchers, research students and coordinators, who have committed themselves to research and education as well as the strengthening of their respective institutions.
- In most cases, the strengthening of their individual units as well as the career accomplishments of individual researchers would not have been possible without the support from the NUFU and NOMA programmes.
- It is beyond doubt that the NUFU and NOMA programmes each within their field of operation have significantly contributed to capacity building, as essentially all persons interviewed listed capacity building as the main benefit of the programmes.
- The continued relevance of the NOMA programme and its focus on establishing Master's programmes in the South remains open for discussion, as interviewees expressed a much greater need for PhD graduate programmes.
- If Master's degree programmes in the South exist at most established universities in most fields, the future role of NOMA could be to support recently established, smaller and upcoming universities with limited capacities. However, in each case a careful assessment should be carried out to determine whether the well-established universities in the South would themselves be able to do this upgrading.

- Direct synergies between the NUFU and the NOMA programmes are very limited, partly because the two programmes tend to cover different fields.
- It has, however, frequently been reported by NOMA coordinators that they felt it unnatural and constraining that established Master's programmes could not lead to a subsequent establishment of graduate PhD programmes. In this regard, the distinction between the NOMA and NUFU programmes seems illogical and unnecessary.
- The South-South links established within the NOMA projects in Ethiopia are rather limited, if not marginal, and they are more "add-ons" to supported Master's programmes, rather than being justified in their own rights.
- The large number of joint publications in peer reviewed international journals resulting from the partnership with Norwegian colleagues indicate that the capacity building provided for through the NUFU programme is not only limited to the partner in Ethiopia, but may also have provided new opportunities and created additional capacities in Norway.
- Similarly, it has uniformly been expressed that the collaboration with Norwegian researchers has been instrumental in achieving the positive results noted and observed.
- The more recent emphasis on South-South collaboration modalities - often facilitated by Norwegian partners - are viewed as interesting and promising, although this potential for further strengthening of the involved institutions, collaboration on joint research projects, exchange of staff and students, networking and experience exchange is still in its making.
- In addition, it has been mentioned by most persons interviewed that the assistance provided in particular through the NUFU and the collaboration established with the Norwegian colleagues and researchers reaches well beyond the termination date for the respective programmes, strengthening the likelihood that sustainability will be reached.
- In both the NUFU and NOMA programmes' lines of communication, decision making and, in particular, provision of funding timely to the partners in the South, have been reported as difficult, complicated and, in cases, even so constraining that project activities have come to a halt.
- The rather complex organisational structure behind the NUFU and NOMA programmes, as well as the many stakeholders involved in a variety of capacities, in the North as well as in the South, raises the issue whether current administrative and management modalities are efficient and cost-effective.
- Except for one or two cases, most projects struggle with attracting females to their studies resulting in a very unequal gender balance.

## 1.2 Context: Higher Education in Ethiopia

Addis Ababa University (AAU) is by far the biggest and oldest university in Ethiopia (dating back to 1950 and almost 50,000 students today). Over the years, AAU has acted as a supplier of staff for an increasing number, now 23 and soon 10 more, of other universities in the country. Some of the relatively new universities include Mekelle University, Hawassa University and Dilla University which are also engaged in NUFU and NOMA-supported projects.

In January, 2006, AAU started work on the planning of its future in an ambitious way. During the discussions there was an initial agreement that AAU should concentrate on research and graduate education. Not surprisingly, the major weaknesses identified included brain drain, insufficient staff development, lacking incentive schemes, insufficient infrastructure, and inefficient management - especially financial management - a common and very severe problem in many developing country universities.

In spite of these difficulties it is clear that AAU remains the best organization in Ethiopia to act as a centre for knowledge-based development through a strengthening of national research and higher education. The fact that good quality and low cost graduate programmes have existed for many years at AAU gives reason for considerable optimism. The fast establishment of many new universities alone makes it urgent to deal with quality issues in Ethiopian higher education. The proposed reforms at AAU deal to a large extent with what AAU can do in this connection, especially in order to ensure the availability of quality staff in Ethiopian universities. Specifically the reform plan aims at increasing domestic PhD programmes at AAU, both in number and participation, establishing a number of Centres of Excellence at AAU as a base for PhD training, improving infrastructure and access to information (e.g. libraries, Internet, etc.), improving research facilities in support of an increased number and quality of PhD programmes, supporting emerging universities through staff training, and increased female involvement.

The vast expansion of the PhD training also makes participation of academic partners from abroad necessary. For this purpose 6-8 "university consortia" will be established. Each of them is planned to consist of 3-5 foreign universities. AAU has over the years had cooperative agreements with many foreign universities and several of these, as well as other universities, have already expressed interest in participating in a consortium.

The cost of the plan is estimated to be close to one billion NOK over the first 5 years. The Government will cover most of these costs, while about one fifth is expected to be covered by Sida-SAREC. The costs of the reforms during the following 5 years are estimated to be of a similar magnitude. Clearly, all other donors to Ethiopian higher education and research must re-evaluate their efforts in view of these new reforms.

## 2. Methodology

The findings of this report are structured according to the key evaluation issues as they are laid out in the framework for the evaluation. Besides, from a review of NUFU and NOMA programme documents related to all the NUFU and NOMA-supported projects in Ethiopia, the key element in the data collection for this report has been a field visit in Ethiopia by the Evaluation Team. The field visit lasting 11 days (15-25 May 2009) included qualitative semi-structured interviews with key stakeholders of the NUFU and NOMA programmes. The overall evaluation issues have been the focus of the inquiry and reflected in the interview guide employed during the field visit. Additionally, the consultants acquired relevant background information related to the individual projects as well as to the institutional context and development in Ethiopia, which is also presented in this report.

The team of four consultants had 28 meetings on location with representatives from the Norwegian Embassy and all the universities and university departments involved in the programmes: *Addis Ababa University, Dilla University, Hawassa University and Mekelle University*. The interviews covered all the NUFU and NOMA projects in Ethiopia.

The material for this report has been collected through the following sources:

- NUFU and NOMA project documents provided by SIU
- Meeting with the Norwegian Embassy
- Interviews at Addis Ababa University, Dilla University, Hawassa University, and Mekelle University with:
  - University management (President, Vice-president, Head of Departments...)
  - NUFU and NOMA Institutional Contact Persons
  - NUFU and NOMA project coordinators
  - Researchers not directly involved in NUFU or NOMA programmes ('outsiders' view')
  - NUFU and NOMA students and former students.

## 3. Findings

### 3.1 Capacity Development

The vast majority of interviewed persons mention capacity building in Ethiopia as the single most important impact of the NUFU and NOMA programmes. This is true for the Master's programmes, and even more for the PhD programmes, for other research support as well as infrastructure support, especially for research equipment. In addition, several cases of technician training have been mentioned as useful, but the main contribution to capacity building has been the training of researchers in the South.

Only very limited training of administrative staff has occurred - this is dwarfed by the need for stronger central as well decentralized management staff at Ethiopian universities. Especially the slow and bureaucratic financial management is a major obstacle to efficient research at many universities. Only in a few cases have new administrative procedures been introduced through the NUFU and NOMA projects to reduce such problems; when it has taken place it has usually been a result of the North-South cooperation between research groups. At many universities a decentralization process is underway, which will make it possible for many matters to be dealt with in departments or faculties.

Within the fairly successful capacity building activities, the area of research infrastructure remains a problem. While most projects rate equipment provision among the most important and successful benefits of the cooperation with Norway, and laboratory space do not appear to be a severe problem, the universities share other infrastructure problems with the general society. These are primarily the poor Internet access and the unreliable power supply, which is a special problem for laboratory-based research.

An even more serious problem is the slow and unreliable Internet connections, which are a problem both in connection with research, research cooperation and project management. Both the research and research management of many NUFU and NOMA projects are heavily dependent on Internet communication. Similarly, the reporting demands, for example for individual NUFU and NOMA projects, with very strict demands for timely submission, seem to assume more efficient Internet facilities than those available at most Ethiopian universities.

In most, but not all, projects the coordinators meet regularly in addition to their continuing correspondence by e-mail. They often meet in combination with other assignments, such as provision of guidance for students, work on common research projects, sample collection, etc. Very rarely have formal project steering committees

been established in order to institutionalize the systematic monitoring of project progress and in order to plan future activities. Still, except for the Internet problems, essentially all project managers are fully satisfied with the way the cooperation takes place.

The procedures used in connection with the selection of students for graduate training have in most cases been chosen through a joint consultation between the North and South partners. Especially at the more sophisticated universities, such as AAU, most research groups, departments, and faculties had already developed a number of fairly strict practices for this purpose. However, there is today a great variety of procedures in use for student selection, most of them quite suitable, both at Norwegian and Ethiopian universities. Some of these procedures are quite innovative; for example at Mekelle University the applicants for access to graduate studies must write a report based on a lecture given to them on a new subject, and these reports are evaluated together with the student's grades. A study of these practices and the outcomes may reveal useful lessons learned.

With the future role of AAU as a dominant graduate school for the whole country, the challenge of capacity building at Ethiopian universities will change considerably. Other donors may find greater needs at the 22, soon 32, smaller universities, many of which are far from satisfying the Government requirement of 30% staff with a PhD. Even if AAU can take care of an increasing part of the PhD training, it remains highly important that PhD students get international exposure and develop international networks, and donors may play an important role in this connection.

It may be added that capacity building through research training at the newer universities will not be in vain, since Government regulations in Ethiopia make it difficult for established universities (AAU) to "steal" highly qualified researchers from the new universities. This way capacity building in the smaller (newer) universities may have a particularly good chance of success. It is interesting to note that some of the new universities have strong visions on their own, and want not only to strengthen research, but also to use it for a modernisation of educational activities and for supporting local economic development (see Box 3.1.1).

#### **Box 3.1.1 Modernising research, education, and community service**

The 15-year-old Mekelle University, one of the more established among the "new" universities in Ethiopia, has from its start emphasised research as well as community service based on the research. Academic staff must spend a sizeable part of the time on research projects of interest for the regional development. The university encourages educational activities, also at the undergraduate level, which are linked with the research. Among others, this may help create excitement and a high degree of motivation among the students.

Although AAU is a much more established university and probably also much harder to reform, there is at present a strong effort underway "to place the student rather than the teacher in the Centre". It seems likely that the outcome may be quite similar to that in Mekelle, resulting in more engaged and harder working students. Other new ideas are also underway at AAU, for example courses in entrepreneurship, a badly needed, but often neglected subject in developing country universities.

So far, the single most important positive outcome in Ethiopia of the NUFU cooperation has been university staff upgrading through PhD training. In most, but not all, cases these research training activities have led to a substantial research output of considerable quality, for example documented through publications in international refereed journals, often co-authored by the Norwegian partners. These publication activities are highly beneficial; they provide the researchers with quality control (through competent reviewers) and lead to an increase in international recognition of both the individual researcher and the Ethiopian home institution. Most of all, this makes it possible for the Ethiopian researchers to join the informal research networks which exist in their respective research fields. Also their opportunities for participating in international conferences and identifying new research partners have been considerably enhanced. The NOMA programme has also helped in teaching and research capacity building.

At the moment, direct capacity building through NUFU projects rarely takes place in the society outside the universities and other parts of the public sector, i.e. the private sector (it is too early to draw conclusions regarding NOMA on this matter). One reason is the present shortage of research trained university staff and the resulting large number of suitable jobs for research trained workers, another the fairly academic nature of most research projects and especially the surprisingly limited number of engineering projects. Also, several researchers mentioned that the private sector is little developed in their area and thus not yet at a point where the demand for work force is high. However, it seems likely that society will benefit through the increase in Master's programmes at several Ethiopian universities, as well as through the modernisation and other improvements in undergraduate education which will result from better qualified university teachers. See also Box 3.1.2.

#### **Box 3.1.2 Capacity building outside the university**

Two NUFU projects at the University of Mekelle not only incorporate gender aspects, but employ a multidisciplinary and participatory approach engaging local farmers and women's associations in the process of developing crop and preparation processes and in the plans to capitalize on a developed organic snack. The project is thus a good example of combining capacity building at the university with capacity development among local NGOs as well as potentially local industry. The multidisciplinary approach is instrumental for such possibilities.

In almost all cases of capacity building with Norwegian support, the North-South research partnerships, as well as the infrastructure, seem to be fairly sustainable, at least as long as at least the support from the Ethiopian Government remains at a reasonable level. However, given the greater international exposure of Ethiopian research, the future research partners need not be only Norwegian.

In spite of the frequent successes with regard to capacity building there is still room for considerable improvement. For example, even in the well-established fields at Addis Ababa University there is a tendency to provide NUFU support for PhD programmes in existing specializations. It might be much more constructive to emphasize multidisciplinary approaches and support new and upcoming fields, especially

those that deal directly with development-related issues. These are, for example, the fields that will be covered by the new Research Centres at AAU.

Among the most severe risks to the capacity development efforts is brain drain of the NUFU and NOMA graduates. There are already several examples of such losses of competence established through NUFU and NOMA projects. However, the true extent of brain drain from the Norwegian programmes is hard to determine at the moment, since many of the new graduates are not permanently settled in the West, but may only remain there for a few years, for example for a constructive post-doctoral period.

How can brain drain of newly graduated PhDs under the NUFU programme be reduced? When asked, the PhD students first mention better salaries in Ethiopia through donor support – i.e. salaries closer to the international level for the field. However, this is hardly a realistic and safe solution, and most donors would not support it. The second priority among the students is better research conditions. It is possible that modest provisions at the home university for the returning new graduates during the first few years, e.g. for laboratory facilities, materials, conference travel, etc., would considerably reduce the risk of brain drain, as extensive experience from the International Foundation for Science (IFS) has demonstrated.

### **3.2 South-South and South-South-North Cooperation**

The NUFU programme has in some cases helped establish cooperation between Ethiopian researchers and other researchers from the South; these often participate with financing from NUFU projects, and the cooperation has often been facilitated by the Norwegian partners. The South-South collaboration activities are considered both interesting and promising by the Ethiopian researchers; however, the potential for further strengthening of the involved institutions, collaboration on joint research projects, exchange of staff and students, networking and experience exchange is still quite rare. This kind of new partners is in most cases adding to already existing activities, but only rarely do such South-South partnerships result in new research directions or more innovative activities in the research projects.

In the NOMA programmes the regional or South-South partnerships are primarily between Master's students from different countries in the South. However, it remains to be seen if contacts between students from different countries in the South may eventually develop into cooperation between more mature researchers.

However, it is not yet clear that the NUFU and the NOMA programmes in general have benefitted significantly from the inclusion of other partners from the South. The South-South partnerships are rarely well balanced, since the Norwegian and Ethiopian partners are still in the lead and take most initiatives and decisions. This may be expected, since they are also formally responsible for project implementation, reporting and overseeing/controlling financial matters.

South-North partnerships have often, but not always, been established based on a previous research or research training cooperation, mutual trust and even friendship, between an Ethiopian and a Norwegian researcher. In several cases the



partnerships are between a former Ethiopian PhD student and the Norwegian adviser. In other cases the Ethiopian researchers have searched for a partner in Norway in order to be able to apply for a NUFU or NOMA grant. It is highly satisfactory that the sufficient degree of mutual trust seems to develop quite fast, also in such cases.

While building on already established personal relations in general is seen as a strength, some researchers, including some not engaged in NUFU or NOMA projects, underline the potential weakness that come from such circumstances: Individual researchers without personal relations to the Norwegian research community may face difficulties getting engaged in the programmes. Furthermore, institutional priorities are not necessarily reflected in the personal networks established.

It may be added that the Quota System in some cases have provided valuable additions to NUFU projects. However, several potential applicants for Quota grants and their advisers are not aware of this opportunity.

It would be good to see the support leading to South-South-North cooperation in which partnerships have evolved out of the South, and with the Southern partners together fostering collaboration modalities, setting agendas, making decisions, and taking new initiatives. Such activities would foster greater ownership and the sustainability of projects supported would be better. However, it has been difficult if not impossible to identify such cooperation in the case of Ethiopian projects.

For all the NUFU and the NOMA programmes, South-South and South-South-North cooperation are still of modest importance. However, some Ethiopian researchers found it useful and interesting to discuss conditions and research with fellow researchers from other African countries. South-South cooperation and South-South-North cooperation still seem largely to be an underexploited opportunity, rather than a new and effective collaborative avenue. It may be added that the ineffective Internet connections in Ethiopia and possibly in other African, potential partner countries may create a severe discouragement to South-South and South-South-North cooperation, although this is hardly the main reason for the limited success.

### **3.3 Management and Administration**

The administrative and management activities by the Ethiopian partners in individual NUFU and NOMA projects are primarily directed towards their Norwegian counterparts and not towards the NUFU and NOMA administrations - their Boards or SIU. In fact, most project managers at Ethiopian universities rarely interact directly with the higher administrative levels beyond their research partners.

The Ethiopian partners have in general little insight into how Norad is related to the funding sources, the Ministry of Foreign Affairs and the Ministry of Education and Research. Nor the placement of the NUFU and NOMA programmes or the Quota Scheme in the Norwegian system is clear to most Ethiopian project managers. The

general opinion expressed by the Ethiopian partners is that the project administration is smooth and effectively handled by their Norwegian counterparts.

It is interesting to note that even with the limited direct experience from interactions with the Norwegian system beyond the cooperative partners, most Ethiopian partners have the impression of a complex organizational structure, with many links, stakeholders and processes that are hard to understand.

One particular problem that was mentioned by several project managers is the transfer of funds from Norway to the partner institution in Ethiopia. This transfer often seems to be slow and complex. Many project managers see these delays as a real problem that is further exacerbated by the inefficient and bureaucratic financial managements at Ethiopian universities, which is an everlasting problem. But it is clear that also the Norwegian handling of funds is at times a serious problem, at least in several of the projects. In some cases it has been reported that the time it takes for funds to reach the Ethiopian bank account is several months (after the money leaves the Norwegian institution). For a particularly bad example, see Box 3.3.1.

The NUFU agreements clearly stipulate that the Norwegian partner is overall responsible for the grant management. The Norwegian partner must promote programme progress, monitor project development, must take care of overall administration and management, including the handling of funds, and must secure that proper reporting takes place, both with respect to annual reports and to financial statements. The Norwegian partner is not supposed to dictate how the project should be managed, but must do this in consultation with the Ethiopian partner - a reasonable request, since the Ethiopian side usually has much more extensive insight in how local conditions are in Ethiopia.

#### **Box 3.3.1 Inefficient money transfer**

In a single project it has been reported and documented in reports written to the Norwegian counterpart in both 2006 and 2007 that the funds reached the Ethiopian partner only a month before the end of the financial year, thus making project implementation very difficult. Unfortunately these reports seem to have had little effect. It was the clear impression of the Ethiopian partner that the delay was caused primarily by the mysterious (and non-transparent) international transfer mechanisms used by the Norwegian partner, and not the usual slow and bureaucratic practices used by the Ethiopian university administration (which only adds to the problem).

Thus, formally the cooperation is not balanced, but in practice the vast majority of NUFU and NOMA grants are administered by partners with a sufficient degree of mutual trust who discuss and finally agree on key project decisions. In a few cases the Ethiopian partner was not given sufficient responsibility, and the feeling of local ownership was quite limited. This is hardly efficient; it is likely that a further delegation of authority to the Ethiopian partner would enhance project outcomes. The feeling of responsibility is a highly motivating factor, and without it projects will never lead to sustainable capacity.

### **Box 3.3.2 Imbalance in the cooperation**

In a single case, clearly an exception among many projects, an Ethiopian respondent felt totally neglected without any influence on project decisions. The duties were reduced to receiving orders for actions, for example when project reporting or financial statements had to be made, without being given any influence on project planning or prioritizing. In such cases it is important that the Ethiopian part has an opportunity to discuss the problems with the Norwegian system beyond the research partner.

Fortunately, the overwhelming, general opinion among Ethiopian project staff is that the cooperation with the Norwegian partners is completely satisfactory; similarly, the reporting formats were clear and easy to use. The main obstacles to punctual submission of reports were the question of electric power availability and Internet access. However, these problems were widespread and sometimes severe. However, it seemed like Norwegian partners often had a hard time understanding the extent of these difficult conditions.

It was interesting to note that among the relatively small number of students available for interviews, the satisfaction with management was somewhat more moderate than that of their project managers, although all were pleased with the opportunities for graduate studies. In one of the two NOMA projects at Mekelle University, for example, the students found that the very limited time for personal contacts with advisers was a problem; it could not be replaced by Internet guidance (also because this communication channel suffered from technical difficulties). In the same project the funding for fieldwork (USD 200 per student) was highly insufficient, also compared with the norm for similar Master's students at Mekelle University (USD 900).

The central research management at AAU found the NUFU and NOMA programmes useful, but was convinced that their usefulness would be much better if the Norwegian system beyond the individual project managers would cooperate better with the university research management. AAU is a highly sophisticated university with ambitious and exciting plans for its further development as a graduate school for the country. At times individual projects and project priorities proposed from Norway may not agree with local priorities; it is highly important that the NUFU and NOMA management discusses such issues with the AAU management and refrain from trying to dictate activities. In the future it may also be important with more donor interaction, especially with Sida-SAREC (earlier SAREC) which will be a dominant donor for research at AAU in the coming years.

The mission has not found any convincing reasons for maintaining the NUFU and NOMA programmes as two separate entities, with separate Boards and different modes of operation under the SIU umbrella.

Neither has the mission found that maintaining additional, separate Norwegian programmes for funding research, education and capacity building in the South, beyond the NUFU and NOMA programmes, is particularly cost-effective and well justified. Such funding includes Norad programmes specifically directed towards research, provisions with Norwegian Embassies to fund research, and the Quota

Scheme. Although a multitude of research funding sources is usually considered beneficial, such variety is secured by other donors in Ethiopia.

The complex organisational structure behind the NUFU and NOMA programmes together with the many stakeholders involved in a variety of capacities, both in the North and the South, does not promote organisational efficiency. This makes it even more questionable whether the current separate administrative and management modalities of the NUFU and NOMA programmes are sufficiently efficient and cost-effective.

### **3.4 Synergy Effects**

There was little indication that NUFU and NOMA activities support each other well, to some extent because the actual research fields supported did not overlap much. The fact that NOMA funding is restricted to the establishment of Master's programmes, without a more natural continuation into PhD programmes (which might be funded by NUFU), was surprising to several Ethiopians and it does not support exploitation of possible synergy effects between the two programmes.

However, synergies between NUFU, NOMA and other donor-funded programmes are observed in quite large numbers. This is especially true in the case of Sida-SAREC funded activities (or cooperation, as it is called by them). One important example goes many years back: more than 20 years ago SAREC helped establish a highly successful series of Master's programmes in the natural sciences; these programmes now enrol a large number of students. The quality of the programmes has generally been good and the costs surprisingly low, with most equipment provided by SAREC. It seems that these Master's programmes have helped train many of the present PhD students in the NUFU projects.

With the future role of Sida-SAREC as a major supporter of the national graduate school of Ethiopia, there is little doubt that there will be numerous opportunities for synergies. It may be added that also Finida is present in Ethiopia with a number of selected projects, some of which interact with NUFU projects at AAU.

As discussed elsewhere, donor coordination is not impressive with regard to capacity building at the Ethiopian universities. Nor is the co-ordination between the NUFU and NOMA projects and the central planning at AAU strong. With better co-ordination in these areas synergy effects might be improved.

Finally it should be mentioned that for the Ethiopian researchers that know the Quota Scheme it seems to act as a valuable contribution to capacity building through NUFU projects. It is important that knowledge about the Quota system is spread to more Ethiopian research groups.

### **3.5 Decision-making Processes and Transparency**

While the issues of transparency, ownership, and influence on decision-making processes within NUFU and NOMA projects, also of activities that take place in Norway, were given high priority at the recent NUFU meeting in Malawi and are underlined in the declaration adopted at the meeting, these issues are not consid-

ered to be of very high relevance by the vast majority of Ethiopian partners, who are working with the projects in practice.

However, several Ethiopian project managers expressed their dissatisfaction with the way the invitations to the Malawi meeting had been distributed, and with the selection criteria for participation. For example, the Institute of Gender Studies received no invitation at all, although the gender problems were prominent on the Malawi agenda. In another case a first circular about the meeting was received, but the announced follow-up invitation, detailing background and programme for the Malawi meeting, was never received. The invitation process taken into consideration - with selection of participants laid out by SIU to the partner institutions - this issue may rest with the handling of the procedure at the Ethiopian universities.

Very few earlier NUFU projects have been given funds for a continuation in the present project period. In some of the cases, where applications for continuation of programmes had been turned down, in spite of good results from the first period and widespread support from those involved, the lack of transparency in connection with this decision was considered surprising. A reasonable detailed description of why the decision was negative might have been educational for the projects. In one case, the Ethiopian former coordinator felt that the programme had become victim of some unknown shifts in priorities, possibly even at AAU, but without doubt also at the NUFU level.

### **3.6 Relevance to South and to Norwegian Institutions**

At all institutions visited in Mekelle, Hawassa, Dila and Addis Ababa the mission met an impressive number of highly devoted and qualified researchers, research students, and project coordinators, who have committed themselves to research and education at a high level, as well as to a strengthening of their respective institutions. This means that effort targeting the right issues may have a substantial effect in the country.

It is beyond doubt that the NUFU and NOMA programmes have significantly contributed to relevant capacity building within Ethiopian universities. In several cases the NUFU supported projects were mentioned as the flagship of the research in the field; having such flagships is of high relevance, especially for the new universities.

The future relevance of the NOMA programme in its present form should be discussed in view of the new research system in Ethiopia. With a wide range of Master's programmes, especially at AAU, but also increasingly at the new universities, the purpose of NOMA may be shifted to concentrating on the important international exposure for Ethiopian students. Many, especially at AAU, felt that there was a much greater need for international PhD programmes, although the need for training at the Master's level still remains high at many of the new universities.

Thus, another, possible role of the NOMA programme in the future may be as a supporter of the recently established, smaller and upcoming universities with limited capacities. However, in each case a careful assessment should be carried out to

determine whether well-established universities in the South would themselves be able to do this upgrading.

Nearly the all interviewed persons, both in connection with NUFU or NOMA projects, were convinced that unemployment of well trained research graduates would not be a major risk. The main reason is the high demand for university teachers and researchers from the many new, upcoming universities in Ethiopia, but also from AAU.

One may wonder about the low number of graduates from NUFU and NOMA projects that seek employment in the private sector, but a build-up of Ethiopian universities (where the vast majority takes employment) is at present a high priority in the country and will in the long run benefit industry in Ethiopia significantly. Furthermore, the demand from the Ethiopian labour market for scientists and engineers is likely to continue to be strong in the coming decade. Although the private sector is at present not a major labour market for research trained graduates, the continued drift towards more research-based technologies in society makes it likely that the need for such qualifications will continue to grow. However, no systematic analysis of the expected demand from the private sector has been carried out.

The trend among NUFU projects towards research projects dealing more directly with problems and opportunities in real life will help assure a high relevance of the supported projects. In addition, the new Research Centres at AAU, dealing with such problems, are likely to increase the interest in fields of direct importance for national development.

The generally high development relevance of the NUFU and NOMA supported projects is also demonstrated by the selection of research themes. They tend to focus on natural science and technical disciplines more than on the social sciences. The Humanities are almost absent from the supported programmes. To some extent this reflects the competences at AAU, where fields like Medicine, Natural Science, and Engineering have often been research leaders, and the viewpoint expressed that the social sciences in particular are in need of capacity building due to the historical political circumstances.

Applied fields tend to be multidisciplinary and so are the new Research Centres at AAU, most of which are dedicated to real life development work. There are also some strong interdisciplinary fields among the NUFU and NOMA projects, but this is still a small minority. The fairly good relevance of most NUFU PhD projects may be further enhanced if interdisciplinary teams of PhD students could be established, with advisors from different fields, but with a united task. Thus instead of only studying the production of a single crop, such teams might study and improve the whole process: "from farm to fork".

There is little doubt that Norwegian universities in general find their participation in especially NUFU projects worthwhile. So far, all the costs have been covered; they have received talented graduate students and have found new research partners as

well as new, interesting research problems. Norwegian universities have increased their internationalisation and also Norwegian students have benefitted from this.

Norwegian students taking part in NOMA projects have had unique opportunities for seeing conditions in other (poorer) countries and have had an opportunity to work with fellow students from far away. There is little doubt that all this has been highly educational.

### **3.7 Gender issues**

In the first half of the 1990s, the gender situation in Ethiopia was quite desperate especially from the point of view of higher education. Only one woman out of 1,000 in the relevant age group managed to enter Ethiopian universities and among them 80% would study a subject called “secretarial science”! In 1995, the first female Electrical Engineering student was enrolled at AAU, and other engineering disciplines, and Physical Sciences did not do much better. Since then there has been a fast and very positive development in the exploitation of female talent for academic work in Ethiopia; the intake of students is now 40% female, compared with 10-15% in the early 1990s. There are several reasons: female participation in secondary schools has increased considerably. Furthermore, the Ethiopian government has pushed a policy promoting the participation of women in education. It may be added that the annual student intake is now 50% at Mekelle University and the share is expected to surpass 50% in the coming years.

However, the situation is still not quite satisfactory. Many women still study modern versions of the old “secretarial science” programmes and although the engineering fields attract a much larger number of female students, they are still a small minority.

Partly because of the small female intake in the relevant fields a decade ago, many NUFU projects have a hard time locating sufficiently qualified female applicants for graduate training, in spite of a strong wish to gender-balance the student selection. The situation is likely to improve gradually, when a larger share of the relevant student groups is expected to be women. However, at the moment only few NUFU projects are able to demonstrate a reasonable gender balance, and in most cases no measures as such are taken to increase the intake. Similarly, only few gender mainstreaming efforts have been observed.

It is worth mentioning that the two NUFU projects at AAU on gender issues have had the opposite experience in their ambitions to secure a gender balanced selection of graduate students. Although they have had male applicants, these had a very hard time competing with the many outstanding female applicants. A new NUFU project on Women and Food at Mekelle University did better: this summer two PhD students are leaving for Norway, one female and one male, actually both financed by Quota grants.

Possibly as a result of the positive development over the years in the intake of female first-year students, some of the NOMA projects, which generally appeal to younger students, have succeeded in attracting a more satisfactory share of females, in one case corresponding to 40% of the total enrolment in the project.



### Appendix 1: NUFU/NOMA Portfolio Ethiopia

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
Norwegian University of Science and Technology (NTNU)		MASTMO - MSc Programme in Mathematical and Statistical Modelling	NOMA-2007/10048			X	3,776,416
		Masters programme: Urban development and urban challenges in East Africa	NOMA-2007/10054			X	4,455,000
		ETHIOPIAN MALARIA PREDICTION SYSTEM (EMAPS)	NUFUPRO-2007/10121		X		3,500,000
Addis Ababa University	University of Bergen	BIOTECHNOLOGY AND MICROBIAL DIVERSITY OF ETHIOPIAN SODA LAKES	NUFUPRO-2007/10069		X		5,500,000
		Afro-alpine 'sky islands': genetic versus taxonomic biodiversity, climate change, and conservation	NUFUPRO-2007/10058	X			9,787,000 (both NUFU-periods)
University of Tromsø	University of Oslo	Studies of molecular epidemiology, clinical epidemiology and immunology of tuberculosis in pastoral communities and their livestock in Ethiopia	NUFUPRO-2007/10198		X		3,500,000
		Constructions of Gender in the Formal and Informal Sector in Ethiopia	NUFUPRO-2007/10090		X		2,878,000



University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
Addis Ababa University	University of Oslo	Joint linguistic research concerning the implementation of the Ethiopian educational policy with respect to the use of vernaculars in elementary schools	NUFUPRO-2002/21	X			5,193,600
		Research, Innovation and Postgraduate Competence Building in Special Needs Education towards Inclusion - Ethiopia - Uganda - Norway	NUFUPRO-2002/35	X			5,951,000
		Biodiversity of Eastern Africa (lillies, orchids and sedges) - taxonomi, conversation and use	NUFUPRO-2002/53	X			3,150,000
Norwegian University of Science and Technology (NTNU)		Population growth and land use in Central Ethiopia	NUFUPRO-2002/29	X			2,705000
		Implementation of M.Sc. Programme and related research activities in Road and Transport Engineering	NUFUPRO-2002/30	X			3,903,856
	Norwegian School of Management BI	Networking and Capacity Building of Higher Education Institutions in Ethiopia	NUFUPRO-2002/32	X			755,236
University of Tromsø		Urbanisation and gender in Ethiopia	NUFUPRO-2002/51	X		4,587,680	

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
University of Hawassa	Norwegian University of Life Sciences (UMB)	Environmental Impact Assessment and Management of Lake Resources	NUFUPRO-2007/10115		X		3,500,000
		Legumes and rhizobia in southern Ethiopia: Evaluation, management and utilization of biodiversity of the microsymbiont for sustainable agriculture	NUFUPRO-2007/10144		X		3,497,550
Dilla University	Norwegian University of Science and Technology (NTNU)	Enhancing food production and nature management	NUFUPRO-2002/	X			3,787,000
		Children, Young People and Local Knowledge in Ethiopia and Zambia	NUFUPRO-2007/10084		X		4,934,600

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
Mekelle University	Norwegian University of Life Sciences (UMB)	Seed safety through diversity	NUFUPRO-2007/10189		X		3,437,000
		Women and food science: together towards national visibility	NUFUGe-2008/10265		X		5,175,000
		North-South-South Collaborative MSc in Development and Natural Resource Economics	NOMA-2006/10031			X	6,000,000
	University of Agder	A Master of Science (M.Sc.) Degree Programme in Development Management between Agder University College, University of Ruhuna, and a network of partner universities in Africa, under the overall auspices of United Nations University (UNU)	NOMA-2006/10001			X	5,903,516

## Appendix 2: Ethiopia Country Programme

Day	Date in May 2009	Activity	Team A	Team B	Remark
1	Thursday, 14	Arrival of the Team - early morning 15th			Contact Person Shibru Tedla 091-122-5539/ Res 011-515-7670/ Off 011-551-9606/ 011-551-7217
2	Friday ,15 0830	Team (EWT, MTDJ and STE) meets with Bente Nilson (e-mail <a href="mailto:bn@mfa.no">bn@mfa.no</a> ; tel 011-371-0799) to introduce the mission; courtesy calls by all team members available at that time.	Joint	Joint	Time fixed by Ms Bente Nilson. Prof. Henrik Secher Marcussen (HSM) would not have arrived by then.
2	1000	Team meets at Queen of Sheba Hotel; reaching a common understanding of the assignment by all team members; by then Professor Marcussen would have arrived.	Joint	Joint	How to proceed in the day to day activities during the mission's stay in Ethiopia - including division of work, reporting and practicalities. Strategizing the discussions/ interviews with the various stakeholders; researchers, administrators, etc. based on the technical proposal/Inception Report; prioritization will be the essence of such discussions.
2	1230-1330	Lunch Break			
2	1400-1530 (Afternoon)	Meet with Dr Wagari Deressa; Department of Community Health, AAU.	Joint	Joint	Tel 091-148-3714/ 011-553-0497 Project Coordinator-Ethiopian Malaria Prediction
2	1600	Meet with the President of the University; Professor Andreas Eshete (AAU)	Joint	Joint	The team will make courtesy call to the President of AAU. Tel 011-123-9752

Day	Date in May 2009	Activity	Team A	Team B	Remark
2		Late Afternoon (evening)	Joint	Joint	All members of the mission get together to exchange notes and revisit the strategy based on experience gained during the day.
3	Saturday, 16 0900	Meet with Professor Sileshi Nemomissa, Department of Biology (AAU)	Joint	Joint	091-140-7724 Project coordinator: Afro-alpine 'sky islands': genetic versus taxonomic biodiversity, climate change, and conservation
3	1030	Meet with Dr Brook Lemma (AAU): Director of Research at AAU	Joint	Joint	091-195-3400 Institutional contact: Afro-alpine 'sky islands': genetic versus taxonomic biodiversity, climate change, and conservation
3	1230-1330	Lunch Break			
3	1400	Meet Professor Tirusew Teferra (3rd Floor-Old Building) (AAU)	Joint	Joint	091-124-2546 NUFU- Research, Innovation and Postgraduate Competence Building in Special Needs Education towards inclusion-Ethiopia-Uganda-Norway
3	1600	Meet Dr Gobena Ameni, Akillu Lemma Institute of Pathobiology (AAU). Dr Gobena Ameni will come to the Queen of Sheba Hotel by 1600hrs.	Joint	Joint	091-141-3073 Studies of Molecular epidemiology, clinical epidemiology and immunology of tuberculosis in pastoral communities and their livestock: STE leaves by 1700hrs (family commitment)

Day	Date in May 2009	Activity	Team A	Team B	Remark
4	Sunday, 17	The two teams travel to their respective destinations	Team A (HSM and STE) leaves at 0830hrs	Team B (EWT and MTDJ) travels to Mekelle: Airport at 0430am Departure 0630 hrs	Hotels at Both Hawassa and Mekelle already booked
4	1400	Contact established with Dr Andargachew Gadebo. Delegated by Dr Yewelsew Abebe, Associate Vice President for Research and Extension		Arrival at Mekelle 0730hrs	Contact person Dr Fetien Abay 0914703197/ Res 034-441-4350 Project Coordinator-Seed safety through diversity
5	Monday, 18 0845	Discussion with research teams and relevant institution and department administration at Hawassa and Mekelle, by Team A and Team B, respectively.	Discussion with research teams (i.e. two at Hawassa)	Discussion with three research teams of Mekele University	<u>Mekelle University</u> Dr Mitiku Haile (President) not available (Monday / working day), his authorized representative i.e. Dr Tesfaye ill meet the team Dr Tesfaye 034-440-8627 Dr Abdelkader 034-440-9019 <u>Hawassa University</u> . Professor Admassu Tsegaye: President 091-658-0260 Off 046-220-4626 admasuhr@yahoo.com. Dr Sheleme Beyene; Vce President for Academic and Reseach Dr Bekel Bulado, Vice President for Administration and Dvelopment; Dr Andargachew Gadebo; Research Coordinator-Res 046-220-4738; 091-178-5988

Day	Date in May 2009	Activity	Team A	Team B	Remark
5	0930	Dr Elias Dadebo; Coordinator of NUFU supported Project: Environment Impact Assessment and Management of Lake Resources: (Eco-toxicology in Aquatic Systems)			Dr Elias Dadebo
5	1100	Dr Endalkachew Wolde-meskel -Coordinator for NUFU Rhizobium-Legume Symbiosis-Faculty of Agriculture			
5	1400	Dr Ayele Taye, Dean Natural Science Faculty			
6	Tuesday, 19 Leave for Dilla at 0630	Arrived Dilla at 0800 hrs	Team A travelled to Dilla	Team B travels to Addis Ababa in the morning	Team A meets with Dr Fikre Dessalegn at Dilla University 091-177-2381/ 046-331-2460 Children, Young people and Local Knowledge in Ethiopia and Zambia
6	Afternoon		Team A travels back to Addis	Team B: engaged what is required	If there is still time left, there could be a brief joint meeting of the team to briefly exchange experience The Team revisits the strategy of its approach based on experience gained to date. Notes cleaning - Report writing

Day	Date in May 2009	Activity	Team A	Team B	Remark
	Evening	Evening: Meeting of the Team may continue			Continuation of the above
7	Wednesday, 20 0900	Dr Gurja Belay; Head of Biology/outside views as well as representation of the department			091-122-8143 Head, Department of Biology
7	1400	Dr Ing Girma Berhanu (2nd Floor-Civil Engineering Department)			011-165-8237 NUFU 2002-2006 Implementation of MSc Programme and related research activities in Road and Transport Engineering
8	Thursday, 21 0830	Professor Getachew Tilahun and possibly other researchers			091-124-2542 Director, Akilu Lemma Institute of Pathobiology
8	1400 Parallel Meetings	Meet with Drs Muluemebet Zenebe (Team B) and Emebet Mulugeta (Team A)	Team B meets Dr Muluemebet Zenebe, Institute of Gender Studies (AAU): of gender in the Formal and Informal Sector in Ethiopia: Director of the Institute of Gender studies	Team A meets Dr Emebet Mulugeta Institute of Gender Studies (AAU): Urbanization and Gender in Ethiopia	Contact person Dr Muluemebet Zenebe 091-162-7413/ 091-140-2655



Day	Date in May 2009	Activity	Team A	Team B	Remark
8	1700	Professor BayeYimam (3rd Floor New Social Science Building)			091-178-1886 Joint linguistic research concerning the implementation of the Ethiopian educational policy with respect to the use of vernaculars in elementary schools
9	Friday 22 1000	Dr Degefa Tolossa			091-189-9660 Project coordinator: Masters Urban Development and Urban Challenges in East Africa They are in the process of selecting students
9	1400	Professor Zerihun Woldu (Senior ecology researcher at AAU)	Joint	Joint	zerihun@bio.aau.edu.et/ zerihun_woldu@yahoo.com 091-140-7255 Professor of Ecology, Department of Biology-outsiders' views on the programme
9	1600	Meet Dr Amare Gessesse	Joint	Joint	091-114-6855 NUFU-2007-2012 Biotechnology and Microbial Diversity of Ethiopian Soda Lakes
10	Saturday, 23 Morning	Team meets students			NUFU supported PhD candidates Addis Sineshaw Ashenafi-091-169-6435 Baye Sitotaw Mersha 091-186-2546 Mesfin Tafesse Gemedo 091-186-8381 All biology graduate students: Biotechnology-working under Dr Amare Gessesse-registered for PD at AAU.
	Afternoon	Team works on individual assignment parts of the report			

Day	Date in May 2009	Activity	Team A	Team B	Remark
11	Sunday, 24	Team continues to work on the report			
12	Monday, 25 0830	Dr Mulugeta Fesseha Director; College of Development Studies			091-124-4962 Views as an independent researcher and a university official
12	1030	Meet Dr Muluneh W. Tsadik			091-167-9825 NUFUPRO-2002 Population growth and land use in central Ethiopia
12	1430	Meet with Professor Andreas; President of AAU Professor Tsige Gebremariam; Vice President for Graduate Studies and Research, and Dr Brook Lemma, Director of Research at AAU.			Venue President's Office
Special	June 12, 2009 1400-1700	Dr Brook Lemma and Shibr Tedla; Briefing Researchers and officials on the outcome of the findings of the consultancy team			Findings to be presented by Shibr Tedla Venue: ICT Hall Main Campus, AAU

**Team Members:** HSM: Henrik S. Marcussen; STE: Shibru Tedla; EWT: Erik W. Thulstrup; MTDJ: Mads Ted Drud-Jensen

## Annex 2b: Malawi Country Report

**A Case study for the Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)**

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## Abbreviations

GIS	Geographical Information System
NOK	Norwegian Kroner
NOMA	Norad's Programme for Master Studies
NUFU	Norwegian Cooperation Programme for Development, Research and Higher Education
SIU	Norwegian Centre for International Cooperation in Higher Education
UM	University of Malawi

# 1. Introduction

This report contains the findings from the field study in Malawi. Studies in Nepal, Ethiopia and Malawi have contributed findings towards fulfilment of the objectives of the evaluation, which are:

1. To analyse and assess NUFU and NOMA in relation to the current aims, objectives and strategic directions of the programmes and make relevant recommendations. The question is if the changes and redesign of the programmes have led to expected improvements.
2. To document the quality of work done under the two programmes.
3. To provide a learning exercise for stakeholders with a view to better synergies in future.

Key findings from Malawi are presented in section 1.1 while chapter 3 presents in more detail the findings in accordance with the evaluation themes of this evaluation.

## 1.1 Key Findings

- There has been appreciable capacity building in terms of (i) manpower development (teaching, research, skills practices, etc.); (ii) acquisition of basic research equipment and setup in the respective departments; (iii) gaining international experience and confidence building; and (iv) in the promotion of networking practices South-South, as well as South-North.
- Appreciable numbers of university staff have been trained and are in a position to go it alone (without Northern collaboration). They are also in a better position to promote research and entice the government to improve the research policy and subsequently provide more funding for research. Some have capacity in joint formulation and/or implementation of projects with collaborators, the collaborations in place will ease survival beyond project life (e.g. other joint projects, better exposure to funding arrangements from other sources). Some of the NOMA programmes may evolve towards enrolling fee paying students, thus enhancing continuity.
- There is clear evidence that ownership of projects is in place by the Southern partner; however South-South collaborations were often identified by Norwegian partners. The collaborative projects were sometimes poorly planned, with no regular meetings; which subsequently resulted in poor management.
- Generally, participatory decision-making processes were acceptable when they took place, but the occasions were rare. At the initial stage, fund flow was problematic, but that eased in time. Local fund flow was perceived to be bureaucratic resulting in for example delayed stipend disbursements. It was

apparent that not everyone was equally aware how the funds were managed and there was a felt need for better awareness.

- Since there were very few NOMA programmes, appreciable synergy between NOMA and NUFU programmes was not visible. However, there were a few good examples of synergy (e.g. Departments of Sociology and Political Science).
- Students were as generally unaware of the whole picture of the research/teaching undertakings in which they were enrolled. There were apparent failures to appreciate student needs; and in some cases research advice was apparently very short in coming - even delayed. Block-teaching was found undesirable, since the timeframe was too short and teaching materials were in short supply.
- The NOMA programme invariably benefited institutions and often addressed national needs, e.g. for educated social workers and political scientists.
- NUFU projects also enhanced appreciation of indigenous knowledge and cultural practices, e.g. genetic diversity and rapid propagation of two important indigenous fruit trees.
- There was gradual improvement in female enrolment in both NUFU and NOMA supported graduate studies, and research management. Most programmes had appreciable gender balance, both at the Masters' and PhD levels, and commendable measures, which enhanced gender mainstreaming, were in some cases put in place (as in the case of a gender research competition at the Department of Political Science).
- The following issues may need revisiting, (i) core funding (funds provided to the institution and the initiations to set their priorities) versus project-based funding ;(ii) relationships of NUFU and NOMA programmes; (iii) level of decentralization at University of Malawi; (iv) sourcing experts for short-term trainings - South to North; and (v) exchange of experience on both NUFU and NOMA projects in-house in Malawi (among all coordinators and researchers).
- Impacts regarded as particularly positive in the NUFU include: capacity building translated into research design, implementation, publications of results, teaching capacity, providing a forum for North-South collaboration as well as South-South collaboration.
- Impacts regarded as particularly positive in the NOMA programme: establishment of new educational programmes addressing national needs (e.g. social work, political science) and enhancement of networking, especially South-South, even though wanting.
- Even though the number of institutions are quite limited compared to the total number of both NUFU and NOMA programmes, the findings indicate that there may be a need for improvement in the following areas: (i) selection of partners: experience (e.g. with local working conditions) and appropriate expertise is mandatory for success (e.g. the MALEX project); (ii) sense of ownership (in some NOMA and NUFU-supported projects) by the Southern partners (this might have improved had the participation been enhanced through availing funds for regular meetings; it is quite a challenge to get partners to get together); (iii) a group of participants in a NUFU-supported project expressed the need for more time between the announcements for application and submission to be devoted to planning/budget allocations and preparation of financial plans - some funding for planning will be very welcome; (iv) students' awareness of the components of the project agreement and the planned activities therein (expressed among

others by students in a NOMA political science project); (v) the project partners do not often engage the University of Malawi finance administration unit, and this is believed to have a negative impact on the ownership; hence engagement of finance officers from the beginning may improve ownership and entice them to perform better than at present; and (vi) the need to strengthen South-South collaborations in the future in both NOMA and NUFU-supported projects by allotting adequate funding for this component.

## 1.2 Context: Higher Education in Malawi

The University of Malawi was founded in 1964 and comprises Bunda College of Agriculture, College of Medicine, Kamuzu College of Nursing, the Polytechnic, and the Chancellor College - the latter being the biggest unit. University of Malawi is by far the biggest and oldest in the country. The new Universities which have opened in Malawi - Mzuzu University, Catholic University and Livingstonia - have all been, and are, dependent on staff who have been trained, or previously working for, University of Malawi. This places heavy requirements on University of Malawi, and so do plans to establish new universities, such as the University of Science and Technology. The effects of the possible collaboration and competition between the new universities and University of Malawi are areas which could, or should, affect the structures of collaboration with donors in Malawi.

An issue of relevance for current and future NUFU and NOMA programme support (as well as for other donors) has been highlighted by a recent report on the restructuring of the University of Malawi. The Malawi Institute of Management has recommended an extensive decentralization of the University with increased responsibilities and independence to the University Colleges. The consequences of a possible restructuring remain to be seen. However, such a development would entail the need to review the funding modalities for different donor programmes including NUFU and NOMA.

Malawi is in a situation with an increasing need for a university-trained workforce. The transition to democracy and a multi-party system has thus opened up new possibilities and needs, e.g. in the field of political science. Similarly, local training is needed in order to build capacity to respond to, and advance knowledge of, local needs and contexts for development.

Public funding for research and education in Malawi is very low which underlines the current dependency of University of Malawi on external funding.

University of Malawi - being more than 40 years old - got its first *Strategic Plan* in 2004. The overall umbrella for the University of Malawi is the *National Education Sector Plan (2008-2017)* on higher education with objectives largely in line with the *Strategic Plan* of the University.

It is worth noting that, at the time of writing, a new strategic plan for the University of Malawi as well as a new National Educational Policy is being drafted. Whereas the objectives of the current plans are in line with the objectives and activities of both NUFU and NOMA programmes, it will be necessary to take into

consideration the new plans with possible new orientations in light of the changes in political and higher educational structures in Malawi. Collaborations based on both NOMA and NUFU programmes may in the future be impacted by the new strategy and educational policy.



## 2. Methodology

The findings of this report are structured according to the key evaluation issues as they are laid out in the framework for the evaluation focusing on whether and how the NUFU and NOMA programmes fulfil their objectives. Besides a review of NUFU and NOMA programme documents related to all the NUFU and NOMA-supported projects in Malawi, the key element in the data collection for this report has been a field visit in Malawi by the Evaluation Team. The field visit lasting 9 days (2-10 June 2009) included qualitative semi-structured interviews with key stakeholders of the NUFU and NOMA programmes. The overall evaluation issues have been the focus of the inquiry and reflected in the interview guide employed during the field visit. Additionally, the consultants acquired relevant background information related to the individual projects as well as to the institutional context and development in Malawi, which is also presented in this report.

The team of three consultants had 23 meetings on location with representatives from the Norwegian Embassy and all the tertiary education institutions involved in NOMA or NUFU projects or both comprising colleges and departments of the University of Malawi, Bunda College of Agriculture, Chancellor College and College of Medicine. The interviews covered all the NUFU and NOMA projects in Malawi.

The material for this report has been collected through the following sources:

- NUFU and NOMA project documents provided by SIU
- Meeting with the Norwegian Embassy
- Interviews at the University of Malawi with:
  - University management (Vice Chancellor, Pro-Vice Chancellor, Principals, Deans, Heads of Departments...)
  - NUFU and NOMA Institutional Contact Persons
  - NUFU and NOMA project coordinators
  - Researchers directly involved in NUFU or NOMA programmes
  - NUFU and NOMA students and former students.

## 3. Findings

### 3.1 Capacity Building

Everyone interviewed appreciated the contribution of the NOMA programme in terms of man-power development. The NUFU programme that has been operational in Malawi for a long period was much appreciated for capacity building in terms of the expertise and experience gained by trainees and core collaborators alike. Also, the equipment made available to enable the Southern partners to continue with their research endeavours was emphasized. However, in many cases the equipment made available was not sufficient to enable the Southern partners in Malawi to continue with their research activities once the project funding comes to an end and making it unlikely for them to sustain the programme.

As a sequel of the support provided through the NUFU programme, appreciation of indigenous knowledge by researchers (e.g. in selection of indigenous fruit bearing trees for propagation) is enhanced. In addition to academic staff, technicians (e.g. GIS) and other support staff (e.g. accountants, secretariat staff and information managers) have been trained.

It was apparent that the capacity building (capacity to teach, carry out research and publish results) as well as the strengthening of the units would not have been possible without the NUFU interventions.

The trained staff and availability of basic equipment as well the participation of sector ministries in the programme have boosted the possibility of continued and sustained activities of researchers and trainees. Some technologies that have been transferred are self-sustaining.

### Box 3.1.1 Examples of sustainability

The *Lungwena Health Nutrition and Agricultural Project* is an example where interventions and technology transfer have potential for sustainability when implemented with training and a focus on local organizations - a goat breeding project being one example.

Another example of sustainability is the increased appreciation and utilization of indigenous knowledge and application of lessons learnt regarding fruit tree mastication and propagation that is applicable to other local fruit trees (the *Genetic Diversity Project* at the Bunda College of Agriculture).

A third example is the *Health and Information Systems - Two Integrated University Programmes at the University of Malawi* that contribute to the establishment of a teaching team which is able to continue the programme with fee-paying students.

However, it would have been preferable if exit strategies were formulated at the project preparation stage and made part and parcel of the project implementation process. Blueprints for sustainability often include hardware and software and these are wanting, except for human resource development. The absence of an exit strategy is apparent in both NOMA and NUFU programmes.

In the NUFU programme, the joint publications in peer reviewed international journals to date, and those planned, as a result of the partnership with Norwegian colleagues, indicate that the capacity building provided through the NUFU programme is not only limited to the partner in Malawi, but may also benefit the Northern partners.

In planned capacity building in research in the NUFU programme, some university administrators believe that funds provided to the institutions for research would have been more effectively utilized compared to funds provided to individual projects, because the colleges have the broad overview of relevant and locally prioritized areas for development. With the present setup, there is unequal competition when competing for projects in both NUFU and NOMA programmes. The people with little experience lag behind. It may be necessary to look into this issue in more detail and perhaps consider giving some of the funds to the university and put up a certain percentage for individual departments to compete for in the case of NOMA, and for individuals and/or groups to compete for in the case of NUFU applications.

However, others are of the opinion that core funding to the university through the NOMA or NUFU programmes is unlikely to be effective, until the present central administrative setup is decentralized, e.g. the present colleges evolving into independent entities.

Strengthening capacities within research management is an area not targeted in the current programmes, and even though some researchers underlined management skills as a positive impact of their projects, this should be emphasized particularly in the NUFU programme. Contributions to capacity building beyond the individual researcher, including the wider research environment, are an area that should be considered added in the NUFU modalities of operation, with appropriate budget allocations, in order to make the support more comprehensive and sustainable.

## **3.2 South-South and South-South-North cooperation**

### **3.2.1 Initiation**

The collaborative projects both in the NOMA and NUFU programmes were all initiated by the Malawian partners who were made aware of the existence of such support by the Norwegian Embassy in Malawi, through the Pro-Vice Chancellor's Office of the University of Malawi. The identification of Southern partners was, however, both in the NUFU and NOMA-supported projects based on prior contact by either a Northern and or a Southern partner in some of the cases.

The former Minister Counsellor was instrumental in the establishment of the \$2.2 agreement with Norad/the Norwegian Embassy in Malawi, and the amount was NOK 15 million (including 5 % administration fee to SIU). The former Norwegian Ambassador played an instrumental part in engaging the University of Malawi in the NUFU programme. During other project preparations the Ambassador made the university aware of the possibilities for NUFU-funding, and subsequently, with Malawi being late for the 2002 application round, made arrangements with SIU to provide initial funding for the first three projects (the Institutional Context of the 2004 Elections, the Lungwena Health Project, and the Genetic Diversity Project) for three years. The thought then was to circumvent the application deadline limitations and enable the University of Malawi to apply for support during the next time around; i.e. the following phase.

The links established amongst Southern partners, especially as a result of projects supported by the NUFU programme, have had a positive influence among the partners in many cases. It has stimulated interactions among the partners and generation of new ideas. For example, in the case of the NUFU project, the 'Capacity Building in Water Sciences for Improved Assessment and Management of Water Resources' project, networking has been established amongst experts in the field from Namibia, Zambia, Zimbabwe, in addition to Botswana and South Africa.

### **3.2.2 Operation**

In the NOMA programme supported projects, the South-South collaboration appears to be on track, since students from collaborating institutions are brought together under one roof, and also since some staff from collaborating institutions participate with teaching and advisory capacities.

In the NUFU-supported projects, South-South collaboration appears to be peripheral to the main direction of thrust of the collaborative projects; they appear to be at best add-ons to project objectives. Project coordinators (and Norwegians) have assumed support from the colleges, but that has not happened sufficiently due to the level of expenses.

In general the North-South collaborative efforts appear to be on track, more so in the NOMA-supported projects than those supported through the NUFU programme; however, there are a few issues of concern, albeit not applicable to all projects.

These non-generic challenges in the NOMA-supported projects comprise, but are not limited to, the following (i) shortage of staff both in teaching and provision of

research advice; and (ii) limited availability of reading materials and difficulties in accessing such materials through the electronic media (for example due to the fact that internet access is very limited);

The non-generic challenges in NUFU supported projects comprise, but are not limited to, the following; (i) inadequate common understanding of the priority areas of research, (ii) perception of paucity of experts in certain fields (e.g. linguistics), (iii) prevalence of limited appreciation of the working environment in the South by the Norwegian partners; (iv) perceived failure to abide by the initial understanding and commitment by the Norwegian partners (e.g. purchase of equipment for Bunda College of Agriculture); (v) absence of prescribed periods for joint meetings of Northern and Southern partners vis-à-vis project management (reportedly Norwegian partners appearing in Malawi when ever convenient for them); and (vi) reportedly decisions taken by the Norwegian partners without consulting their collaborators in Malawi.

In general, cooperation with Norwegian institutions in as far as both teaching and research are concerned is commendable. However, there are some areas of concern that need to be looked into. For example, in a project supported by the NUFU programme at the Bunda College, a misunderstanding arose concerning accreditation to a course given at Bunda. These courses that are considered relevant and important by the college were not recognised/accepted by the Norwegian partner institutions. Apparently, a prior understanding had not been reached by the respective teaching units in which the Malawian and Norwegian partners operate.

PhD students in the Department of Sociology (UM) took courses in South Africa and Norway (Child welfare and gender in comparative social work, NUFU project). This was a welcome exposure. The graduate students were able to access good libraries and to meet experts in their respective fields of study, and were also exposed to a new culture, and the students found this very rewarding.

### **3.2.3 Sustainability**

Apparently there are no existing strategies for sustainability formulated within the project frame-work; thus making exit problematic seen in the light of sustainability. However, there are indications that some of the ongoing activities will be sustained after project termination. For example, in a NUFU project, the 'Capacity Building in Water Sciences for Improved Assessment and Management of Water Resources', training of faculty members and government officials alike in water sciences and availability of laboratory equipment have enhanced sustainability of research as well as training activities.

## **3.3 Management and Administration**

In some of the NUFU and NOMA supported projects there were annual meetings at the initial stage. However, as time passed these became irregular as the partners became too busy and/or the meetings proved to be costly, the costs of collaborative work may have been underestimated. There is still a project or two in which a coordinating committee comprising all the coordinators meet annually (e.g. Capacity

Building in Water Sciences for Improved Assessment and Management of Water Resources).

The NUFU model works well, but in some cases there are problems with regard to equal participation in project management, (lack of) drafting of work plans, adherence to work plans, and inclusion/agreements related to changes/adjustments of the plan or process.

Initially there was an erratic flow of funds from Norway to the Southern partners for some projects with regard to both NOMA and NUFU, this apparently improved after a while. It is believed by the partners in Malawi that the delay was in Norway; once the money was in Malawi, it is believed that there was no delay.

There is, however, delay in local procurement, as the procedures are stringent and applicable university-wide.

No new procedures (administrative and or financial) have been introduced as a result of the NUFU and or the NOMA-supported projects. In both cases existing project management procedures are adopted and collaborative and project management skills are enhanced. However, not everyone is aware of the procedures for management of funds, including disbursement of same.

There appeared to be no problems as far as reporting format and timing are concerned in any of the projects supported by either the NOMA or NUFU programme. The only concern raised was that at times there were problems with accessing the SIU homepage for reporting. This problem is sometimes ascribed to unstable internet connections in Malawi, but sometimes access has not been possible even with well-working connections - a problem since there is only a limited time frame for reporting. This applies to both NOMA and NUFU.

### **Challenges Specific to Students:**

In the NUFU-supported projects, graduate students studying in Norway, especially in the natural sciences, faced difficulties due to the higher expectations of Norwegian Universities, especially in laboratory work. Students from the South have relatively poor exposure to laboratory-based exercises. The background of the students was not appreciated/taken into consideration in Norway.

Students studying in Norway through the NUFU programme were expected to pay Norwegian taxes, and as a result the stipend provided after tax was found inadequate to cover costs of living. In Malawi, the students do not receive the total allowance, since that will create discrepancy in income (i.e. if paid in full their incomes will be higher than their instructors). However, the amount allotted for the purpose in Norwegian Kroner is becoming inadequate as a result of the gradual devaluation of the NOK.

In both NOMA and NUFU-supported projects, the university does not respond to student needs in time because the prevailing bureaucracy is apparently shrouded in

a lot of inertia. In some departments, the students have no access to internet or to basic computer facilities.

In the NOMA-supported projects, where several Southern universities collaborate, and students spend time in the various campuses of the collaborating universities (institutions), the rules and regulations of the various universities should be made known to all visiting students, such as library opening hours, available facilities, etc.

Regarding NUFU-supported graduate studies in Norway, a case was reported of a student who was requested to change his research topic, since there was no expertise in-house in Norway to advise the candidate. However, the student declined to do so.

In neither NOMA nor NUFU-supported graduate studies, students seem to be aware of all the components of the project agreement. By and large they are kept in the dark, hence they can not pinpoint the origin of problems, when and if they arise.

In one particular case, in a NUFU-supported project - the Malawi Lexicon Project (MALEX) - obtaining a 'student visa' was so difficult and prolonged in coming that a candidate discovered on arrival in Norway that there were no courses that he could take. All the courses that he could have taken had already been held a semester earlier. There is an apparent lack of awareness of the time requirements for a student visa.

### **3.4 Synergy Effects**

There are not many NOMA projects in Malawi, therefore the possibility of synergy between NUFU and NOMA is limited. However, in one case, implementation of NUFU projects has enhanced the possibility of establishment of a NOMA-supported project (Department of Sociology). Again in the case of sociology, a NOMA planning phase brought the team together for formulation of a NOMA-supported project, even though the proposal was not supported. However, eventually the NUFU project addressed the need for training Masters Candidates.

In another case, the Master in Political Science at the Chancellors College, which is at present a NOMA project, is a result of needs identified through, and output from, the NUFU-supported project on Democracy Consolidation in Malawi. The NOMA-supported project utilizes education material developed through the NUFU project, and the meetings held by the NUFU project team are also used for having coordination meetings for the NOMA programme. In this way the problems with shortcomings in project management allocations in the NOMA programme are solved.

The NUFU programme has helped to develop curricula for undergraduate and graduate (MA) training in social work, but they have a challenge in that they have no qualified faculty members to teach an undergraduate programme in social work.

### **3.5 Decision-making Processes and Transparency**

In one case, according to the partners in Malawi, a Northern collaborator in a NUFU-supported project failed to appreciate the realities on the ground in Malawi

and that became a continuous source of misunderstanding between the collaborative parties, including the graduate student that the Norwegian partners were advising. The advisor (the northern collaborator) was later replaced by someone else, who had experience working in Africa (Kenya). Prior to the replacement, there was neither transparency nor shared decision-making.

Some partners in Malawi are of the opinion that the North and South partners are not equal partners - some decisions in the Malawi Lexicon Project (MALEX) were reportedly made by the Norwegian partners without consulting Southern partners. In one case, it was also reported that agreements were revised by the Northern partners together with SIU without consulting partners in Malawi; this obviously needs further clarification.

The Southern partners are unlikely to capture the process of research management and capitalise on the process, including publications of results. Moreover, the Northern partners emphasise online communication, but that capacity is not built in in the Southern partnership.

### 3.6 Relevance to South and to Norwegian Institutions

The projects supported by NUFU and NOMA are considered very relevant. Trainings at both PhD and Masters level by NUFU-supported projects and at the Masters level by NOMA-supported projects are needed to manage the teaching and research components of tertiary education institutions as well as to generate knowledge/information that informs policy. For example, the need for having an undergraduate programme in Social Work is often expressed also by learning/teaching institutions that provide Diploma Level training in Social Work. There is a felt need for qualified social workers, and this has been a common concern in both government and NGO sectors. They all expressed the need to train workers in social work. At presently, high level social workers are not trained in Malawi, and this reflects the relevance of the training, especially through the NOMA programme.

#### Box 3.6.1 Projects meeting national needs

Several projects educate academics in fields where there is currently very few educated Malawians - and an articulated need for more. These include *social work* (Child, Welfare and Gender in Comparative Social Work/NUFU), *political science* (Democracy Consolidation in Malawi/NUFU and the Master of Arts in Political Science at the University of Malawi/NOMA), and *health informatics* (Health and Information Systems - Two integrated programmes at the University of Malawi).

The research undertakings that are being carried by projects supported by both the NOMA and the NUFU programmes at the various colleges and faculties are all relevant in the context of Malawi's development.

### 3.7 Gender Issues

The university has a policy for gender mainstreaming. Although this policy has not had any impact on recruitment procedures, with the exception of the Water project, most academic programmes supported by either NUFU or NOMA have appreciable gender balance, and several projects have incorporated gender issues in the



curriculum or target gender issues and/or women in their interventions. The paucity of female candidates is the main reason explaining the cases of few or no female students.

A few active measures have been taken to increase focus on gender issues and mainstreaming. An example is the Master in Political Science where two research grants are given to projects focusing on gender issues.

### Appendix 1: NUFU/NOMA Portfolio Malawi

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
	Agricultural University of Norway	Genetic diversity and rapid propagation of two important indigenous fruit trees in Malawi	NUFUPRO-2002/	X			3,114,098
	Bodø University College	Child, Welfare and Gender in Comparative Social Work	NUFUPRO-2007/10085		X		6,000,000
	Norwegian University of Science and Technology	MaLEX : Malawian Lexicon Project	NUFUPRO-2007/10151		X		1,800,600
<b>University of Malawi</b>		The institutional context of the 2004 general elections in Malawi - A framework for research collaboration between the Centre of Social Research (CSR) at Chancellor College, Zomba and CMI, Bergen	NUFUPRO-2003/MA 69	X			6,546,100
	University of Bergen	Democracy consolidation in Malawi	NUFUPRO-2007/10099		X		3,175,950
		Master of Arts in Political Science	NOMA-2006/10017			X	4,441,546

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
University of Malawi		Lungwena health, Nutrition and Agricultural Multidisciplinary Project - Towards poverty reduction	NUFUPRO-2007/10149	X	X		4,598,500
		Capacity Building in Water Sciences for Improved Assessment and Management of Water Resources	NUFUPRO-2007/10079		X		5,698,000
	University of Oslo	Improving access and quality in maternal health care in Sub Saharan Africa	NUFUGe-2008/10013		X		5,560,000
		Health and Information Systems - Two integrated programmes at the University of Malawi	NOMA-2007/10045			X	4,500,000

## Appendix 2: Malawi Country Programme

Day	Date	Time	Activity	Remark/Coordinator
0	1st June 2009 (Monday)	1650	Shibru Tedla arrives at 16 hrs	Dr Angela Chimwaza to meet Shibru Phone No. 0888 866 706
			Night at Kuchawe Inn	Dr Angela Chimwaza
1	2nd June 2009 (Tuesday)	0745	Meeting of Provice Chancellor Angela Chimwaza and Shibru Tedla in the University Office Boardroom	Pro Vice Chancellor- Prof. Leonard Kamwanja Phone No. 09999916638
		0900	Project team meets with the Vice Chancellor (Prof. Zimani Kadzamira, University Registrar – Mr. Ben Malunga, Deputy University Registrar – Mr. Tarsizius Nampota, University Finance Officer Mr. A.B. Jeremiah, and University Internal Auditor – S.Masuso.	Briefing on how the evaluation will proceed in Malawi Pro Vice Chancellor. Venue- University Office Board room
		1000	Capacity Building in Water Sciences for Improved Assessment and Management of Water Resources - Project Presentation - Interviews with research teams/departments/stakeholders	Participants to include Professor John Saka and all project team members, postgraduate students, Dean of Science, Heads of Chemistry and Geography – Professor Saka to coordinate Phone No. 0999939472
			- Interview present and former students	Venue: University office Boardroom
		1300	Lunch	Dr Angela Chimwaza

Day	Date	Time	Activity	Remark/Coordinator
		1500	Child Welfare and Gender in Comparative Social Work Interviews	Dr Pearson Niata, Project Coordinator. Venue – Sociology department Phone No. for Dr. Mtata 099940956 Participants: Head of Sociology and a PhD student  Venue – Principal's Office Coordinator Dr. Angela Chimwaza
		1800	Interview Principal and Finance Officer of Chancellor College	
2	3rd June 2009 (Wednesday)	0830	MALEX Project at the Centre for Language Studies <ul style="list-style-type: none"> <li>• Project Presentation</li> <li>• Interviews with research teams/departments/stakeholder</li> <li>• Interviews with present and former students</li> </ul>	Coordinator- Prof. Kishindo. Phone No. 0888851163 Participants: Professor Pascal Kishindo All staff and students under MaLEX  Venue: Centre for Language Studies Boardroom
		1100	Meeting with Dean of Humanities – Prof. Kamlongera	Venue: Centre for Language Studies Boardroom
		1200	Lunch	Venue: Centre for Language Studies Boardroom  Dr Angela Chimwaza
		1300	Shibru, Angela and Pro VC Depart for Lilongwe. Spends a night at Capital Hotel  Mads arrives in Lilongwe	

Day	Date	Time	Activity	Remark/Coordinator
3	4 June 2009 (Thursday)	0800	Genetic diversity and rapid propagation of two important indigenous fruit trees in Malawi <ul style="list-style-type: none"> <li>• Project Presentation</li> <li>• Interviews with research Teams, Heads of Department, Dean, Project coordinator administrative staff.</li> <li>• Interviews with present and former students,</li> </ul>	Coordinator Prof. Kwapata. Phone No. 09237378 Participants: Professor Moses Kwapata (Principal for Bunda College), Dr James Bokosi, Dr Joyce Njoloma, Dr Weston Mwase, Ms Grace Lameck, Dean Environmental Science, Head of Forestry and Horticulture and Dr Ntupanyama Venue – Bunda College Lilongwe Pro Vice Chancellor
		1100	Lunch	Dr Angela Chimwaza
		1300	(Continuation of morning meeting. Discontinued because of meeting at Norwegian Embassy)	
		1400	Genetic diversity and rapid propagation of two important indigenous fruit trees in Malawi  Meeting with Deputy Dean of NOMA students from Malawi, Malawi and Makerere Universities who are at Bunda College.  Meeting with NOMA students  Site visit- project at Bunda College	Meeting with Acting Dean of Faculty of Environmental Sciences (Dr. Njoloma) Professor Moses Kwapata Phone No. 09237378
		1645	Depart for Mangochi Night in Mangochi/Nkopola Lodge	Dr Angela Chimwaza

Day	Date	Time	Activity	Remark/Coordinator
4	5 June 2009 (Friday)	0830	Lungwena health Nutrition and Agricultural Multidisciplinary Project towards poverty reduction <ul style="list-style-type: none"> <li>• Project Presentation</li> <li>• Interviews with research teams/departments/ stakeholders</li> <li>Site Visits</li> <li>• Interviews with present and former students.</li> </ul>	Coordinator – <i>Dr. Ken Maleta. Phone No. 08232202</i> Participants: Dr Ken Maleta and members of the project team/postgraduate students/Dr Steve Taulo/ stakeholders Venue – Lungwena/Mangochi  <i>Dr Angela Chimwaza</i>
5	6 June 2009		Night Nkopola Lodge - Mangochi  WORK ON INFORMATION COLLECTED Travel to Zomba Night at Ku Chawe Inn	
6	7 June 2009 (Sunday)	1000	Child, Welfare and gender in Comparative Social Work <ul style="list-style-type: none"> <li>• Interviews with Project Coordinator</li> </ul>	Participant: Dr Pearson Niata, project coordinator Phone No. for Dr. Mtata 099940956 Venue – Hotel Masongola  <i>Dr. Angela Chimwaza</i>

Day	Date	Time	Activity	Remark/Coordinator
7	8 June 2009 (Monday)	0800	Meeting with Pro-vice Chancellor to get materials related to University of Malawi	Dr. Angela Chimwaza
		0830	<p>The institutional context of the 2004 general elections in Malawi- A frame work for research collaboration between Centre for Social Research (CSR) Chancellor College, Zomba and CMI, Bergen</p> <p>Interviews with Former student now deputy Head of department of Political and Administrative Studies – Mr. Kayuni, Director of Centre for Social research (Prof. Paul Kishindo and Dr. Mvula – Research fellow</p>	<p>Coordinator Mr. Kayuni. Phone No. 0888516</p> <p>Participants: Director of CSR; Mr. Happy Kayuni, Deputy Head of Department. Paul Kishindu, Peter Mvula (PhD, Research Fellow</p> <p>Venue - University Office Boardroom</p>
		1030	<p>Democracy Consolidation in Malawi</p> <ul style="list-style-type: none"> <li>• Project Presentation</li> <li>• Interviews with Director and project members</li> <li>• Discussions with present and former student</li> </ul> <p>Interviews with the NOMA NUFU country contact person – Prof. Leonard Kamwanja</p>	<p>Coordinator – Dr. Chinsinga. Phone No. 0888577842</p> <p>Participants: Dr Blessings Chinsinga and project members</p> <p>Venue – University Office Boardroom</p>
		1100	Lunch	Pro-Vice Chancellors Office
		1200	<p>Masters in Political Science</p> <ul style="list-style-type: none"> <li>• Project Presentation</li> </ul>	Dr Angela Chimwaza



Day	Date	Time	Activity	Remark/Coordinator
		1:330	- Interviews with Coordinator - Focus group discussions with NOMA students	Coordinator: Dr. Asiyati Chiweza. Phone No. 0888674 006 Participants: Dr Asiyati Chiweza and NOMA students in year 1 and 2 Venue – Chancellor College- little Theatre
		1:530	Meeting with Vice Principal – Chancellor College Night in Blantyre – Ryalls Hotel	Venue – Chancellor College – Old Robbing room
+8	9 June 2009 (Tuesday)	0900	Health and Information Systems – Two Integrated programs at the University of Malawi - Project Presentation - Interviews with research teams/departments/stakeholders - Discussions with present and former students	Coordinator- Dr. Maureen Chirwa Phone No. 0888358307 Participants: Dr Maureen Chirwa, Dr. Nyengo Mkwandawire (head of surgical department), Dr.Sikwese Venue – College of Medicine Guest house
		1:200	Lunch	Dr Angela Chimwaza
		1:400	Meeting with the Vice Chancellor and other University Office Central Management officers, Principals of all colleges of University of Malawi and project coordinators or their representatives on crude findings from the evaluation Meeting of project team members Night in Blantyre	Pro-Voce Chancellor Venue – University Office Board Room - Zomba
9	10 June 2009 (Wednesday)	8.00	Shibru Tedla departs Chileka airport for Lilongwe by Air Malawi	Dr Angela Chimwaza

Day	Date	Time	Activity	Remark/Coordinator
10	11 June 2009	0800	Mads Ted Drud-Jensen departs Chilika airport for Lilongwe by Air Malawi arrives 8.30 am	Dr. Angela Chimwaza
<b>END OF PROGRAMME</b>				

**Team Members:** STE: Shibru Tedla; AFC: Angela Faith Chimwaza; MTDJ: Mads Ted Drud-Jensen

## Annex 2c: Nepal Country Report

**A Case study for the Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)**

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## Acronyms and Abbreviations

ICIMOD	International Centre for Integrated Mountain Development
IOE	Institute of Engineering
KU	Kathmandu University
NFP	Norad Fellowship Programme
NOMA	Norad's Programme for Master Studies
NTNU	Norwegian University of Science and Technology
NUFU	Norwegian Cooperation Programme for Development, Research and Higher Education
SINTEF	Stiftelsen for industriell og teknisk forskning
SIU	Norwegian Centre for International Cooperation in Higher Education
SWOT	Strengths, Weaknesses, Opportunities, Threats
TU	Tribhuvan University
UMB	Norwegian University of Life Sciences

# 1. Introduction and Background

This report contains the findings from the field study in Nepal. Studies in Nepal, Ethiopia and Malawi have contributed findings towards fulfilment of the objectives of the evaluation, which are:

1. To analyse and assess NUFU and NOMA in relation to the current aims, objectives and strategic directions of the programmes and make relevant recommendations. The question is, if the changes and redesign of the programmes have led to expected improvements.
2. To document the quality of work done under the two programmes.
3. To provide a learning exercise for stakeholders with a view to better synergies in future.

During its visit to Nepal (7 – 16 June 2009), the Evaluation Team<sup>2</sup> had the opportunity to meet with representatives of the Royal Norwegian Embassy in Kathmandu, the Tribhuvan University (TU) leadership team as well as the Vice Chancellor and Registrar of Kathmandu University (KU).

In addition, interviews were conducted with project coordinators, staff and students of all 13 - NOMA (8) and NUFU (5) - past or current programmes supported in Nepal.

Also, a couple of interviews were conducted with persons not directly involved in the programmes but with significant knowledge of research and higher education in Nepal and with sufficient knowledge of the NUFU and NOMA programmes or projects to offer both a labour market view of the relevance of the projects and a general perception of the quality and competitive level of NOMA and NUFU graduates.

Key findings from Nepal are presented in section 1.1 while chapter 3 presents in more detail the findings in accordance with the evaluation themes of this evaluation.

The Evaluation Team wants to express its great appreciation of the cooperation and the time given by very many people during the evaluation visit.

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<sup>2</sup> The Evaluation Team members in Nepal were Prof. Henrik Secher Marcussen, Team Leader, Dr Binod Bhatta, Dr Britha Mikkelsen and Mr Rolf Kromand

## 1.1 Key Findings

- Throughout, the Evaluation Team has met with an impressive number of dynamic, devoted and qualified coordinators, research and teaching staff as well as students, who have greatly contributed to making the NOMA and NUFU programmes visible, relevant and attractive features of the collaborating universities' study portfolios, which given current economic and financial constraints in Nepal is no small achievement.
- The two main universities receiving NUFU or NOMA support, TU and KU, are quite differently situated. While TU is a huge university with more than 300,000 students spread over an impressive amount of colleges and university units, with more than 8,000 employees and entirely publicly funded (apart from income from donors and fee-paying students), KU is a recently established, small and mainly privately funded university with only a few faculties and departments. These constitutional differences also provide a fundamentally different background for NUFU and NOMA programmes to work, in particular in relation to flexibility, governance and linking up with the surrounding society.
- Both the NUFU and NOMA programmes have significantly contributed to capacity building, and the value, relevance and impact of the programmes have been widely recognized.
- Given the current economic, financial and political development situation in Nepal, the importance and value of the NOMA-supported Master's programmes have in particular been perceived as responding to needs by offering high-quality educational programmes as well as meeting demands for well-educated, qualified and skilled manpower.
- The particular relevance of the NOMA programme for the Nepali context has been indicated throughout; however, the individual NOMA-supported Master's programmes differ rather much in structure, modality and in their relative weight given to role and influence by Norwegian and Nepali partners respectively.
- Comparing the NOMA programme to its predecessor, the Norad Fellowship Programme (NFP), does not always appear to be to the advantage of the NOMA programme, as the latter is in several cases seen as more administratively cumbersome and lacking the necessary programmatic flexibility.
- The apparently less flexible and more strict administrative and thematic modality of the NOMA programme has been indicated by a number of requests for the NOMA programme also to contribute to capacity building beyond the individual student/researcher (and a few related contributions to institutional infrastructure, such as books or library facilities), by addressing a widely perceived need of strengthening research management capabilities. This would include not only strengthening institutional educational and research strategy formulation and planning, but also enable institutions to reach out to the wider society, forming networks, affiliations and partnerships.
- The limited financial resources at the disposal of the main public university in Nepal, the TU, has made the Norwegian contribution through NUFU and NOMA programmes of particularly vital importance, maintaining a certain educational and research quality standard within selected departments.
- However, if the funding situation of public universities in Nepal does not improve over the coming years, the sustainability of the Norwegian contribution and the supported activities may be jeopardized.

- Some of the Master's programmes recently established have in particular attracted the attention of both students and the wider society, as these programmes are addressing new, pertinent and, apparently, fields of studies much in demand, such as the Master in Peace, Conflict and Development.
- The collaboration with Norwegian partners and partner institutions is generally highly valued by all, and there is an overall appreciation of these partnership constellations, which have been instrumental in making both the NUFU and NOMA programmes visible, relevant and successful.
- However, some of these partnerships have functioned better than others. This is in particular related to the problem of ensuring that Norwegian partners - teachers and researchers - are able to liberate themselves from obligations at their home universities, allowing them to be present in Nepal and work together with their Nepali colleagues as equal partners over periods that go beyond the few days/1-2 weeks.
- While the contribution within the NOMA programme to the Master education of Nepali students and students of other Southern partner institutions has been addressing essential educational needs, the NUFU programme has also provided valuable and fundamental inputs to the education of students at Ph.D.-level.
- However, in the latter regard, the collaborative research between Norwegian and Nepali researchers, conducting joint research and publishing research results jointly, has not evolved to the same extent as in other countries visited by the Evaluation Team (e.g. Ethiopia).
- Another aspect that needs strengthening, also with the assistance and involvement of Norwegian researchers, is more proactively bridging to the private sector, both by ensuring continued relevance of programmes, and by seeking tighter networking partnerships, which eventually may lead both to tighter academic and financial collaboration. The collaboration across areas within hydropower development is a good case in point. Here collaboration between the Nepali universities, both KU and TU, the Nepali public and private sector, and individual Norwegian researchers acting both as researchers, consultants and investors in hydropower development, has provided a framework for such closer partnering; such partnerships and synergies could be more systematically approached as part of the programme strategies.

## 1.2 Context: Higher Education in Nepal

The development of education and educational institutions in Nepal is closely linked to the shifting and ongoing political struggle Nepal has faced for the last 50 years with only brief periods of relatively stable rule. The universities have frequently had a role to play in the popular uprisings during the last 30 years<sup>3</sup>. These moves of university teachers and students over the years have highly politicised the university environment. This has led to an environment which is not at all conducive for the education, rather disrupting the process and degrading the quality of education. A recent example is the political interventions that TU did not have its leadership (Vice-chancellor, Rector and Registrar) for almost a year because of absence of understanding between the parties in coalition government.

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<sup>3</sup> Latest example was during the popular uprising in 2006 where university teachers and students were highly involved.

The country's present situation is characterised by a serious need/demand for more trained/highly educated people, but there has not been a conducive environment to retain and encourage such people to stay in the country. At the same time it is a fact that the universities face serious challenges in order to meet the need for qualified graduates to cater for the needs of the country and even to balance the loss by brain-drain. This includes ensuring the quality of its teaching and educational programmes, revision of the fee structure, tackling access to the universities among less resourceful students, a reform of a rather heavy institutional management structure and links with external partners and representatives of the labour market. Also at present, there is a limited environment for research and higher education at the TU due to the economic crunch and the various types of political interference. However, the very complex situation in which in particular TU finds itself benefits from donor-funded programmes such as the NUFU and NOMA in order to develop and redefine their role and modalities of work. For this reason, there is a need to move beyond the traditionally focused capacity building, with the individual researcher/student in focus, toward a capacity building with a more comprehensive and holistic approach towards education and research.



## 2. Methodology and Analytical Framework

The findings in this report are structured according to the *key evaluation issues* as they are laid out in the evaluation framework<sup>4</sup>. Other instruments such as the interview guide used throughout for structured and semi-structured interviews also reflect the evaluation issues and framework.

Prior to the field study, June 7 - 16, 2009, the Team had collected - mainly from Norwegian Centre for International Cooperation in Higher Education (SIU) - and reviewed relevant *project and other documents*. Additional documentation was collected during the visit.

A detailed *visit programme* had been prepared by the evaluation team's Nepali member, with the proviso that changes may have to be made at short notice if strikes and street actions were to interfere with the programme. During most of the stay the Team managed to follow the prearranged programme with only minor delays and adjustments. Some appointments could be covered by foot while a larger debriefing at TU had to be covered by mailing the debriefing note, and subsequent telephone and personal follow-up.

The *stakeholders interviewed* during the visit included Norwegian Embassy representatives, university leaders, institutional contacts for the NUFU and NOMA programmes and coordinators of these, former and currently involved staff, researchers and students/former students, as well as people representing industry and other possible employers and representatives of the labour market. Interviews were undertaken as single *individual or group interviews*.

Several project coordinators had arranged for *self-evaluation using SWOT* prior to the Evaluation Team's arrival. A group of 11 at TU representing both NUFU and NOMA projects requested assistance in facilitating a SWOT workshop and two team members undertook the facilitation.

During the visit information and advice on how to manage the e-survey questionnaire were exchanged. Data from the different sources have continuously been used to *validate and triangulate information*.

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<sup>4</sup> See Inception Report, April 2009

## 3. Findings

### 3.1 Capacity Building

The contribution by both the NUFU and NOMA programmes to capacity building has been impressive, as widely recognized and indicated by the number of graduates educated.

Capacity building has, however, primarily been focusing on the individual researchers in the South, less and only marginally so on administrative and professional staff (laboratory technicians), and on those administering the cooperation programmes.

In addition, some capacities have been strengthened through minor provisions for libraries, book purchases, laboratory equipment and the purchase of computers.

Strengthening capacities within research management is an area not targeted in current programmes, but during interviews frequently requested to be included. Contribution to capacity building beyond the individual researcher, and including the wider research environment, is an area that should be considered added in both NUFU and NOMA modalities of operation, also in order to make the support more holistic and comprehensive, and through this even more sustainable.

Capacity building within research collaboration, where Northern and Southern partners join forces both in conducting research and publishing research results, has been rather limited. Ways and means for strengthening this aspect should be considered taking into consideration, in particular, how to mitigate those factors at Norwegian universities that work against such greater involvement.

Research outputs by Nepalese researchers – in certain cases also including Norwegian partners as co-authors – have increased over the years, but there is still some way to go before research results are published in international, well-renowned refereed journals, as most publications are currently in local/regional journals or edited volumes.

Yet, it is generally acknowledged that the capacities built, in particular within the NUFU programme, have greatly assisted in providing individual researchers and their institutions with international exposure, as witnessed by invitations to take part in international conferences and present papers, as well as the opportunities established through the South-South partnerships.

The difficulties experienced in continuously attracting Norwegian researchers to take an active and more lasting role in research partnerships with Nepalese researchers are indicators that the sustainability of this part of the capacities built may be at risk.

Another difficulty experienced, in particular in the NOMA programme, is a relatively weak interest in being enrolled in study programmes, even if such opportunities have been widely announced in local Nepalese newspapers. Such difficulties have, for example, been experienced for some of the more technically-oriented programmes with the engineering faculties while, contrary to that, the new Master Programme in Peace, Conflict and Development has received an overwhelming response.

### **3.2 South-South and South-South-North Cooperation**

Several partners from the South outside of Nepal are included in both the NUFU and NOMA programmes, including partners from countries such as Zambia, Sri Lanka, China, Pakistan, and Afghanistan.

The selection of partners and partner countries does not always seem to reflect strategic options and considerations, but in a number of cases they are seemingly added - sometimes rather late in the process - due to vacancies for required international student enrolment in programmes, or due to priorities related to Norwegian country aid programming. The above applies to a lesser degree to NUFU projects than to NOMA projects that seek to encourage regional cooperation to a larger extent.

Contrary to what was found in the case of Ethiopia, only few partnerships have been established due to the Norwegian partner institutions having prior links or established relations with the countries/institutions in question.

In consequence, the added value of such South-South partnerships seems limited, as the partnering has mostly consisted in the participation of students from countries outside Nepal in Master courses, while other forms of partnership, such as staff exchange, joint teaching and research, experience learning, and joint capacity development have lagged behind.

The South-South cooperation currently seems more to add to already existing activities, rather than bringing in new turns and directions or activities to the programmes.

Neither do initiatives for establishing partnerships South-South seem to originate from the South, as based on needs, prior experience or particularly expressed wishes and priorities.

As long as the South-South-North collaboration is not better strategized and built on clearly identified added value from partnering, both for receiving and sending institutions, the concept remains rather more ideological and theoretical than realistic and effective.

Both for the NUFU and NOMA programmes, South-South cooperation and South-South-North cooperation are still largely an underexplored opportunity, rather than a newly established, promising and effective means of collaboration.

#### **Box 3.2.1 Different models of partnership**

Different *models of partnerships* have been studied by a group of Nepali and Norwegian researchers involved in the programme on Child Health and Nutrition. The *principles of desirable partnership* models that would promote sustainable, relevant and usable research have been proposed. These may include

- Partners should decide on the objectives together
- Partnership should be built on mutual trust
- Partners should develop networks to share information
- There should be transparency in financial dealings
- There should be a mechanism for periodic evaluation and monitoring of collaboration
- Partners must disseminate the results of research, apply them and share in profits equitably
- Partnership should lead to increase in research capacity of partners and further build on the past achievement
- Strengthening the capacity for conducting socially relevant research should be a specific aim of the partnership
- The Northern partner should be prepared to relinquish control and to accept considerable autonomy on the part of the Southern partner

After: Adhikari, Shresta and Strand: NUFU programme at Institute of Medicine, Tribhuvan University, Nepal: Impact on institutional development, May 2009

### **3.3 Management and Administration**

Partners in the South derive their administrative and management experience mostly from relating to their Norwegian counterpart, less so to SIU with which they seldom interact directly.

In a few cases, either through having had a NFP or through a bilateral Norad project (for instance within the energy sector), have partners had experience from working directly with Norad which, compared for instance to the present NOMA set-up, is often preferred. Preference is, for instance, expressed in relation to Norad programmes having had greater flexibility, less bureaucracy and more easy administrative formats to adhere to, and even having been more in tune with expressed needs. Considering that the NOMA concept is in its early phase, in some cases more or less being piloted, an overhaul of the modality is pertinent - that also includes the financing/scholarship model - discussing a scholarship 'basket-funding' modality without adopting the Paris Declaration approach and without losing the Norwegian touch completely by joining hands with other donors.

Contributing to a perceived relatively well-functioning partnership constellation, also when it comes to administration and management, is the body of students having received their Ph.D. education in Norway (and to a lesser extent their Masters in Norway), where supervisors have taken an interest in applying for either a NUFU or NOMA programme together with their former students.

In other cases, Norwegian individuals, who have been involved in Nepal for years in practical development work or within the private sector, have prompted that partnerships have evolved including universities, subsequently leading to applications for funding for NUFU and/or NOMA programmes. A case in point seems to be the involvement of Norwegian researchers/consultants in water management or hydro-power development in Nepal.

Despite the perceived complex organizational landscape behind Norwegian development aid the general opinion expressed by partners is that administration is generally smooth and effectively handled by their Norwegian counterparts. The Team has, however, noted that some Nepali partners refer to their Norwegian partner as ‘imperialistic’, ‘imposing’, and practicing control and lack of flexibility to the extent that the further collaboration may be jeopardized and programme discontinued. It is not always clear whether such problems relate to modality for a specific programme - NOMA in particular - or whether they are personally related disagreements. This is another argument for giving the NOMA modality an overhaul.

Formal Steering Committees are generally in place and regular meetings held, where progress in programmes is monitored and decisions on future directions are taken jointly.

The electronic handling of report formats is repeatedly mentioned as difficult and cumbersome, in cases coupled with difficulties in accessing the formats, power cuts and restrictions on internet access add to the problems.

However, having had the opportunity of looking through reporting formats completed for most of the programmes, the Evaluation Team finds that these are often routinely and rudimentarily filled in, leaving plenty of open space that could constructively be used for better organizational learning and feedback. Although a more committed and reflective way of filling in the formats may not reduce the work loads, still it is recommended that an effort be made in order to foster an improved and more effective use of the reporting system. It is not always clear how the set reporting formats contribute to monitoring and evaluation of the programmes, especially in the perspective that Southern partners rarely receive feedback on their reports or evaluations.

### 3.4 Synergy Effects

NUFU and NOMA programmes may exist in parallel or in one or two cases, a NOMA programme has sequentially followed a NUFU programme<sup>5</sup>, but in either case it is not obvious that maintaining two distinct programmes adds to synergy or complementarities. Due to the modalities of the current periods, opportunities for combining the two programmes and exploiting synergy effects have been limited in Nepal.

However generally, respondents do not see any value added from keeping the NUFU and NOMA programmes distinct, each with own Board and separate mandates and

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5 A NUFU programme was followed by NOMA in Institute of Engineering (IOE), TU. The NOMA programme, (NOMA 2007/10041) “Master programme in sustainable water and sanitation, health and development”, followed after the NUFU programme of Phase I, “Post Graduate Research Collaboration at IOE, Tribhuvan University and NTNU” was over.

modalities of operation, quite the contrary. Merging the two programmes is mostly perceived as likely adding to flexibility, viability and administrative efficiency. (The modalities for how to amalgamate the programmes in an optimal way are beyond the capacity of the Evaluation Team, but some parameters will be discussed in our synthesis report.)

A number of other donor programmes exist, which also fund research collaboration, but, with a few exceptions, examples of synergies are not many.

One such exception seems to be the Institute of Medicine with its rather long-lasting (13 plus 2 years) NUFU programme on Child Health and Nutrition. As a result of the capacities generated over the years both in regard to educating post-graduates and conducting and publishing joint research, the Institute has gained international recognition for the quality of the research conducted, its staff and its general capabilities, resulting in increasingly being an attractive partner for a variety of institutions, such as Johns Hopkins University, WHO, UNICEF and Gates Foundation.

Similarly the NUFU programme and the collaboration with the Norwegian partner institution in Bergen (Centre for International Health) have resulted in building capacities and fostering relevant and well published research, but it has also occasionally brought in new partners, such as Department of Anthropology and Geography in Bergen.

Another potentially rich source of synergy, yet to be fully explored, is within the water management and hydropower development area. The engineering departments at both TU and KU have NOMA-funded Master programmes within related fields and with a certain overlap, and both have enrolled students coming from the hydropower sector. In addition the private sector, for example Butwal Power Company or HydroLab in Nepal, is keen on fostering tighter partnerships both within research and with regard to affecting curriculum development and relevance of studies at the two universities in order to meet future labour market needs. In addition, in its bilateral aid programme Norad is giving high priority to the energy sector also in Nepal, while Norwegian researchers and consultants both at NTNU and Stiftelsen for industriell og teknisk forskning (SINTEF), private Norwegian consulting firms or working through international networks, are actively engaged in hydropower development. At present, the many actors and the variety of interests and stakeholders within this sector seem to be running in parallel and without a more structured attempt at optimising synergy effects.

Synergies established with Norwegian bilateral aid programmes are mostly not referred to, even if NUFU or NOMA support - as mentioned - is going into sectors also receiving high priority in the Norwegian Embassy's bilateral aid. Contacts with the Norwegian Embassy in Kathmandu seem to have been informed, but not directly engaged, even if the Embassy sees a significant potential for enhancing the programmes through a more formalised cooperation.

Although the Norwegian Embassy does not have a mandate or a formal role to play in relation to the NUFU and NOMA programmes, some more agreed upon forms of cooperation and information sharing would possibly be helpful for fostering greater synergies. These could be in the form of assistance to new calls, facilitation of information sharing between eligible institutions etc.

### 3.5 Decision-making Processes and Transparency

The NUFU and NOMA Agreements clearly stipulate that overall responsibility rests with the Norwegian partner/partner institution, including the responsibility for monitoring progress, addressing problems arising, conducting the financial reporting, being responsible for overall good management of the funding, etc. Although this obviously constitutes an unequal distribution of tasks and responsibilities, in most cases this is by Southern partners not regarded as a big problem, as the partnership constellations are most often conducted in consent, agreement and with a general appreciation of the inputs from the North.

Similarly, the budget allocations to the Northern and Southern partners respectively are often balanced unequally to a certain extent reflecting differences in cost levels in the two regions. However, in a number of cases the inequality and the imbalance in budget allocations reach beyond such cost considerations, as the NUFU and NOMA programmes, based on one of the team member's previous experience, seem to have resulted in the building up of rather heavy administrative and organisational units within a couple of the Norwegian partner institutions, in particular at NTNU and at the University of Life Sciences (UMB). By partners in the South this is not always seen as fair or well justified - in particular when the professional input from the Northern partner is experienced as being very limited - and questions the overall motivation for being involved in the supported programmes.

In quite a few cases heavy reservations are expressed towards these and other built-in inequalities, which to Southern partners indicate a lack of trust, hampering local ownership and sustainability of programmes.

#### Box 3.5.1 Need for management training in forming partnerships

Sporadic but frequently heard complaints about unbalanced partnerships between Nepalese and Norwegian partner institutions point to a need for *management training in forming partnerships* amongst both the Southern partners and the Norwegian partners. Some of the large Norwegian institutions have long-lasting experience in North-South collaboration. The pros and cons are obvious, but intercultural familiarity does not automatically foster intercultural understanding and capacity to transfer decision-making power to the weaker partners (see Box 3.2.1)

Greater transparency in decision-making processes both at SIU, the NUFU and NOMA Programme boards and at the level of Norwegian partners/partner institutions is an often expressed need which, however, so far has not resulted in major changes.

A similar request often expressed – and repeatedly discussed at regional NUFU or NOMA meetings – is to introduce more decentralized administrative and decision-making structures, leaving a greater say to the Southern partners.

While the NUFU and NOMA support in the past may have been very valued, effective and appreciated forms of collaboration and support, responding to needs and abilities for handling the programmes, with the capacities now built and with the new trends in international aid provisions (following the Paris Declaration) time may be ripe to review and revise the current practice.

Rather than primarily supporting the individual researcher and the individual department, taking a more holistic view on capacity building and research management could lead to more comprehensive and more relevant and effective forms of support, possibly in the form of block grants rather than individual scholarships.

Considering the many reservations towards the current modality of support and collaboration – despite its virtues – it should be considered to make a more thorough and ground breaking review of the NUFU and NOMA programmes and their administrative structures with a view to creating a more comprehensive, decentralized and demand-driven structure which could foster greater ownership and sustainability.

### 3.6 Relevance to Nepal and to Norwegian Institutions

Generally, the relevance of both programmes seems to be high. Considering current political and financial uncertainties in Nepal, programmes such as NUFU and NOMA are indispensable for maintaining a certain quality standard of educational programmes and research.

The relevance of the NUFU and NOMA programmes is also supported by the few interviews conducted with representatives of the private sector and a main international research organization located in Kathmandu (ICIMOD).

The numerous research projects carried out, in particular, under the NUFU programme which have a clear applied orientation also indicate the relevance of the programmes.

#### Box 3.6.1 'Basic' or 'applied' research?

Assessing the relevance of specific master programmes and research projects is often phrased in terms of these being 'basic' or 'applied' by people interviewed whether within or outside the two universities. This is commonly phrased as a request for more applied perspectives in the master courses and in research, with little critical reflection of the implications for strategic perspectives, required facilities and staff competencies.

In a few cases, the relevance of the programmes supported is attempted to be strengthened by making curricula and studies more interdisciplinary. This seems, however, generally more to be a stated objective rather than one effectively incorporated into curricula and course programmes/course material/literature, as interdisciplinary issues are more add-ons to courses, and often marginally so, rather



than directly integrated. The result is a yet not fully utilized opportunity for strengthening the relevance of programmes.

The future employment situation in Nepal is at best insecure with main risks of either unemployment or attempts to find employment abroad resulting in brain drain. The insecure future employment scenario in Nepal makes the issue of constantly reviewing and revising curricula and study formats pertinent, but also requires that universities are pro-active in supporting synergies and linking up with external partners. According to interviews conducted and impressions generated by visits to departments, KU seems better suited, and to have come much further than TU in addressing such challenges, due to their closer links with the private sector.

Relevance of and to Norwegian institutions is less obvious as well as motivations of being involved, although a number of cases illustrate that conducting high quality research (for instance within health) is relevant and possible and may provide excellent opportunities for meeting demands also at home institutions for publications and other output related measures.

#### **Box 3.6.2 Multidisciplinary courses?**

The demand for multidisciplinary courses is frequently expressed and is also reflected in curriculum (e.g. in MSc programme in Hydropower Development; and in MSc in Sustainable Water Sanitation, Health and Development). However, the approach to pursue multidisciplinary in-house or from external supervisors needs critical assessment. The role of the Norwegian partners in facilitating multidisciplinary is reported to vary tremendously - something to reconsider in future.

### **3.7 Gender Issues**

Gender balance is constantly a problem of the supported programmes, in particular within the NUFU programmes.

But achieving a better gender balance in studies is also a challenge for NOMA funded Master programmes, particularly the more technically oriented (Engineering, Forestry), although small improvements can be observed over time.

Unfortunately 'gender' is treated only as a question of 'counting female heads' - students, coordinators, administrative personnel. Yet many programmes obviously provide great opportunities for 'gender mainstreaming' (water, energy, conflict, environmental education...). With a few good practice exceptions, it is clear that there have been limited efforts in integrating gender issues into curriculum and research. Since 'gender' is a very relevant entry point in many programmes - and is given high priority in both NUFU and NOMA modalities, a more concerted effort at building 'gender analysis capacity' is required. Experience from the world proves that males are also appreciative of the gender perspective once it has been demystified and some simple tools have been provided. This needs to be promoted in the NUFU and NOMA programmes as a complement to the practice of head counts.

### Appendix 1: NUFU/NOMA Portfolio Nepal

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
<b>Katmandu University</b>	Norwegian University of Life Sciences (UMB)	Master Programme in Environment Education and Sustainable Development	NOMA-2007/10037			X	5,324,557
	Norwegian University of Science and Technology (NTNU)	Master of Engineering in Electrical Power Engineering	NOMA-2007/10039			X	4,294,200
		Education, Research and Training for Sustainable Management of Natural Resources in Himalayan Watersheds	NUFUPRO-2007/10109	X	X		5,274,000
<b>Tribhuvan University</b>	Norwegian University of Life Sciences (UMB)	Master programme in Conflict, Peace building and Development	NOMA-2006/10019			X	6,000,000
		Master programme in Sustainable Water and Sanitation, Health, and Development	NOMA-2007/10041			X	5,918,732
		Post Graduate Research Collaboration at IOE, Tribhuvan University and NTNU	#N/A	X			5,951,000
	Norwegian University of Science and Technology (NTNU)	Spatial and seasonal variation in solar radiation and aerosol concentrations and compositions in urban and rural sites of Nepal and Tibet	NUFUPRO-2007/10193		X		5,996,100
		MSc Programme in Hydropower Development	NOMAPRO-2006/10030			X	4,304,000

University	Partner university	Project	Project reference	NUFU 2002-2006	NUFU 2007-2012	NOMA	Project allocation NOK
		Local Effects of Large-scale Global Changes: A Case Study in the Himalayas, Nepal	NUFUPRO 04/2002	X			3,246,000
		Programme to improve child health and nutrition in South Asia	NUFUSM-2007/10177	X	X		6,167,400
<b>Tribhuvan University</b>	University of Bergen (UIB)	Governance Matters: Assessing, Diagnosing, and Addressing Challenges of Governance in Nepal	NUFUPRO-2007/10130		X		2,970,000
		Regional Master programme in Biodiversity and Environmental Management	NOMA-2007/10036			X	5,407,250

## Appendix 2: Nepal Country Programme

June 2009	Activity	Remark
7 <sup>th</sup> Sunday	Arrival of the Team - morning 8:30 Arrival of Team Leader at noon time 12:30	Meeting of Team Members, in the afternoon. Discussion on programme and reaching a common understanding of the assignment by all team members.
	16:00 Team Meeting	How to proceed in the day-to-day activities during the mission's stay in Nepal – including division of work, reporting and practicalities.
8 <sup>th</sup> Monday	10:30 – 11:30 Meeting with Ms Kristine Storholt and Mr Einar Rystad - Minister deputy, at Norwegian Embassy	Courtesy visit and Exploring the involvement of Embassy in the NUFU and NOMA programmes, their impressions, and any other similar programme (in higher education and research) supported by the Embassy.
	13:00 – 14:00 Meeting with Vice Chancellor Dr Madhab Prasad Sharma, Rector Dr Soorya Lal Amatya and Registrar Dr Bhima Raj Adhikaree, Tribhuvan University, at Kirtipur	Courtesy visit and exploring the vision of the university in terms of sustaining excellence in higher education and research, producing required human resources for the future in the country, result of NUFU and NOMA support in general, future plans to continue the programmes developed with the support of NUFU and NOMA.
	14:00 – 15:00 Meeting with Dr. Mukunda Gajurel, Executive Director, CIR, TU and Contact Person for NUFU and NOMA, at Kirtipur	Discussion on the performance of NUFU and NOMA programmes under Tribhuvan University, Support from any other donors to the University, what has been the general employment trend in terms of the graduates of the programmes.
	15:00 – 16:30 Visit to Central Department of Botany (CDB), Meeting with Dr Ram P. Chaudhary, NUFU and NOMA programme coordinator, Dr Krishna K. Shrestha, Head of the Department, CDB, Kirtipur. NOMA – Masters level students	Discussion about the NUFU programme (2002-06) “Local effects of large-scale global changes: A case study in the Himalayas, Nepal” and NOMA programme (NOMA-2007/10036) on “Regional master programme in Biodiversity and Environmental Management”.

<b>June 2009</b>	<b>Activity</b>	<b>Remark</b>
9 <sup>th</sup> Tuesday	8:30 – 11:30 Visit to Public Administration Campus, Meeting with Dr Tek Nath Dhakal, NUFU programme coordinator and some PhD students	Discussion about the NUFU programme (NUFUPRO-2007/10109) “Governance matters: Assessing, diagnosing, and addressing challenges of governance in Nepal”.
	14:00 – 15:30 Visit to Institute of Engineering, Pulchok, Meeting with Mr Ishwor Man Amatya, NOMA programme coordinator, Mr Mahesh Bhattarai, former NOMA coordinator and Dr Bhagwan Ratna Kansakar	Discussion about the NOMA programme (NOMA-2007/10041) “Master programme in sustainable water and sanitation, health and development” and NUFU Phase I programme (reference N/A) “Post Graduate Research Collaboration at IOE, Tribhuvan University and NTNU”
	16:00 – 18:30 Visit to Global College, Meeting with Dr Saubhagya Shah, NOMA programme coordinator and Dr Ramesh R. Kunwar. Interaction with Master students	Discussion about the NOMA programme (NOMA–2006/10019) “Master programme in conflict, peace building and development”
10 <sup>th</sup> Wednesday	10:30 – 12:00 Visit to Institute of Engineering, Pulchok, Meeting with Dr Narendra Man Shakya, NOMA programme coordinator and Dr Durga Sangraula, Campus Chief	Discussion about the NOMA programme (NOMAPRO–2006/10030) “MSc programme in hydropower development”
	14:00 – 16:00 at Hotel Himalaya, Meeting with Mr M. K. Balla, NUFU programme coordinator, (Professor from Institute of Forestry (IOF), Pokhara)	Discussion about the NUFU programme (2002-06) “Education, research and training for sustainable management of natural resources in watershed of Nepal” and NUFU programme (NUFUPRO–2007/10109) “Education, research and training for sustainable management of natural resources in Himalayan watershed”

June 2009	Activity	Remark
	8:45 Departure from the Hotel for Kathmandu University, Dhulikhel, arrival at 10:00	
	10:00 -11:00 Meeting with Vice Chancellor Dr Suresh Raj Sharma and Registrar Dr Bhadra Man Tuladhar of Kathmandu University	Courtesy visit and exploring the vision of the University in terms of sustaining excellence in higher education and research, producing required human resources for the future in the country, result of NOMA support in general, future plans to continue the programmes developed with the support of NOMA.
	11:00 -13:00 Meeting with Dean Dr Bhola Thapa and NOMA programme coordinator Mr Brijesh Adhikari, School of Engineering, Kathmandu University (Team splits into two. Team A: HSM, BHM)	Discussion about the NOMA programme (NOMA-2007/10039) "Master of Engineering in electrical power engineering"
	11:00 – 13:00 Meeting with Master's Students (Team splits into two. Team B: RKR, BBH)	Interaction with the students
	13:15 – Lunch and then travel back to Kathmandu	
	16:30 – 17:30 Meeting with Dr Madhav Karki, Deputy Director General, ICIMOD	Discussion about the future employment opportunities for the NUFU – NOMA graduates.
	18:00 – 19:00 Meeting with Mr Devi P. Dahal, Deputy general Manager-CSD, Butwal Power Company	Discussion about the perspective of private sector in employing NUFU-NOMA graduates and collaboration of private sector in the education programme.

11<sup>th</sup> Thursday

<b>June 2009</b>	<b>Activity</b>	<b>Remark</b>
12 <sup>th</sup> Friday	10:00 – 12:30 Visit to Kathmandu University Complex at Gwarko, (Education Faculty), Meeting with Mr Laxman Gnawali, NOMA programme coordinator, Dean Dr Mana P. Wagley, Dr Tank N. Sharma (Team members: BHM, BBH)	Discussion about the NOMA programme (NOMA-2007/10037) “Master programme in environmental education and sustainable development”
	12:30 – 13:15 Meeting at Kathmandu University Complex at Gwarko with Dr Subodh Sharma, contact person from Kathmandu University (one of the consortium partners) and coordinating with NOMA programme on Environmental Education from School of Environmental Science (Team members: BHM, BBH)	Discussion about the NUFU programme (NUFUPRO-2007/10109) “Education, research and training for sustainable management of natural resources in Himalayan watershed” and NOMA programme (NOMA-2007/10037) “Master programme in environmental education and sustainable development”
13 <sup>th</sup> Saturday	13:15 – 14:15 Meeting/interaction with Master students (Team members: BHM, BBH)	Discussion about the NOMA programme (NOMA-2007/10037) “Master programme in environmental education and sustainable development”
	16:30 – 18:00 Visit to Institute of Medicine, Maharajgunj, Meeting with Dr Ramesh K. Adhikari (former Dean), Department of Child Health, IOM (Team members: HSM, BBH)	Discussion about the NUFU programme (NUFUSM-2007/10177) “Programme to improve child health and nutrition in Nepal”.
13 <sup>th</sup> Saturday	10:00 – 12:00 Meeting with Dr Bal Krishna Sapkota, NUFU programme coordinator and Dr Binod Bhattarai, G Block, Science Department, IOE, Pulchok (Team members: RKR, BBH)	Discussion about the NUFU programme (NUFUPRO-2007/10193) “Spatial and seasonal variation in solar radiation and aerosol concentrations and compositions in urban and rural sites of Nepal and Tibet”
	12:00 – 13:00 Meeting/interaction with PhD students (Team members: RKR, BBH)	Discussion about the NUFU programme (NUFUPRO-2007/10193) “Spatial and seasonal variation in solar radiation and aerosol concentrations and compositions in urban and rural sites of Nepal and Tibet”

June 2009	Activity	Remark
14 <sup>th</sup> Sunday	11:00 – 12:00 Visit to Institute of Engineering (IOE), Pulchok, Meeting with Dr. Babu Ram Bhattarai, Dean, Campus Chief Dr Durga Sangraula	Discussion about NUFU and NOMA programmes under Institute of Engineering in general (NUFUPRO-2007/10193; NOMAPRO-2006/10030; NOMA-2007/10041) and NUFU (2002-06)
14 <sup>th</sup> Sunday	12:00 – 13:00 Meeting with Mr Ram Chandra Sapkota, Head – Renewable Energy Programme; Mr Purushottam Shrestha, Civil Engineering Department; Mr Nagendra B. Amatya, Department of Engineering Science and Humanities, at Institute of Engineering (IOE), Pulchok,	Discussion about other masters programme which is running without the support of NUFU-NOMA
15 <sup>th</sup> Monday	14:00 – 15:30 Debriefing Session at Norwegian Embassy with Ms Kristine Storholt, second secretary and Mr Dag Nagoda, second secretary	
16 <sup>th</sup> Tuesday	9:00 – 11:00 Team Meeting Departure of HSM, BHM and RKR	

**Team Members:** HSM: Henrik S Marcussen; BHM: Britha H Mikkelsen; RKR: Rolf Kromand; BBH: Binod Bhatta



## Annex 3: List of persons met

### Ethiopia

Name	Institution	Position
Ms Bente Nilson	Royal Norwegian Embassy Addis Ababa	Counsellor/Head of Development Cooperation
Mr Ashenafi Gizaw Beyea	Royal Norwegian Embassy Addis Ababa	Programme Officer
D. Wagari Deressa	Department of Community Health/School of Public Health, AAU	NUFU Project Coordinator
D. Gobena Ameni	Aklilu Lemma Institute of Pathobiology, AAU	NUFU Project Coordinator
M. Mengishu Legesse	Aklilu Lemma Institute of Pathobiology, AAU	PhD student
M. Gezahegne Mamo	Aklilu Lemma Institute of Pathobiology, AAU	PhD student
PhD, Ass. Prof., Brook Lemma	AAU	Director, Research Programmes, Institutional Contact Person
Prof. Andreas Eshete	AAU	President
Prof. Sileshi Nemomissa	Department of Biology, AAU	NUFU Project Coordinator
Prof. Tirusew Teferra	College of Education, AAU	NUFU Project Coordinator
PhD, Ass. Prof. Fetien Abay	Mekelle University	NUFU Project Coordinator
Dr Yemane Tsehane	Mekelle University	PhD Student
Ms Sarah Tewelde- Berhan	Mekelle University	PhD Student
Mr Mulubrhan Haile	Mekelle University	PhD Student
Mr Deiene Kassahun	Mekelle University	PhD Student
Dr Hiwot Kindeya	Mekelle University	Institutional Contact Person, Academic Vice President
Dr Kedir Abdelkader	Mekelle University	Vice President of Research
Mr Gebremedhin Yihdego	Mekelle University	NOMA Project Coordinator

<b>Name</b>	<b>Institution</b>	<b>Position</b>
Mr Alem Araya	Mekelle University	NOMA Project Coordinator
Mr Michael Tsegay	Mekelle University	MA Student, NOMA
Mr Guitum Abera	Mekelle University	MA Student, NOMA
Ms Kiros Habtu	Mekelle University	MA Student, NOMA
Dr Miteku Haile	Mekelle University	President
Dr Admasu Tsegaye	Hawassa University	President
Dr Sheleme Beyene	Hawassa University	Vice President for Academic and Research
Mr Ato Bekele Bulado	Hawassa University	Vice President for Administration and Development
Dr Andargachew Gadebo	Hawassa University	Representing Dr Yewelsew Abebe Associate Vice President for Research and Extension and Publication
Dr Elias Dabebo	Hawassa University	NUFU Project Coordinator
Dr Endalkachew Wolde-meskel	Hawassa University	NUFU Project Coordinator
Dr Ayele Taye	Hawassa University	Dean, Natural Science Faculty
Dr Fikre Dessalegn	Dilla University	Academic and Research Vice President
Dr Gurja Belay	AAU	Head of Biology Department
Dr Ing Girma Berhanu	Civil Engineering Department, AAU	NUFU Project Coordinator
Prof. Getachew Tilahun	Akililu Lemma Institute of Pathobiology, AAU	Director
Dr Muluemebet Zenebe	Institute of Gender Studies, AAU	NUFU Project Coordinator
Dr Emebet Mulugeta	Institute of Gender Studies, AAU	NUFU Project Coordinator
Prof. Baye Yimam	AAU	NUFU Project Coordinator
Dr Degefa Tolossa	AAU	NOMA Project Coordinator
Prof. Zerihun Woldu	AAU	Department of Biology
Dr Amare Gessesse	AAU	NUFU Project Coordinator
Mr Addis Sineshaw Ashenafi	AAU	PhD Student
Mr Baye Sitotaw Mersha	AAU	PhD student
Mr Mesfin Tafesse Gameda	AAU	PhD student

Name	Institution	Position
Dr Mulugeta Fessaha	AAU	Director, College of Development Studies
Dr Muluneh W. Tsadik	AAU	NUFU Project Coordinator
Prof. Tsige Gebremariam	AAU	Vice President for Graduate Studies and Research

## Malawi

Name	Institution	Position
Prof. Zimani Kadzamira	University of Malawi	Vice Chancellor
Prof. Leonard Kamwanja	University of Malawi	Pro-vice chancellor
Mr Ben Malunga	University of Malawi	University Registrar
Mr Smith Masuso	University of Malawi	Internal Auditor
Mr Tarzius Nampota	University of Malawi (UM)	Deputy University Registrar
Professor Saka PhD	Department of Geography (UM)	NUFU Project Coordinator
Dr Timothy Bizwick	Department of Chemistry (UM)	Deputy Head
Dr Samson Sajidu	Department of Chemistry (UM)	NUFU project participant/researcher
Dr Blackwell Manda	Department of Geography (UM)	Deputy Head, NUFU project participant/researcher
Bonface Chimwaza	Employee of the Ministry of Lands and Natural Resources	NUFU project MSc candidate
Mr Cosmos Ngongondo	Department of Geography (UM)	PhD candidate
Mr Kapulula	Department of Sociology (UM)	Head of Department
Mr Collen's Kaiuma	Not employed	NUFU PhD student
Dr Emmanuel Fabiano	University of Malawi	Principal of Chancellor College
Mr Peter Nakoma	University of Malawi	Finance officer of Chancellor College
Professor Pascal J. Kishindo	University of Malawi	NUFU Project Coordinator Director of the Research Centre for Languages
Professor Chris Kamlongera	University of Malawi	Dean of Faculty of Humanities
Dr Mario Thodi	Department of Fine and Performing Arts (UM).	NUFU project team member
Mr Alick Bwanali	Department of Fine and Performing Arts (UM).	PhD candidate

<b>Name</b>	<b>Institution</b>	<b>Position</b>
Miss Jean Chavura	Department of Fine and Performing Arts (UM).	PhD candidate
Mr Ahmmardouh Mjaya	Department of Fine and Performing Arts (UM).	PhD candidate
Mr Mathews Msokera	Department of Fine and Performing Arts (UM).	Computer technician, NUFU project
Mr Francis Botha Njaya	Department of Fine and Performing Arts (UM)	Research assistant, NUFU project
Professor Moses Kwapata	Bunda College of Agriculture (UM)	NUFU Project Coordinator
Dr Weston Mwase	Bunda College of Agriculture (UM)	Head, Department of Forestry and Horticulture
Mr Christopher Malemba	Bunda College of Agriculture (UM)	College Finance officer
Dr James Bokosi	Bunda College of Agriculture (UM)	Local supervisor of former NUFU supported PhD student
Dr Mannex Mwandumba	Bunda College of Agriculture (UM)	Deputy Head, Department of Agricultural and Applied Economics
Dr Martin Gulule	Bunda College of Agriculture (UM)	Lecturer in Science Education, Deputy Dean in the faculty currently hosting NOMA programme for Masters students
Dr Joyce Njoloma	Bunda College of Agriculture (UM)	Senior Lecturer in Agroforestry, Acting Dean of Faculty of Environmental Science.
Mr Yanira Mtupanyama	Ministry of Environmental Affairs	PhD candidate,
Mr Joseph Phoso	Bunda College of Agriculture (UM)	Assistant Registrar
Mr Thomas Woldu	Bunda College of Agriculture (UM)	NOMA student : Malawi
Mr Asimwe Wanson	Bunda College of Agriculture (UM)	NOMA student: Uganda
Mr Duncan Ndlhovu	Bunda College of Agriculture (UM)	NOMA student: Malawi
Mr Isaac Jambo	Bunda College of Agriculture ((UM)	NOMA student: Malawi
Ms Unni Poulsson	Royal Norwegian Embassy Malawi	Counsellor – Deputy Ambassador
Mr Augustine Chikuni	Royal Norwegian Embassy Malawi	Programme Officer

<b>Name</b>	<b>Institution</b>	<b>Position</b>
Dr Ken Maleta:	UM	NUFU Project Coordinator
Dr Steven Taulo	UM	Former PhD student under NUFU programme
Dr Charles Masangano	UM	Dean, Faculty of Development Studies Extension Department, NUFU project researcher
Mr Chikondi Mwendera	Polytechnic (UM)	Lecturer, NUFU PhD candidate
Mr J.D. Chingoda	UM	NUFU PhD candidate
Mr Joe Chimwenje	Chancellor College (UM)	Senior Lecturer, NUFU PhD candidate
Mr Kingsley Masamba	UM	NUFU project researcher
Mr Jonathan Tanganyika	Bunda College (UM)	Staff Associate
Mr Chikondi Mwendera	Polytechnic College (UM)	Lecturer/researcher
Mr Justice Dunstan Chingonda	UM	PhD student
Mr Kingsley Lungu	Polytechnic College (UM)	Lecturer/researcher
Mr A.C. Mlowoka	Bunda College (UM)	Ass. Technician
Mr Harry D.C Msiska	Bunda College (UM)	Senior lecturer/researcher
Mr Happy Kayuni	Chancellor College (UM)	Lecturer, former NUFU Master Student
Dr Paul Kishinda:	Chancellor College (UM)	Lecturer, Rural Sociology & Development Studies
Dr Peter Mvula	Chancellor College (UM)	Research Fellow
Dr Chinsinga	Chancellor College (UM)	NUFU Project Coordinator
Mrs Chikapa Jamali	Chancellor College (UM)	Lecturer, Department of Social Studies
Dr Asiyati Chiweza	Chancellor College (UM)	NOMA Project Coordinator Head, Department of Political and Administrative Studies

<b>Name</b>	<b>Institution</b>	<b>Position</b>
Mr Daniel Sagawa. Mr Petro Kawala Mr Wellington Katantha Mr Yamikani Chitete Ms Emma Bello, Mr Aubrey Kabisala Mr David Kayuni Mr Evarlisito Msompha Mr Peter Elesani Mr Henry Chilobwe Mr George Mhango Mr Kelvin Ngwira, Mr Clemence Alfazema, Mr Manfield Nyirongo Ms Eleanor Kainga	Chancellor College (UM)	First year MA students Political Science, Department of Political and Administrative Studies (NOMA)
Mrs Annie Thindwa- Kalebe Mr Andre-Christiana Malombera Ms Stella Kalengamaliro Mr Andrew Mpesi Mr Joseph Chunga Mr MacLan Kanyang'wa Mr Amon MIUMira Mr John Minofu Mr Boniface Maere Mr Ernest Thindwa, Mr Vitima Mkandawire	Chancellor College (UM)	Second year MA students Political Science, Department of Political and Administrative Studies (NOMA)
Professor Alex Sambo	Chancellor College (UM)	Vice Principal – Chancellor, Independent Observer
Dr Maureen Chirwa	College of Nursing (UM)	NUFU Project Coordinator, Vice Principal
Dr Nyengo Mkandawire	College of Medicine (UM)	Interested Member of College of Medicine
Dr Sikwese	College of Medicine (UM)	Interested Member of College of Medicine
Dr B.W. Malunga	UM	Registrar
Dr Blessings Chinsinga	UM	Associate Professor, Chancellor College
Mr A.B. Jeremiah	UM	University Finance Officer
Dr Mataya	UM	Principal, Polytechnic College
A.D.G Chimondo	UM	Administrative Assistant – University Office

## Nepal

Name	Institution	Position
Ms Kristine Storholt	Royal Norwegian Embassy	Second Secretary
Mr Einar Rystad	Royal Norwegian Embassy	Deputy Minister
Mr Dag Nagoda	Royal Norwegian Embassy	Second Secretary
Dr Madhab Prasad Sharma	Tribhuvan University	Vice Chancellor
Dr Soorya Lal Amatya	Tribhuvan University	Rector
Dr Bhima Raj Adhikaree	Tribhuvan University	Registrar
Dr Mukunda Gajurel	Centre for International Relations, Tribhuvan University	Executive Director
Dr Ram P. Chaudhary	Central Department of Botany, Tribhuvan University	Professor, NUFU and NOMA programme coordinator
Dr Krishna K. Shrestha	Central Department of Botany, Tribhuvan University	Professor, Head of the Department
Dr Tek Nath Dhakal	Central Department of Public Administration, Public Administration Campus, Tribhuvan University	Professor, NUFU Project Coordinator
Mr Ishwor Man Amatya	Department of Civil Engineering, Institute of Engineering, Tribhuvan University	NOMA Project Coordinator
Dr Mahesh Bhattarai	Department of Civil Engineering, Institute of Engineering, Tribhuvan University	Former NOMA Project Coordinator
Dr Bhagwan Ratna Kansakar	Department of Civil Engineering, Institute of Engineering, Tribhuvan University	Former Coordinator – phased over NUFU project “Post Graduate Research Collaboration at IOE, Tribhuvan University and NTNU”
Dr Saubhagya Shah	Department of Sociology/ Anthropology, Tribhuvan University	NOMA Project Coordinator
Dr Ramesh R. Kunwar	Institute of Humanities, Tribhuvan University	Former Dean
Dr Narendra Man Shakya	Department of Civil Engineering, Institute of Engineering, Tribhuvan University	Professor, NOMA project coordinator

Dr Durga Sangraula	Pulchowk Campus, Institute of Engineering, Tribhuvan University	Campus Chief
Mr M. K. Balla,	Institute of Forestry (IOF), Tribhuvan University	Professor, NUFU Project Coordinator
Dr Suresh Raj Sharma	Kathmandu University	Vice Chancellor
Dr Bhadra Man Tuladhar	Kathmandu University	Registrar
Dr Bhola Thapa	School of Engineering, Kathmandu University	Dean
Mr Brijesh Adhikari	School of Engineering, Kathmandu University	NOMA Project Coordinator
Dr Madhav Karki	International Center for Integrated Mountain Development (ICIMOD)	Deputy Director General
Mr Laxman Gnawali	School of Education, Kathmandu University	NOMA Project Coordinator
Dr Mana P. Wagley	School of Education, Kathmandu University	Dean
Dr Tank N. Sharma	School of Education, Kathmandu University	Professor
Dr Subodh Sharma	School of Environmental Science, Kathmandu University	Professor, contact person from Kathmandu University in NUFU programme on Watershed Management and coordinating with NOMA programme on Environmental Education from School of Environmental Science
Dr Ramesh K. Adhikari	Department of Child Health, Maharajgunj Campus, Institute of Medicine, Tribhuvan University	NUFU Project Coordinator, former Dean
Dr Bal Krishna Sapkota	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	NUFU Project Coordinator
Dr Binod Bhattarai	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	NUFU – assistant programme coordinator
Dr Babu Ram Bhattarai	Institute of Engineering, Tribhuvan University	Dean



Mr Ram Chandra Sapkota	Renewable Energy Programme, Pulchowk Campus, Institute of Engineering, Tribhuvan University	Head
Mr Purushottam Shrestha	Civil Engineering Department, Pulchowk Campus, Institute of Engineering, Tribhuvan University	Faculty Member
Mr Nagendra B. Amatya	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	Head
Dr Chandra P. Pokhrel	Central Department of Botany, Tribhuvan University	Lecturer
Dr Prem S. Chapagain	Central Department of Geography, Tribhuvan University	Lecturer
Mr Ram K. Sharma	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	PhD student, Solar Radiation and Aerosol in Himalaya Region Program
Mr Niranjan P. Sharma	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	PhD student, Solar Radiation and Aerosol in Himalaya Region Program
Mr Khem N. Paudyal	Department of Engineering Science and Humanities, Pulchowk Campus, Institute of Engineering, Tribhuvan University	PhD student, Solar Radiation and Aerosol in Himalaya Region Program
Mr Narendra R. Paudel	Central Department of Public Administration, Public Administration Campus, Tribhuvan University	PhD student, NUFU program on Governance
Ms Nirmala KC	Central Department of Public Administration, Public Administration Campus, Tribhuvan University	PhD student, NUFU program on Governance

Mr Bharat R. Gautam	Central Department of Public Administration, Public Administration Campus, Tribhuvan University	PhD student, NUFU program on Governance
Ms Yashoda Acharya	Central Department of Public Administration, Public Administration Campus, Tribhuvan University	PhD student, NUFU program on Governance
Mr Devi P. Dahal	Butwal Power Company	Deputy General Manager – CSD
Mr Kamal R. Lamsal	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Mr W. W. Anura	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Mr Pitambar Bhandari	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Mr Lok N. Ghimire	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Ms Manorama Sunuwar	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Ms Anjali T. Bista	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Ms Neetu Pokhrel	NOMA programme on Conflict Peace and Development Studies, Tribhuvan University	Student
Mr Laxman Sharma	NOMA programme on Environmental Education, School of Education, Kathmandu University	Student
Ms Indira Paneru	NOMA programme on Environmental Education, School of Education, Kathmandu University	Student

Ms Ferdousi Ara Khatun	NOMA programme on Environmental Education, School of Education, Kathmandu University	Student
Mr Dilli P. Rijal	NOMA programme on Biodiversity and Environmental Management, Central Department of Botany	Student
Mr Sandesh Bhattarai	NOMA programme on Biodiversity and Environmental Management, Central Department of Botany	Student
Mr Shekhar Bhatt	NOMA programme on Biodiversity and Environmental Management, Central Department of Botany	Student
Mr Tej Basnet	NOMA programme on Biodiversity and Environmental Management, Central Department of Botany	Student
Mr Sundar K. Rai	NOMA programme on Biodiversity and Environmental Management, Central Department of Botany	Student
Mr Basant R. Pokhrel	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr Keshab Shrestha	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr James Maherg	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr Partha Shrestha	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student

Mr Yam Prasad Siwakoti	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr Rijan Poudyal	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr George Muyunda	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr Patrick Simuchimbam	NOMA programme on Electrical Power Engineering, School of Engineering, Kathmandu University	Student
Mr Rudra B. Raya	Institute of Forestry, Tribhuvan University	MSc Graduate

## Norway

Name	Institution	Position
Mr Ole Jacob Skodvin	Ministry of Education and Research (MER)	Head of Department, Dept. of Higher Education
Ms Ragnhild Skålid	MER	Senior Advisor, Dept. of Higher Education
Ms Torill Måseide	MER	Senior Advisor, Dept. of Administration and Development
Ms Heidi Dybesland	MER	Senior Advisor, Dept. of Policy Analysis, Lifelong Learning and International Affairs
Mr Olve Sørensen	Norad – former MER	Senior Advisor
Mr Rolf L. Larsen	MER	Deputy Director General
Ms Cathrine Martens	Ministry of Foreign Affairs (MFA)	Senior Advisor, Section for International Development Policy
Mr Geir Løkken	MFA	Assistant Director General, Section for Human Rights and Democracy
Mr Poul Engberg-Pedersen	Norad	Director

Villa Kullid	Norad	Deputy Director General
Ms Bente Herstad	Norad	Director, Dept. for Private Sector Development and the Environment
Ms Ragnhild Dybdahl	Norad	Director, Dept. for Education and Research
Ms Berit Aasen	Norwegian Institute for Urban and Regional Research	Senior Researcher
Ms Hilde Skeie	Norwegian University of Science and technology (NTNU)	Head of Section, Office of International Relations
Guri Eggan	NTNU	Advisor, NUFU Institutional Contact Point
Dr Axel Baudouin	NTNU	NOMA Project Coordinator
Halsten Asstebøl	NTNU	NUFU Project Coordinator
Rita Kumar	NTNU	International Coordinator
Jon Kleppe	NTNU	NOMA Chairman
Henrik Omre	NTNU	NOMA Project Coordinator
Anne Kværnø	NTNU	NOMA Project Coordinator
Harald Krogstad	NTNU	NOMA Project Coordinator
Mr Anders Breidlid	Oslo University College	NUCOOP project coordinator
Mr Jan M. Haakonsen	The Research Council of Norway	Special Advisor
Ms Lise Kristiansen	SIU	Unit for Higher Education and Grants
Ms Benedicte Solheim	SIU	Unit for Higher Education and Grants
Ms Sidsel Holmberg	SIU	Advisor
Ms Ragnhild Tungesvik	SIU	Senior advisor
Mr Ove Stoknes	University of Bergen (UiB)	NUFU Institutional Contact Point
Ms Hilde Elin Haaland-Kramer	UiB	Advisor
Dr Polit Ishtiaq Jamil	UiB	NUFU & NOMA project manager
Ms Sølvi Lillejord	UiB	NUFU project coordinator
Mr Lars Svåsand	UiB	NUFU project coordinator
Mr Ole Vetos	UiB	NUFU & NOMA project coordinator
Mr Tor Strand	UiB	NUFU project coordinator

Mr Knut Fylkesnes	UiB	NUFU project coordinator
Ms Astrid Blystad	UiB	NUFU project coordinator
Mr Ole Bjørn Rekdal	UiB	NUFU project coordinator
Ms Guri Vestad	University of Oslo (UiO)	Head of Section, International Education Office
Ms Marit Egner	UiO	Advisor, NUFU Institutional Contact Point
Ms Jeanette da Silva	UiO	NOMA project coordinator / Contact Point
Ms Fanny Duckert	UiO	Chair of NUFU Board
Håkon Fottland	University of Tromsø (UiT)	NUFU Institutional Contact Point
Anne Britt Flemmen	UiT	Professor
Georges L Midré	UiT	Professor
Ola Flåten	UiT	Professor
Lisbet Holtedahl	UiT	Professor
Svein Jentoft	UiT	Professor
Torbjørn Trondsen	UiT	Professor
Elisabeth Sandersen	UiT	Managing Director
Trond Waage	UiT	Ass. Professor
Ms Ruth Haug	Norwegian University of Life Sciences (UMB), Main Adm. and Department of International Environment and Development Studies	Dep. Vice-Chancellor and former NOMA Board Member
Mr Stein Holden	UMB	NOMA project coordinator
Ms Ragnar A. Øygaard	UMB	NOMA project coordinator
Mr Arild Angelsen	UMB	NOMA project coordinator
Mr Tor Arve Benjaminsen	UMB	NUFU project coordinator
Ms Åsa Frostegård	UMB	NUFU project coordinator
Ms Judith Narvhus	UMB	NUFU project coordinator
Ms Brit Salbu	UMB	NUFU project coordinator
Mr Petter Jenssen	UMB	NOMA project coordinator

## Annex 4: Terms of Reference

Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad's Programme for Master Studies (NOMA)

### 1. Background

The Royal Norwegian Ministry of Foreign Affairs (MFA) and the Norwegian Council of Universities (NCU) signed in 1991 a cooperation agreement which is generally referred to as the NUFU agreement. (NUFU = Norwegian Council of Universities' Programme for Development Research and Education.) The main objectives of the programme are to contribute to competence building in developing countries through cooperation between universities and research institutions in Norway and corresponding institutions in developing countries, and to contribute towards increased South-South cooperation.

The programme has been evaluated twice since its inception, in 1994 at the end of the first programme period, and in 1999-2000 at the end of the second programme period. There was no evaluation in the third programme period (2002-2006). The fourth programme period (2007-2011) is now running, based upon a cooperation agreement between the Norwegian Agency for Development Cooperation (Norad) and the Norwegian Centre for International Cooperation in Higher Education (SIU). According to the last evaluation (1999-2000), NUFU could be regarded as a successful programme in terms of results and satisfied participants. Nevertheless, four major weaknesses were identified: Insufficient coherence between aim, principles and strategy, lack of transparency in decision making at programme level and willingness to involve Southern partners in this process; weak institutionalization of programme and projects in partner institutions; and poor collaboration with other (Norwegian) support schemes.

In 2003 Norad commissioned an administrative review of SIU as the administrator of both the NUFU Programme and the Norad Fellowship Programme (which preceded the NOMA Programme). The administration of both programmes was considered to be good. Some fields with a potential for improvement were outlined, in particular in the area of financial control.

NOMA (Norad's Programme for Master Studies) was initiated in 2006 after an evaluation of the Fellowship Programme. The main aim of NOMA is to support public and private sectors in eligible countries by establishing and developing relevant Master programmes in the South in close collaboration with Norwegian institutions, and by providing financial support to selected students. The Master

programmes are to be chosen on the basis of the competence needs and the priorities of participating countries in the South.

## **2. Evaluation purpose**

The main purpose of the evaluation is to analyse and assess the two programmes in relation to the aims, objectives and strategic directions for the ongoing programme periods and make relevant recommendations. In the NUFU context it is important to assess the progress of the cooperation projects in relation to the stated objectives in the NUFU Programme Document 2007 – 2011, and also to assess activities carried out by partner institutions during the third programme period (2002-2006) in relation to the objectives for that period. In the NOMA context the activities should be assessed in relation to the objectives of the NOMA Programme Document 2006-2010.

The evaluation team should take account of previous evaluations of NUFU, the evaluation of the Norad Fellowship Programme in 2004-05 and the administrative review of SIU in 2003. It should be considered if the redesign of the programmes has led to expected improvements within the fields covered by the specific evaluation questions listed below.

An important element in the evaluation is to document the quality of work that has been done and is being done under the two programmes. An additional element is to provide a useful learning exercise for stakeholders and advise on how synergy effects of the programmes may be increased.

## **3. Stakeholder involvement**

Stakeholders will be invited by Norad to comment on the evaluation individually and in informal group meetings. Such a group is to include nationals of developing countries. It will meet during the initial part of the evaluation process. The evaluation team shall normally be represented in the meetings. In addition, the evaluators are to seek information, opinions and comments from participating institutions in the South during their visits to developing countries.

## **4. Evaluation questions**

The evaluation shall focus on the central characteristics of the NUFU and the NOMA collaboration, and emphasize the attributes that are intended to give effect to the stated objectives. It shall in principle cover all the countries where NUFU and NOMA are involved, even if a particular focus will in practice be given to three selected countries.

The evaluation team shall assess effects on two levels:

- Products/services (outputs)
- User effects (outcome)

The evaluation team should not attempt to assess the impact of the two programmes in general on a national level in the South, but may in its reports include examples of the effect of NUFU research results and of NOMA-educated candidates on a national level in the South if evident. The team should discuss whether the



programmes have influenced decisions in the higher education sector in the South in a significant way.

The evaluators should in particular assess the efforts undertaken on the basis of their relevance, effectiveness and sustainability.

#### **4.1 Capacity development in the South**

- The team should assess the contribution of the NUFU Programme to sustainable capacity building at academic institutions in the South, including the development of competence for research and research based higher education.
- It should assess whether NOMA has taken efficient steps to achieve, in a longer term perspective, sustainable capacity of institutions in the South to provide the national work force with adequate qualifications within selected academic fields of study.
- Could similar outcomes have been achieved in more cost-efficient manners with or without Norwegian professional expertise and institutional collaboration?
- Has the effectiveness of capacity development efforts in the South been substantially influenced by the length of time in which Southern students and researchers have been professionally active in their native countries after finishing their training under the two programmes (including the Fellowship Programme)?

#### **4.2 South-South collaboration**

- The team should assess the efforts under the NUFU Programme to stimulate regional network cooperation among academic institutions and the building of regional competence in the South.
- Similarly, there should be an assessment of the initial steps taken under the NOMA Programme to stimulate South-South cooperation through the development of regional Master programmes.

#### **4.3 Management and administration**

- The evaluation team should assess SIU's administration of both programmes, including the monitoring and follow-up of participating academic institutions, according to agreements in force.
- Do the programme boards carry out their responsibilities in a satisfactory manner, according to their respective mandates?
- Does Norad carry out its steering roles regarding the two programmes in an efficient manner?
- Are the collaborative structures between SIU and Norad conducive to good management and appropriate to the contracts in force?
- The evaluation team should assess the *size* of the contributions to NUFU and NOMA from institutions in Norway and in the South, *including* salaries and indirect costs covered by the Norwegian Ministry of Education and Research.

#### **4.4 Synergy effects**

- To what extent do the NUFU Programme and the NOMA Programme support each other's activities and produce synergy effects?
- How can such effects be strengthened?

- Is there an added value from the interaction between the NUFU and the NOMA Programmes on the one hand and *other* Norwegian development programmes, in particular the Norwegian Quota Scheme, on the other hand?
- If the answer is affirmative, how could this synergy effect be increased?
- Is there a need for greater cooperation between the Ministry of Foreign Affairs and Norad on the one hand and the Ministry of Education and Research on the other hand in order to assure that the objectives of the NUFU and the NOMA Programmes are met?

#### **4.5 Decision-making processes and transparency**

- How do different stakeholders in Norway (NUFU, the Norwegian Association of Higher Education Institutions (UHR), MFA, Norad and collaborating institutions) and stakeholders in the South influence the decision making processes for both programmes?
- Has there been a satisfactory degree of transparency in the decision-making processes on every decision level, and, if not, what should be done to improve transparency?

#### **4.6 Relevance for the South**

- Are the research activity and the research-based higher education supported under the NUFU Programme of adequate relevance to national development and poverty reduction in the South?
- To what extent are the needs and priorities of countries in the South reflected in the NOMA cooperation? Should the eight academic fields indicated in the NOMA Programme (education; environment, economic development and trade; gender; health; HIV-AIDS; oil and energy; good governance, democratic development, human rights and migration; and peace and conflict resolution) be maintained or changed?
- Is there a tendency in both programmes to concentrate on themes that are being focused in the Norwegian public debate rather than on topics considered essential by governments and academic institutions in the South?

#### **4.7 Relevance for Norwegian institutions**

- Has the level of interest from Norwegian institutions for the NUFU and the Fellowship Programme/NOMA Programme been stable over time? If not, what are the possible causes of increase or decrease of interest?

#### **4.8 Gender**

- Has the renewed focus on gender mainstreaming in the documents for the fourth NUFU Programme period been reflected in the implementation of the different projects? In particular: Has there been an increase in the number of female researchers taking part in the NUFU Programme, and has there been an increase in gender-related research in absolute and relative terms.
- Has the NOMA Programme contributed significantly to gender equality in education and empowerment of women, and have sufficient measures been taken to reach 50% female student participation in the programme?

## 5. Conclusions and recommendations

The conclusions shall indicate important effects of the NUFU and NOMA programmes on the institutional level, and major strengths and weaknesses of the design and implementation of both programmes. The recommendations shall extract the implications of the evaluation's conclusions and suggest adjustments and improvements in the design and implementation of the programmes. The recommendations shall address research/higher education and administrative procedures separately. They should be realistic and should identify responsibilities for follow-up.

## 6. Methodology

The consultant should suggest a methodological framework for the evaluation. Nevertheless, the following methods shall be considered as a minimum:

- Document analysis (relevant policies and other regulatory documents, programme documentation, reviews, previous evaluations, etc.).
- Interviews of key stakeholders (Norad, SIU, UHR, Ministry of Education and Research, academic institutions in Norway, academic institutions in developing countries, researchers and students from developing countries).
- Field visits to Ethiopia, Malawi, and Nepal. - The purpose of the field visits is in particular to assess the practical capacity building in academic institutions in the South, South-South collaboration, possible synergy effects of the two programmes, and the relevance of their contents for practical needs and priorities in the South.

To gain a better understanding of the possible comparative advantages of the NUFU and the NOMA Programmes, they should be discussed in the context of alternative models for competence building in research and education, managed by other European countries in collaboration with developing countries. Relevant information could be gathered through the study of existing documentation and possibly telephone interviews.

## 7. Reporting

The evaluation should include the presentation of an *inception report*, three *field studies* and a *final report*. A short presentation of alternative models for competence building in research and education between European countries and developing countries should be included as an annex to the main report. All reports shall be written in English.

The inception report should identify appropriate methods suited for evaluating the two programmes. It should also formulate hypotheses to be tested and define appropriate indicators. For each in-depth field study, a brief report (approximately 10 pages) should be prepared. Debriefings should be held with main local stakeholders before the evaluation team leaves each developing country. A *draft evaluation report* shall present the preliminary findings of the evaluation team. Within three weeks of the team receiving the comments of the Evaluation Department, a *final report* should be submitted. The final report should not exceed 25 000 words, excluding annexes.

The team leader shall report to the Evaluation Department on the team's progress, including any problems that may jeopardize the assignment.

The consultant is expected to adhere to the DAC Evaluation Quality Standards.

## **8. Work plan and schedule**

The evaluation shall focus on the period 2000-2009 for the NUFU Programme and on the years 2006-2009 for the NOMA Programme. To some extent, the NOMA Programme may be analysed in the light of relevant developments related to the Norad Fellowship Programme during its last years of operation.

The inception report shall be presented no later than 1 month after the signing of the evaluation contract. The three field visit reports should be available no later than 3 months after the signing. The draft evaluation report shall be submitted to Norad maximum 5 months after the establishment of the contract. The final report shall be submitted no later than 3 weeks after the evaluation team receives the comments of the Evaluation Department on the draft evaluation report.

Key members of the evaluation team shall meet with the informal group of stakeholders in Norway during the evaluation process to discuss the inception report. After the conclusion of the final report, two key members shall be available to major stakeholders in Norway for a total of 3 working days to share with them ideas about the follow-up of recommendations in the report.

## **9. Evaluation team**

The evaluation should be undertaken by a multi-disciplinary core team of at least three members with knowledge and experience in the following areas:

- Social and economic development in Africa and South Asia
- Analysis of higher education, research and research collaboration and their role in terms of social and economic development
- Analysis of public administration and institutional capacity building
- Analysis of university organization and administration

At least one of the core team members shall be a national of a developing country, ref. the DAC List of ODA Recipients. At least one of the members of the team should have a PhD degree or equivalent competence and experience within one of the areas listed above. The core team shall be supplemented by local experts in the three countries indicated for field visits. The language requirements within the core team are English and Norwegian (ability to read the language). It is desirable that the composition of the evaluation team and its local experts presents an approximate gender balance.

## **10. Budget**

The maximum number of person weeks is stipulated to 50.

## Annex 5: Key findings of previous evaluations

Evaluation question	NUFU eval 1995 and 1999/2000	Review of SIU 2003	NFP evaluation 2005
<p>Aim / focus of evaluation</p>	<p>Substantive assessment of policies, approaches, strategies, and practices set up by various parties in Norway and South. Assessment of how far the above contribute to competence-building and increased South-South cooperation.</p>	<p>Evaluation of systems and routines: SIUs admin and financial systems and procedures (are they effective and appropriate for an efficient operation of Norad funded NUFU and NFP. Co-operation and communication channels between Norad and SIU. Evaluation of compliance with the Norwegian State Financial Procedures.</p>	<p>The role of NFP in Norwegian policies and strategies. NFP as an instrument for development. Comparison with other programmes. Relevance of selection of courses/candidates. Efficiency and effectiveness of administration.</p>
<p>Relevance</p>	<p>Most institutions in South lack the structure and capacity to formulate a research agenda and prioritize research activities accordingly. Decisions on topics for collaboration usually not taken on the basis of a careful analysis of societal or inst. needs. Norwegian partners take the needs of Southern partners seriously.</p>		<p>Supply rather than demand driven. Unit cost system is a disincentive for courses in some valuable disciplines. Hard to demonstrate direct developmental relevance of a highly diverse NFP. No transparent mechanism to ensure that emerging needs are identified and prioritised.</p>

Evaluation question	NUFU eval 1995 and 1999/2000	Review of SIU 2003	NFP evaluation 2005
Effectiveness	<p>NUFU is a successful programme in terms of results and satisfied participants, but the way it operates does not conform to objectives and guiding principles.</p> <p>Important contributions to the staffing situation at the partner institutions. 30% of masters and PhD candidates are female</p> <p>Good research results, production of 1400 research documents, 16% in international journals.</p> <p>Well appreciated particularly in South. Provides access to information, latest technology, professional networks, publication outlets, exchange of staff and students.</p> <p>Networks are much appreciated. Existing networks function with varying degrees of success. Conceptual directions and operation requirements for successful networking are being developed along the way.</p> <p>Played important role in encouraging Norwegian universities to internationalise their research and education programmes.</p> <p>Essentially a programme for and of individual researchers despite its claim of building relationships between institutions.</p> <p>Decision making process is not transparent and is largely controlled by Norwegian inst.</p> <p>Quality assurance is internal and decentralised. Most projects are weak on defining clear objectives, targets and verifiable indicators to measure progress. Progress reports lack reflection on performance.</p> <p>Weak institutionalisation of programme/projects.</p> <p>Poor collaboration with other Norwegian support schemes.</p> <p>Recommendation:</p> <p>To improve ownership and quality Southern partners need to be given a substantive role in final decision making on project selection (participate in committee, regular meetings with rectors).</p>	<p>High level of satisfaction with services provided by SIU. Appropriately staffed for operating Norad programmes despite weakness in financial control.</p>	<p>Effectiveness is enhanced by NUFU activities.</p> <p>23% of applicants are women, 38% of selected fellows are women.</p> <p>Recommendations:</p> <p>Needs to identify specific objectives regarding achievements and assessment indicators.</p> <p>Encourage experience with outsourcing in a North-South-South model.</p> <p>Training needs to be embedded in institutional development.</p> <p>Part of a long-term focused plan.</p>

Evaluation question	NUFU eval 1995 and 1999/2000	Review of SIU 2003	NFP evaluation 2005
Efficiency	<p>Decentralised mgt system highly appreciated, makes the programme flexible, administration tailor made and project implementation adjustable to changing local circumstances.</p> <p>Different modalities of project impl. and adm. + differences in the application of rules and regulations cause coordination problems and hamper institutionalisation of the programme.</p> <p>Programme has no sanctions to deal with non- or under-performers. Everything is a matter of self regulation (has implications for optimal use of funds).</p> <p>NUFU has managed to gradually improve its mgt and admin. NUFU Secretariat has performed very well with a small but highly qualified and motivated staff.</p> <p>Recommendations:</p> <p>SIU tasks should be expanded. Should have a facilitating role in providing training / workshops in portfolio mgt, project planning, project cycle mgt, and financial mgt.</p> <p>Needs to develop, introduce and enforce a uniform system of guidelines and procedures for admin, M&amp;E of programmes/projects.</p> <p>Need to clarify specific role of NUFU vis-à-vis other schemes, and to define their complementarity. Then scope and focus can be determined and fine tuned.</p>	<p>NUFU program has many players and structure seems complex and bureaucratic.</p> <p>Recommendations:</p> <p>Improve monitoring of outputs.</p> <p>Reduce time it takes to execute NUFU tripartite contracts.</p> <p>Clarify <b>division of roles and responsibilities</b> between different stakeholders:</p> <p>Revise agreement of 23.01.2001 between UHR and Norad (new agreement to take place from 01.01.2004).</p> <p>Revise tripartite agreements (between SIU and partner institutions).</p> <p>Clarify and detail <b>guidelines/ instructions for control and reporting</b> (for normal procedures and when irregularities occur)</p> <p>Clarify rules re. transfer of funds between years and line items</p> <p>Clarify responsibility for Annual Reports</p> <p>Introduction of signed agreements between SIU and UiN concerning admin. services (SIU Review)</p> <p>Improve financial reporting:</p> <p>Revised (and more detailed) financial reporting format to Norad.</p> <p>Stricter enforcement of proper financial reporting by partner inst.</p> <p>Change budgeting and financial reporting to a more streamlined unit price model.</p> <p>Change on-line reporting system to allow reporting of overspending.</p>	<p>High unit cost compared with locally based courses.</p> <p>Recommendations:</p> <p>More focus on development criteria and higher level issues.</p> <p>Differences between NFP and Quota programme appear artificial and unnecessary.</p> <p>Limit number of countries, sectors and courses to those where genuine societal 'value added' impact is realistic.</p>

Evaluation question	NUFU eval 1995 and 1999/2000	Review of SIU 2003	NFP evaluation 2005
Sustainability	<p>Institutionalisation of the programme and projects at partner institutions is still weak.</p> <p>Financial sustainability problematic in South due to tight and decreasing recurrent budgets.</p> <p>Insufficient attention devoted to sustainability in project applications, implementation or monitoring.</p> <p>Broader based and multi-faceted projects appear to have a better chance of achieving academic sustainability.</p> <p>Sustainability depends heavily on the commitment of the Norwegian institutions and the idealism of the Norwegian researchers.</p> <p>Norwegian partners claim that the adm cost of programme is grossly underfunded (1994)</p> <p>To retain Norwegian researchers, project overheads should be realistic, professional / financial compensation adequate and the continuation of researchers ensured.</p> <p>2 year post-graduate fellowship would help retain young and promising staff.</p>		<p>Networks for current and former fellows and staff not established or not functioning.</p> <p>NFP stimulates enhancement of supervision.</p>
Impact			<p>When returning home, new knowledge and skills are not fully applied.</p>



## Annex 6: Comparative models

In the following, a brief description will be given of the programmes in support of higher education and research in the South, provided by the Swedish Sida-SAREC, the Danish ENRECA programme, and the Dutch programmes under Nuffic and WOTRO.

In the vast majority of cases domestic universities in the North have a leading role in the cooperation, however with certain important differences in relation to establishing Master programmes, and that of supporting post-graduate training and research. It is important to stress that this often leads to several additional, positive outcomes. First of all, a knowledge base about developing countries is created in the North, not only in universities as institutions, but also among the domestic students who during their studies are involved and work together with developing country students. When they take employment after graduation, this knowledge may spread to activities in industry and the public sector. The value of this broad domestic knowledge base about developing countries is hard to measure, but may be significant.

Also in the South the programmes help build national capacity in a more general sense. This may be done directly, as Sida-SAREC does through support for national, even regional, activities, or indirectly through individual projects in which students and staff increase their knowledge, for example about modern research policies, in addition to the subject-specific knowledge. Students from the South who spend longer periods in a society in the North are also likely to learn valuable lessons about conditions and opportunities in such societies. If they return to their home country this knowledge may be very valuable. However, this does not always happen as long study visits in the North are known to involve a risk of brain drain within fields of great importance for development such as Medicine, Science, and Technology.

As described below, Sida-SAREC is in the process of concentrating the research cooperation to a smaller number of countries. With the resulting larger spending in each of the selected countries it makes sense to provide support to more central activities, e.g. to ministries for higher education and research, national research councils, etc. This kind of support, which is also sometimes provided by WOTRO, is likely to be more effective in connection with the important establishment of effective national research and higher education policies than cooperation through individual projects. In some cases, Sida-SAREC has even extended this kind of cooperation to regions. At another level, one may also say that support for projects

in individual departments is less likely to create university-wide capacity than research cooperation with whole universities. This may be one of the reasons that both Sida-SAREC and the Dutch have often tried to concentrate the cooperation to a limited number of universities in each country.

Sometimes the research support is provided through other organizations, especially in the case of Sida-SAREC. It uses, for example, the International Foundation for Science (IFS), the Academy of Sciences for the Developing World (TWAS), or the International Science Programmes (ISP, at Uppsala University) to support research in the poorest developing countries. This way it is possible to take advantage of existing valuable networks and outstanding expertise at reasonable costs.

In the case of Nuffic, the entire programme responsibility for Masters as well as PhD studies may be transferred to eligible and certified universities, who will offer and conduct such degree study programmes based on block grants from Nuffic.

The start of new projects is usually based on common interests among two partners, one in the South and one in the North, but the choices are usually also based on opinions of local embassies or governments. This contributes a modest element of demand-driven project selection. Danida has recently tried to make the research capacity building even more demand driven, by asking research groups in two pilot programme countries, Vietnam and Tanzania, to apply for support and be responsible for the project design and management, including the selection – after a bidding procedure - of Danish partners. This is also likely to create a stronger feeling of ownership, commitment and responsibility in the South.

While Nuffic has offices in many countries, also in a few developing countries, the two other programmes have, at best, tried to work through embassies. In some cases a full-time research person has been placed at an embassy in order to support the research cooperation with the country (or possibly with the region). There are some indications that this is efficient, but the costs tend to be high.

Unfortunately the research capacity building programmes in different countries, even neighbouring countries, like the Scandinavian, do not cooperate much with each other. This often represents wasted opportunities for sharing of strategies, experiences, contacts, even hardware, etc. It may be possible and very efficient, for example, to share the costs of a research competent person in countries where more than one donor country are active.

The Scandinavian programmes are in many ways similar, in some respects almost identical, and they often cover the same developing countries. The benefits of coordinating activities and at times pooling resources would often be huge, but this is almost never done. Fortunately, the lack of a general cooperative agreement does not prevent individual projects from cooperating and this is often highly beneficial. However, even such project cooperation would benefit greatly from cooperation at the higher (programme) level.

Cooperative deficiencies in the development support are also visible in other ways. The research support in each individual donor country has gradually become aligned with the general, national priorities for development cooperation. Today the technologies that are central within other kinds of development support tend to be research based. Therefore, one would expect extensive cooperation in each donor country between research cooperation activities on the one hand and other support activities, for example within Health, Industry, Agriculture, Environment, etc. on the other. However this does not seem to happen on a large scale.

It may be added that among many problem areas in developing country research, inefficient cooperative habits may be among the worst. Also for this reason it would be useful if donor organizations could regularly demonstrate efficient cooperation for the benefit of the countries where both strong research and research cooperation is badly needed.

### **The Swedish programme for research cooperation with developing countries, Sida-SAREC**

Swedish support for research in developing countries was formalized in 1975. For several years an independent unit, SAREC, administered the support, but later SAREC became part of the general Swedish programme for cooperation with developing countries, Sida (earlier SIDA), and the research cooperation programme is now called Sida-SAREC. Over the years, Sida-SAREC has in many ways been innovative and has continuously adjusted its policies according to actual needs and opportunities. Today the SAREC name is not used anymore.

Among many different developments that have taken place in the SAREC activities, the most important may be the increasing emphasis on local ownership of the research (including the research facilities). This is not only an idealistic attitude, it is also a way of increasing the feeling of responsibility for the research outcomes in the developing countries, which helps increase project efficiency. This change in attitudes has resulted in an important language change; the activities are now named research cooperation rather than research support, and the emphasis on partnership and local ownership is today essential for the way the Sida-SAREC projects work.

The development towards a strong emphasis on local ownership was, among other things, triggered by severe problems in the research cooperation with Ethiopia in the mid-1990s. SAREC had been the most important supporter of research in Ethiopia since the 1970s, and it was present during periods where the political conditions had made most other donors disappear. An evaluation in 1995 identified the cooperative problems as a result of insufficient Ethiopian influence on the management of the research projects. In the evaluation report it was pointed out that in order for partners in developing countries to improve their (research) management skills, they had to be given responsibility for such management, even when this initially may be

less efficient. It was (and is) characteristic for SAREC that it actually has a wish to learn from evaluations, and this also happened in the Ethiopian programme. Once the Ethiopian influence was increased (and a feeling of local ownership was created) the cooperation became more efficient and it is today a flagship of Sida-SAREC. In particular, a new role is created for Addis Ababa University as a national graduate school, to a large extent based on Swedish cooperation (see the description in the Ethiopia country study).

Both because of the size of the funding in each country and its long-term experience, Sida-SAREC often turns out to be the leading supporter of research in the countries where it is active. This is the case not only due to the direct support, but also because of indirect support in the form of substantial funding provided to research-related activities managed by organizations like IFS, TWAS and ISP, all with major funding from Sida-SAREC. An example of a typical Sida-SAREC programme for a traditionally research-weak country is given in Box 1. Another example is the cooperation with Ethiopia, especially with the University of Addis Ababa described above.

As mentioned above, Sida-SAREC often takes responsibility for national needs in research and higher education, for example in cooperation with the relevant ministries or other national units such as research councils. Also regional research needs and opportunities are sometimes covered as part of the research cooperation; one example is the emerging cooperation in engineering between universities in south eastern Africa.

In recent years the Sida funding for research in developing countries (including some relevant Swedish research projects) has been well over SEK 1,000,000,000, but a reduction may take place in the coming years. Over half of this has been spent on bilateral and regional research cooperation in Africa, Asia, and Latin America, with by far the largest spending in Africa. Most of the cooperative projects are between Swedish universities and universities in developing countries.

About half of all funding goes to health research and science & technology research, but there has also been substantial funding for Social Science activities. In addition, the more general research support provided by Sida for general development of research in a country or a region will often benefit all research activities, including those of other donors with cooperative programmes for higher education, research and applied research.

### **Box 1. Building Research capacity in Bolivia**

Bolivia is the poorest country in South America, and Sida-SAREC has since 2000 supported two major, public universities there, San Andres University in La Paz (UMSA) and San Simon University in Cochabamba (UMSS). Both universities have a number of young and eager researchers on their staff, many of these in fields that are considered essential for national development. Through the cooperation with Sida-SAREC many of these researchers have been able to create exciting research environments for many of the undergraduate students. It has usually been the provision of modern equipment for laboratory research that has been the key in creating such excitement.

In addition to funding for research equipment - most research groups had very little modern hardware before the start of the projects - the cooperation has provided funding for research activities at the universities; this funding is provided in a research council fashion, based on proper applications. The funding may be used for smaller equipment and supplies, literature, travel, etc. An important activity is the graduate study opportunities for staff and students at UMSA and UMSS. Well over half of these studies takes place at Lund University in Sweden, and are today usually limited to studies at the PhD level, reflecting the increasing research standards in Bolivia.

Among the key issues with regard to the research training was the placement of returning PhDs (no proper positions were available) and to which extent older, but deserving, staff should be given opportunities for degree studies abroad. The latest evaluation recommended foreign degree programmes for young researchers and study visits abroad for older staff.

Like many other developing country universities, UMSA and UMSS are presently going through a very difficult process: the transformation from a teaching university to a research university. The changing Bolivian governments have offered little support in this process, so the universities have a heavy responsibility on their own. The emergence of active research, with a frequent need for fast action, often brings the new, devoted researchers on a collision course with slow, but powerful university bureaucracies. It was the hope of Sida-SAREC that the university bureaucracies would become dynamic, partly through funded training opportunities, and partly triggered by widespread excitement for the new research activities, but this did not seem to be the case. Although Sida-SAREC in principle would like to work through the existing systems (and reform them in the process), it was decided that UMSS should establish a special management system for the Swedish cooperative funding, to act as a role model for other parts of the research management.

It is remarkable that most other aspects of the cooperation, outside the bureaucratic woes, in general have been successful, from the involvement of undergraduate students in research to the graduate studies in Sweden. There are many indications, for example visible in some reformed domestic research journals, that the research culture in Bolivia is being shaped and strengthened through the Sida-SAREC cooperation.

The budget for the first 5 years of the cooperation was about SEK 85,000,000. The Vice-ministry for Higher Education received about 3% of this amount in order to strengthen its capacity, while the rest was divided almost equally between the two universities. In 2006, after the end of the first 5-year period, UMSA received a special grant for construction of a complete ICT network on and among the various campuses in addition to an SEK 18,000,000 annual grant, while UMSS received SEK 10,000,000 (their ICT network did not need immediate improvement).

Of the 20 individual research projects supported in 2006 at the two universities, 9 were in Humanities and Social Sciences and 11 in Science, Technology and Health. It is remarkable that the gender balance in the latter projects was almost equal, while male researchers and graduate students dominated heavily (almost 2:1) in the former. The strengthening of research within the respective fields was clearly visible; for example (especially in the Natural Science based fields) the research productivity, e.g. measured by articles in international journals, had increased considerably. However, the cooperation with the general society was still limited.

From 2009 a new strategy will be used in the research cooperation. Africa, especially health research in Africa, will become (remain) the first priority and the future focus in the cooperation will be on:

- development of national and regional research strategies
- creation of national and regional research councils
- establishment of domestic research training programmes, and
- development of capacity for research management, for example at universities.

Especially the policy development towards creation of strong graduate programmes in developing countries, supported by Swedish universities, is considered important. Much of the work has been done already by training a considerable number of young people from countries in the South to the PhD level, with degrees given by Swedish universities, but using the sandwich model. However, studies in Sweden are too expensive to produce the number of researchers needed, but by moving them to universities in the South it will be possible to train a much larger number at the same costs.

The number of countries included in the Sida research cooperation has declined considerably in recent years in order to concentrate exclusively on the priority countries. At presently, Sida-SAREC bilateral projects are found in the following 11 countries:

- |                |             |
|----------------|-------------|
| • Ethiopia     | • Honduras  |
| • Uganda       | • Nicaragua |
| • Tanzania     | • Vietnam   |
| • Rwanda       | • Laos      |
| • Burkina Faso | • Sri Lanka |
| • Bolivia      |             |

However, the five countries in the right column will be phased out by 2011, but may be replaced by other countries that have not yet been selected. However, it seems likely the Swedish research cooperation will become heavily targeted on Africa in the future.

Danish research cooperation with developing countries (including the former ENRECA program).

After SAREC had demonstrated several early successes, a pressure was mounting in the mid-1980s for Danida to establish a similar programme. However, most of the Danida management at the time was hesitant, possibly because the most likely participants on the Danish side, the universities, were considered too difficult to

control. Another reason may be that at the time the profound role of research and higher education in the development process was not fully recognized in the Danish Foreign Ministry.

The situation changed after a meeting on research cooperation with developing countries was organized in May 1987. A large number of university researchers actually showed up for this meeting, and as a result a programme for enhancement of research capacity (ENRECA) was created in 1988. It became operational in December 1989, with a single academic staff member, and the first projects became active in 1990. At first, the programme was very limited in size, but when an evaluation of ENRECA was performed in 1992 the annual budget had already grown to almost DKK 24,000,000. This may be compared with annual budgets at the time of SEK 425,000,000 for SAREC (about 60% of this spent on bilateral twinning projects) and USD 100,000,000 for the Canadian IDRC. Today, the annual Danida budget for research cooperation is around DKK 150,000,000, of which a substantial share is spent on ENRECA-like cooperative projects (the name ENRECA is presently being phased out).

In 1992 there were already 24 active ENRECA projects, almost all of them twinning projects between Danish and developing country universities, although a single Danish private industry was also among the early, successful partners. It was remarkable that close to one third of the projects covered biological research and that many projects, about one third, were really more successful than expected from the start. Another third of the projects were judged as more or less disappointing, while the last third performed as expected. In the early years about 75% of the projects had the Southern partner located in Africa, one third of these partners were located in Tanzania. Since then, the number of projects has increased substantially and so has the number of research fields covered, as well as the numbers of partners outside Africa. For example, Vietnam became a highly popular partner in a number of mostly quite successful cooperative projects, see Box 2. However, the cooperation with Vietnam is now being reduced and is changing character partly due to the fast increase in wealth of the country. The traditional ENRECA-type projects with Vietnam are being phased out because of the improved economic status of the country. However, Vietnam and Tanzania have been selected for a new kind of demand-driven support, in which institutions in the South apply for cooperative funding and the Danish partner institutions are selected through competitive bidding.

A typical ENRECA project would consist of four 3-year phases, for a total of 12 years. Clearly, Danida realized from the start that building sustainable research capacity takes time. Based on the available, unfortunately not quite complete list of Danida-financed research projects, it may be estimated that there at present are about 60 active ENRECA-type projects (mostly bilateral projects but also including a few multilateral ones). Many of these projects are still labelled ENRECA. Although countries are not given in the list available, the project titles indicate that Africa is quite dominant, but there are also still a significant number of active projects in Vietnam, although most of these will be closed in the coming years. The information also indicates that the annual budget for these projects is typically around DKK 3,000,000.



The present distribution between fields has changed considerably since the start. Health and Social Science are today the largest fields with about 30% each of the number of projects, while Agriculture is third with 20%. The remaining projects cover Environment, Science, and Technology. Almost all S&T projects deal with water issues. As in some other similar programmes there seem to be a shortage of projects in support of emerging industries in developing countries, although this is likely to be the main source for economic progress and employment opportunities in the coming years.

The ENRECA programme has been evaluated several times since the first 1972 evaluation, and has generally received much praise in these evaluations.

### **Box 2. Modernizing scientific research in Vietnam**

In 2004 the Department of Life Sciences and Chemistry at Roskilde University (RUC) started a bilateral ENRECA-cooperation with the Chemistry Faculty of HoChiMinh City National University in Vietnam, based on a 4-year DKK 5,000,000 grant from Danida. This grant was later extended for another 2 years with an extra grant of about DKK 3,000,000. The reason for the short duration of this project was the economic success of Vietnam.

The project emphasis was on modern technologies in Chemistry and bordering Biology fields. In the mid-2000s Vietnamese universities started receiving government funded, modern equipment; a major purpose of the project was to train young Vietnamese staff and students in the use of this modern instrumentation. Secondary purposes were to increase university-industry cooperation in Vietnam and to modernize the educational strategies used in Vietnam. The training of young scientists was mostly done through degree programmes, but also included other activities. Among these were study visits in Denmark by more qualified Vietnamese researchers, guest lectures in Vietnam by RUC staff, provision of equipment, much of this donations from RUC or Danish industry, and support for research consumables and books. In addition an annual project workshop was held in Vietnam.

The emphasis on degree training of young Vietnamese took advantage of the fact that the Vietnamese partner had active graduate programmes in the fields. However, the required research projects in these programmes presented a severe bottleneck in Vietnam, and only few graduate students were able to complete their studies each year. Thus the cooperation concentrated on letting Vietnamese students perform their degree research at RUC. The students did all required coursework in Vietnam and received Vietnamese degrees, thereby lowering the risk of brain drain. Most of the graduate students were women, thus helping correct a gender bias in the partner institution.

When the project ends in January 2010 more than 50 MSc and PhD students will have been trained this way, at an average cost of a little over DKK 100,000 per MSc student and DKK 300,000 per PhD student. This seems to be well below the average costs of research training in other ENRECA-type projects. The modest costs were not easy to realize, since Danida and the Danish Ministry of Science, Technology and Innovation placed fast increasing economic burdens on the project. These included new, high student fees and increased overhead payments to the Danish host university as well as demands for high student grants (travel, a quality single room plus a monthly grant of DKK 6,000, much higher than in e.g. Sida-SAREC projects). However, the high grants made it possible for a Vietnamese MSc student to return to Vietnam with a new laptop and a personal saving corresponding to more than an annual salary for a full professor in Vietnam (PhD students could save more).



Recently, the Vietnamese partner has started sending PhD students to Roskilde University with complete Vietnamese financing. At present two of these PhD students are working at RUC. One of the former Vietnamese MSc students recently won a rare Danish PhD-scholarship for studies at RUC (other of the former MSc students have won PhD scholarships, i.e. at leading American universities). Thus it is likely that the cooperation will continue without Danida funding. Only one of the 50 graduate students had ever been outside Vietnam before their arrival in Denmark and this “internationalization” of the partner institution has been a major project accomplishment.

Contrary to the almost complete success in the scientific modernization of the partner, the efforts to increase cooperation with industry and to modernize education at the HCM City National University have made much slower progress. However, graduates from the programme have now started taking jobs in Vietnamese industries, and there is little doubt that this will result in new university-industry ties.

The Netherlands’ main programmes for higher education and research in developing countries: Nuffic and WOTRO.

Nuffic is The Netherlands’ organization for international cooperation in higher education. It is an independent organization based in The Hague, The Netherlands. Nuffic supports internationalization in higher education, research and professional education in The Netherlands and abroad, and helps improve access to higher education worldwide. The most important partners are the Dutch Ministry of Education, Culture & Science and the Dutch Ministry of Foreign Affairs. The latter is the main financial source for Nuffic. In addition to the main office in the Hague, Nuffic has offices in Russia, Mexico, Brazil, and several East Asian countries. Additionally, the main source of funding for research activities is handled outside of Nuffic, through the Netherlands Organisation for Scientific Research (NWO).

WOTRO is the science division within the Netherlands Organisation for Scientific Research (NWO) supporting scientific research dealing with development issues. The WOTRO Strategy Plan 2007-2010 (with the aim of a budget of MEUR 150 incl. external funding for 2007-2011) entails a problem-oriented (rather than geographically oriented) approach, societal use and impact of research as well as cooperative and interdisciplinary approaches. The activities include open calls for research projects without restriction (with a focus on development issues and including North-South collaboration and involvement of stakeholders outside the traditional scientific communities) as well as calls for projects within overall thematic research areas inspired by international policy agendas (poverty and hunger, global health, sustainable environment, and global relationships). The strategy also includes a minor action line with supporting organisational, networking and knowledge sharing activities.

Although Nuffic has many tasks to perform, such as promotion of Dutch higher education internationally, cooperative programs with universities in developing countries is a very important activity. Nuffic implements programmes specifically aimed at strengthening the performance of individuals, organizations and institutions in developing countries or to help them develop their capacities by extending their expertise, know-how and skills. The background is that a lack of advanced capacity

is generally considered as a severe restriction for social and economic development.

The Nuffic NPT programme (the Netherlands Programme for the Institutional Strengthening of Post Secondary Education and Training Capacity) used to be the main actor in this context, but it is now being phased out and is replaced by two other programmes. NPT was in some ways similar to the Scandinavian research capacity building programs for developing countries, although there were also considerable differences (see below). The new programmes, both financed by The Netherlands Ministry of Foreign Affairs, are:

- NFP, a scholarship programme with three modalities: scholarships to take part in selected international short courses, in master degree programmes, and in PhD studies conducted by Dutch institutions. NFP focuses on education and training of mid-career staff in 61 countries, which should lead to capacity building within their organizations, whether public, private sector or NGO, and
- NICHE, which aims to strengthen institutional capacity in 22 developing countries for institutions and organizations providing post-secondary education and training. The programme focuses on selected sectors, areas and themes agreed upon by local authorities and the Dutch Embassy in the country.

These two new programmes pay special attention to Sub-Saharan Africa, to gender issues and to the needs of the local labour market. The actual knowledge and skills transfer and capacity building is achieved by providing courses, training and education to individuals, and through specific projects with partner organizations in participating countries. Nuffic awards grants to Dutch institutions, covering the expenses for NFP scholarship holders studying at the institution. Under the NICHE programme, Nuffic awards grants to both Southern and Dutch NICHE project implementing organizations.

The NFP and NICHE programmes were both launched very recently, in 2009, and it is thus difficult to claim many accomplishments; thus most of the following discussion will be based on experiences from the still existing, but now diminishing NPT programme. NPT provides:

- Support for cooperative projects within targeted sectors and themes at institutions in a limited (selected) number of countries
- The Dutch Ministry of Foreign Affairs not only provides the economic support. It also assigns, in cooperation with the respective countries, a number of sectors and themes for support (partnership)
- The two project partners, one based in The Netherlands and one in a developing countries, are typically institutions for post secondary education (universities) and related organizations (see below).

The NPT facilitated South-North cooperation that helps developing countries strengthen their institutional capacity for post-secondary education and training. It does this by mobilizing the expertise within Dutch organizations (at times also organizations in other countries) that are able to satisfy specific needs of the Southern partners. The capacity building within education and training, that the NPT addresses, must be relevant to the sectors and themes targeted for Dutch bilateral

support in each respective country; these countries are all selected centrally for Dutch support. Support for the higher education sector in general may also be given, e.g. support for projects which cut across the chosen sectors and themes, but only within the chosen countries.

Support is preferably given to organizations in the South that play an important role in the development of post-secondary education and training capacity. These include institutions for post-secondary education, especially universities, government ministries, national commissions, and NGOs. The NPT program is demand-driven and flexible, and it attempts specifically to address local priorities. 'Ownership' on the part of stakeholders in the South is an important feature. The Dutch Ministry of Foreign Affairs selects the NPT countries among the countries with which the Netherlands has multi-year cooperation arrangements.

The grants to Dutch organizations that provide the necessary services are awarded on a competitive basis. The program emphasizes the achievement of results; in other words, it is output-oriented and not purely academic. An example of an NPT project, that is trying to change the higher education culture in a fairly conservative country in order to produce more useful graduates, is given in Box 3. NPT not only addresses higher education and training institutions relevant to sectors and themes targeted for Dutch bilateral support. The NPT is also highly demand-oriented, as illustrated by the project discussed in Box 3, which started with a labor market analysis! Also the fact that relevant national authorities, the Netherlands Embassies, and other local stakeholders take part in the decisions on which individual sectors and themes are selected for support in their country illustrates the emphasis on demand.

There were 15 NPT countries. They (and the themes supported) are:

- Benin (Water, Agriculture)
- Colombia (Environment, Good Governance)
- Eritrea (themes yet to be determined)
- Ethiopia (Higher Education)
- Ghana (Health, Environment, Polytechnic Education)
- Guatemala (Good Governance, Environment)
- Indonesia (Education, Water, Justice)
- Mozambique (Higher Education)
- Rwanda (Rural Economic Transformation, Justice and Human Rights)
- South Africa (Education, Agriculture)
- Tanzania (Business Environment, Decentralization)
- Uganda (Justice, Law and Order, Local Government Development, Education, Procurement)
- Vietnam (Health, Water, Forestry and Biodiversity, Higher Education)
- Yemen (Water, Education, Health, Good Governance, Gender)
- Zambia (Education, Vocational Training)

Compared with these 15 countries there are now 22 NICHE countries, 10 of them located in Sub-Saharan Africa:

- Afghanistan
- Bangladesh
- Benin
- Colombia
- Egypt
- Ethiopia
- Ghana
- Guatemala
- Indonesia
- Kenya,
- Kosovo
- Mozambique
- Nicaragua
- Rwanda
- South Africa
- South Sudan
- Surinam
- Tanzania
- Uganda
- Vietnam
- Yemen
- Zambia

### **Box 3. A Nuffic NPT project in Vietnam**

The project started officially in January 2004, as an initiative of a Dutch consortium, consisting of Saxion Universities of Applied Sciences in Deventer, Unesco-IHE in Delft and ITC in Enschede. Due to the time it took to obtain approval from the Vietnamese Government, the inception period was almost one year.

The purpose of the project was to strengthen two departments of Hydrology and Environment at two universities, one in Hanoi and one in Ho Chi Minh City, in such a way that they could better satisfy labour market needs. This is an aspect that often seems to have surprisingly low priority in such projects. The NPT project included an analysis of job profiles and trends in the Vietnamese labour market within water management and environment. The results were compared with the existing curricula as a starting point for a curriculum development process. It was soon realized that the development of the needed, new subjects in the curricula was easy compared with the other major aim of the project: abolishment of the traditional teacher centred education.

The introduction of student centred learning and applied research as a part of the educational processes was considered one of the ways more useful graduates could be produced. However, these educational strategies are still rarely used in Vietnam, and the Vietnamese teachers were uncertain or directly sceptical about them, even after several training courses in the Netherlands. However, after a couple of years, solid improvements started to appear. Vietnamese undergraduate students organised and performed applied research, prepared plans of action, made questionnaires, gathered information, collected samples and did measurements. They presented their results to teachers and fellow students, discussing them, etc. In short, student-centred education and research had been effectively introduced, and the realization that the world is interdisciplinary has had a strong effect on the curriculum.

There is little doubt that the graduates from the reformed programs will be able to attack environmental problems and the project thus illustrates the emphasis on real life contributions to development of the NPT program, rather than on purely academic accomplishments.

The typical NPT annual budget was about EUR 150,000,000, and around 100 active projects are supported. In terms of funding, about 50% of the support for cooperative partners in the South go to universities and 25% to other educational institutions, typically polytechnics. The remaining projects have ministries and other

national agencies as partners in the South. In the North, about 65% of the support is managed by universities as partners, but also private companies are active; they manage about 20% of the project expenditures.

The distribution of the NPT budgetary support over different fields is the following:

- Agriculture 6%
- Engineering/Technology 3%
- Entrepreneurship 4%
- Gender 2%
- Health/Medicine 6%
- Informatics and Information Systems 4%
- Justice & Human Rights 6%
- Natural Resources & Environment 16%
- Teacher Training 16%
- Policy Development & Management 11%
- Public Administration 2%
- Quality Assurance 4%
- Social-Economic Development 13%
- Water & Sanitation 7%

This distribution of the budgetary support shows a modest support for the traditional “productive” sectors - less than 10% of the total budget goes to Engineering, Technology, and Agriculture combined. The emphasis seems to be on Social Science fields – almost one third of the total budget is spent on Justice & Human Rights, Policy Development & Management, and Social-Economic Development.

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**Norad**

Norwegian Agency for  
Development Cooperation

Postal address

P.O. Box 8034 Dep. NO-0030 OSLO

Visiting address

Ruseløkkveien 26, Oslo, Norway

Tel: +47 22 24 20 30

Fax: +47 22 24 20 31

No. of Copies: 350

[postmottak@norad.no](mailto:postmottak@norad.no)

[www.norad.no](http://www.norad.no)