



Inter-University Council for East Africa (IUCEA)

Strategic Plan 2016-2021

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Citation

This Strategic Plan may be cited as follows:

IUCEA 2016.Strategic Plan for 2016/17 – 2020/21. Inter-University Council for East Africa, Kampala.

Inter-University Council for East Africa (IUCEA)

**Strategic Plan
2016/17-2020/21**

VISION

To become the leading EAC Institution for an exemplary Common Higher Education Area for a prosperous and sustainable East African Community.

MISSION

To encourage and develop mutually beneficial collaboration between Member Universities and between them and Governments and other organisations, both public and private.

CORE VALUES

Accountability, Transparency, Unity in Diversity, Integrity Professionalism and Teamwork.

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ABBREVIATIONS AND ACRONYMS

ACE II	African Centres of Excellence II
AfDB	African Development Bank
AfriQAN	African Quality Assurance Network
AHERI	Aid for Higher Education, Research and Innovation
APPP	Academic Public Private Partnership
AU	African Union
CSOs	Civil Society Organizations
DES	Deputy Executive Secretary
EAC	East African Community
EACHEA	East African Common Higher Education Area
EAQAN	East African Higher Education Quality Assurance Network
EAQFHE	The East African Higher Education Qualifications Framework
EHEA	European Union's European Common Higher Education Area
ES	Executive Secretary
HAQAA	Harmonization of African Higher Education Quality Assurance and Accreditation
HERI	Higher Education, Research and Innovation
ICT	Information and Communication Technology
INQAAHE	International Network of Quality Assurance Agencies in Higher Education
IUCEA	Inter-University Council for East Africa
M&E	Monitoring and Evaluation
NSAs	Non State Actors
PASET	Partnership for skills in Applied Science, Engineering and Technology
PSOs	Private Sector Organizations
QA	Quality Assurance
R&D	Research and Development
RFU	Regional Facilitating Unit
SAQAN	Southern African Quality Assurance Network
SARUA	South African Regional Universities Association
SPRMO	Strategic Planning and Resource Mobilization Office
STEM	Science Technology Engineering & Mathematics
TWG	Technical Working Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
VicRes	Lake Victoria Research Project



Message from the Chairperson

In 2015, United Nations developed the Agenda 2030 for sustainable development and identified seventeen Sustainable Development Goals (SDGs) taking into consideration the performances of Countries while implementing the Millennium Development Goals (MGDs). The fourth SDG is about education and Countries committed to “Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all”. Under SDG4, areas of focus include equal access to post-secondary education, expansion of the number of scholarships and substantial increase of qualified teachers. The ninth SDG calls for Countries to “Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation” through enhanced scientific research and increase of the number of research and development workers. Aware of the critical role played by Institution, United Nations adopted SDG16 requesting Members to “Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and transparent institutions at all levels”. Furthermore, in 2017, UNESCO recognized that universities and higher education institutions can provide advice and guidance on strengthening national education systems, as well as aspects of capacity-building across different sectors. HLI can provide expertise and strengthen the interface between research-findings and decision-making, using evidence-based data, as well as problem-based scientific research”. At the same time, engaging with the SDGs can also benefit universities by helping them to demonstrate impact, increase demand for SDG-related education, build new partnerships, access new funding streams, and “define a university that is responsible and globally aware.”

The IUCEA 2016–2021 Strategic plan was thus mainly inspired by the three Sustainable Development Goals and the call to action of the African Union Agenda 2063 for education sector where African Countries agreed to “Catalyze education and skills revolution and actively promote science, technology, research and innovation”. Once again, accountable leadership and responsive institutions were considered as critical enablers for Africa’s transformation. Unfortunately, the starting point is frightening since, according to the Continental Strategy for Education in Africa (CESA) only 7% of eligible population has

access to post-secondary education and the continent produces barely 1% of world knowledge. Cognizant of such alarming situation, the East African Community, in the EAC Vision 2050 stipulates that “IUCEA will be enhanced to encourage educational institutions to adopt good practices in the management of higher learning to respond to the needs of the development agenda of the region”. Moreover, the EAC Vision 2050 emphasizes that higher education should be given a high priority in order to mainstream research and innovation for economic transformation and development.

For the next five years, it is anticipated that IUCEA will work closely with member institutions and Partner States to improve the design and implementation of training programs aiming to produce competent and skilled graduates required for the socio-economic transformation of East African Community. Regional Centers of Excellence established in Eastern and Southern Africa shall train qualified human resources needed for quality training in Universities and impulse research and development in EAC industries and research institutions. Most of Regional Centers of Excellence are funded by Partner States through soft loans from multi-lateral institutions or through donor grants. IUCEA and hosting institutions are required to work closely and develop and implement strategy for sustainability that will include diversification of sources of funding, development and retention of human resources and establishment of strong effective regional cooperation.

On behalf of the entire Executive Committee, I would like to take this opportunity to thank Partner States, the Private Sector and other Non-Government organizations, Development Partners and all stakeholders for their continuous support to higher education and for their involvement in the implementation of 2016-2021 IUCEA Strategic Plan. The Executive Committee will play its oversight role to ensure that the objectives of this strategic plan are timely achieved and contribute to the socio-economic development of East African Community.

Prof. Kirimi Kiriamiti

Chairperson, IUCEA Executive Committee

June 2016–June 2018



F O R E W O R D S

Message from the Executive Secretary

IUCEA implemented its second Strategic Plan from 2011 to 2016 and this paved the road for the declaration of East African Community as a “Common Higher Education Area” in May 2017 in Dar es Salaam, United Republic of Tanzania. Heads of State and Government of Partner States considered achievements of IUCEA mainly the development of quality assurance policies and tools, East Africa Higher Education Qualification Framework, staff and student mobility policies, benchmarks for training programmes and capacity building for quality assurance experts and came to the conclusion that the region was more than ready to achieve higher levels of harmonization of higher education sector and facilitate greater integration through free movement of professionals and students. Henceforth, IUCEA under the supervision of the Council of Ministers has the heavy responsibility to coordinate all activities leading to the full operationalization of the EAC Common Higher Education Area while fostering quality of education, research and innovation and sustaining regional collaboration.

The 2016-2021 strategic plan is being developed by the time employers complain of graduates from higher learning institutions who are not skilled enough; while parents and students are negatively affected by frequent strikes in Public Universities, funding for research and innovation by Partner States and Private Sector is very little and working and living conditions for academic staff is perceived as non-satisfactory. Meanwhile, a number of institutional audits were conducted during the past two years in different Partner States and findings were devastating leading to the closing of institutions or programs due either to poor quality of the training or non-compliance with Government’s rules and regulations. At the same time, enrollment rate in post-secondary education remains relatively low compared to the world average while existing infrastructure and human resources available cannot accommodate adequately actual numbers of students.

The strategic plan was developed using a participatory approach with facilitation from an international expert to address the challenges highlighted above. The staff,

stakeholders and the Executive Committee of the Council participated in the production and approval of this strategic plan. The developed strategic plan will focus on the human capacity building to equip Higher Learning Institutions with accountable leadership, quality assurance management experts and qualified academic staff for graduate and post-graduate studies. Through the establishment of Regional Centers of Excellence in various fields of study, IUCEA will strive for enhancement of research and innovation in Universities through establishment of strong partnerships between academia and industry and facilitation of regional and international collaboration. It is our sincere hope that in partnership with other EAC Institutions and organs, the objectives of this strategic plan will be achieved thanks to invaluable support and involvement of the governments of the EAC Partner States, private sector and development partners.

Prof. Alexandre LYAMBABAJE

Executive Secretary, Inter-University Council for East Africa

STRATEGIC PLAN LAYOUT

The IUCEA 2016/17-2020/21 Strategic Plan is divided into Six chapters.

Chapter One comprises of IUCEA's historical background, legal status, structure and staffing, geographical coverage and membership.

Chapter Two is a situation analysis consisting of a review of the current developments and dynamics in higher education in East Africa and the rest of the world that are likely to influence the functions of IUCEA during the implementation of this Strategic Plan.

Chapter Three is a review of implementation of the previous Strategic Plan mainly through the mid-term review and end-term reviews of the previous strategic plan

Chapter Four dwells on strategic direction, and strategic objectives, where the vision, mission, themes, strategic objectives and strategies are explored.

Chapter Five explores budget estimates and resource options. This considers; assumptions on sources of funds and expenditure areas.

Chapter Six explores the implementation, monitoring and evaluation, where main priority actions are identified a broader framework for a five-year operational plan provided, budget and finally an M&E frameworks outlined.

EXECUTIVE SUMMARY

IUCEA developed the first Five-Year Rolling Strategic Plan for the period 2006–2011 with the purpose of transforming IUCEA into an effective regional driver for the strategic development and management of higher education in East Africa.

The second Rolling Strategic Plan (2011–16) addressed the Community's expectations of IUCEA to provide strategic direction that responds to the dynamics and development trends in higher education in the EAC Partner States and beyond. Significant milestones were achieved during this period such as the following: the development of key policies and tools for quality assurance, qualifications framework, and student and staff mobility, among others; the establishment of quality assurance units and their operationalization in various universities in the region; the training of quality assurance experts; and the establishment of the East African Higher Education Quality Assurance Network (EAQAN).

As part of the implementation of the strategic plan, staff mobility across the region was operationalized with 60 academic staff benefiting from the programme, subject benchmarks were developed for Business studies, Computer Science and Information technology, and Education. In addition, in collaboration with the East African Development Bank and East African Business Council, IUCEA established an annual forum to facilitate Academia, Public and Private Sectors Partnerships (APPF). Phase I of IUCEA Headquarters premises was completed during this period. IUCEA competed for and was awarded the coordination of Africa Centres of Excellence Phase II as a Regional Facilitation Unit, a World Bank project involving 8 hosting countries and 16 universities for a total funding of 148 million US dollars. Finally, rules and regulations have been developed to ensure good governance and proper management of the institution's resources.

Taking into account lessons learned on the IUCEA's performance in formulating and implementing previous strategic plans and policies, the 3rd IUCEA Strategic Plan marks a shift towards an outcome-based planning perspective. A results-based planning and budgeting approach will be used to foster more coherence and coordination of both programmatic activities and enabling services that support the IUCEA initiatives.

The 3rd IUCEA Strategic Plan therefore focuses on projects and programmes deemed feasible in the next 5 years. It is anticipated that the university actors will benefit from their implementation in terms of capacity development for their institutions to enable them contribute to the social and economic development in the EAC Partner States.

Areas of major focus for the third strategic plan include proper operationalization of developed policies; operationalization of the EAC as a common higher education through the development and implementation of an East African Community Higher Education Strategy; facilitation of ACEII Project funded by the World Bank, African Development Bank and IUCEA and establishment of other centres of excellence, especially centres of excellence in humanities and social sciences, Centre of Excellence in ICT and Mathematics; the improvement and implementation of communication strategies targeting IUCEA members and other stakeholders; improvement of collaboration between academia, public and private sector taking advantage of centres of excellence through applied research and involvement in the development and implementation of postgraduate teaching programmes; and annual scientific conference; and the construction of IUCEA conference facilities.

As one of the institution of the EAC, IUCEA Strategic Plan is also informed largely by the 5th EAC Development Strategy 2016/17-2020/21. The strategic objectives in this Strategic Plan are aligned to the development strategies already identified for the 5th EAC Development Strategy 2016/17-2020/21.

Finally, a monitoring process based on the regular reporting on a monthly, six-monthly and annual basis is envisaged. The information will be collected against the activities, results, indicators and targets defined in the implementation and monitoring matrix and annual operation plans to be developed later. The IUCEA Monitoring & Evaluation Framework of 2013 provides details on monitoring and evaluation of the strategic plan.

CHAPTER 1 INTRODUCTION

1.1 Background

After the independence of Tanzania, Uganda and Kenya, in 1961, 1962 and 1963 respectively, the University of East Africa was established on June 29, 1963 and served Kenya, Tanzania, and Uganda in the eastern African Great Lakes region. The University was originally instituted as an independent external college of the University of London. In 1970 the University was dissolved and each Country established their own national universities (Makerere University in Uganda, the University of Nairobi in Kenya and University of Dar es Salaam in Tanzania). In order to facilitate collaboration among the three universities the Inter-University Committee (IUC) for East Africa was established under the former East African Community (EAC). In 1977, the EAC collapsed, but IUC survived.

In 1980 IUC was transformed into the Inter-University Council for East Africa (IUCEA), retaining the same objectives as those of IUC. When the EAC was revived in 1999 IUCEA was recognised as one of the surviving institutions of the former Community. IUCEA was then re-established under a Protocol, which in 2002 was ratified by the Republic of Kenya, the Republic of Uganda, and the United Republic of Tanzania. In July 2007, the Republic of Burundi and the Republic of Rwanda joined the Community and hence after, higher education institutions in these countries were eligible to join IUCEA. In 2009 the East African Legislative Assembly (EALA) enacted the Inter-University Council for East Africa Act 2009.

IUCEA's mission is to encourage and develop mutually beneficial collaboration between Member Universities and between them and Governments and other organisations, both public and private. IUCEA is also mandated to advise Partner States on all matters related to higher education.

To enhance the contribution of university actors to EAC sustainable development through effective collaboration between Member Universities and academic-public-private partnership for transformative university research and innovation, training and community services.

The IUCEA plans are developed and implemented within the context of Article 5 and 102 of the EAC Treaty aiming at fostering cooperation in education and training towards the harmonisation of higher education systems. The need to undertake an institutional transformation of IUCEA led to the development of a ten-year Perspective

Plan (2006–2015) that defined the mission, vision, core functions and guiding theme. The perspective plan was to be implemented through a cascading set of operational plans, including:

- i) The first Five-Year Rolling Strategic Plan (2006–2011), whose purpose was to transform IUCEA into an effective regional advocate and catalyst for the strategic development and management of higher education in East Africa. The renewed core functions of IUCEA included coordination of inter-university cooperation, facilitation of strategic development of member universities, and promotion of quality of higher education.
- ii) The second Rolling Strategic Plan (2011–16) addressed the Community's expectations of IUCEA to provide strategic directions that respond to the dynamics and development trends in higher education in the EAC Partner States and beyond. In order to carry out the above mandates six strategic objectives were identified, with a focus on fostering; quality, research, ICT, harmonization of curricula, institution strengthening, support to universities and exchange of staff and students.
- iii) The third Strategic Plan 2016–21 was a product of extensive consultations and participatory process involving various stakeholders in formal consultations, staff retreats, validation meetings, review by the 16th meeting of Planning, Finance & Human Resources Committee and finally, the 24th Meeting of the Executive Committee on June 29th, 2017 that approved the Strategic Plan. The development of the above strategic plan was in tandem with the EAC process to develop the 5th EAC Development Strategy 2016–21. In a workshop held to develop the 5th EAC Development Strategy, a submission of IUCEA performance under the 4th Development Strategy was done together with proposed Strategic Objectives under the 5th EAC development Strategy 2016–21. The IUCEA Strategic Plan 2016–21 is therefore aligned to the 5th EAC Development Strategy 2016–21.

1.2 Legal framework

Inter-University Council for East Africa (IUCEA) is one of the surviving institutions of the former East African Community whose mandate is to advise the Partner States on all matters related to Higher Education. Under article 5 and 102 of the EAC Treaty, Partner States are commitment to undertake concerted measures to foster cooperation in education and training within the Community.

IUCEA was established through the IUCEA Protocol of 2002 that was ratified by the three initial East African Community Partner States (Kenya, Uganda and Tanzania). It was established as a body corporate responsible for coordinating higher education in the Community. In order to entrench IUCEA into the East African Community framework, the Inter-University Council for East Africa Act, 2009 was enacted by EALA and was assented to by the Heads of States of the five EAC Partner States.

The other legal instruments governing IUCEA is the Treaty for the Establishment of the East African Community. In Article 9 of the Treaty, IUCEA falls in the category of surviving institutions of the former EAC. Article 102 of the Treaty, urges Partner States to among other things revive and enhance the activities of the Inter University Council for East Africa. Other articles of the Treaty that have a bearing include Article 70 that establishes offices for Officers and Staff of the Secretariat; Articles 132 dealing with financial provisions; Articles 133 dealing with other resources; Articles 134 dealing with audit of accounts; and Articles 138 dealing with immunities and privileges of staff amongst other provisions. In addition the EAC Common Markets Protocol (2010) has provisions that have a bearing on the functioning of IUCEA on free movement of labour and services.

1.3 Needs served, importance and purpose of IUCEA

The Protocol on the establishment of the Inter-University Council for East Africa (2002) under Article 5 (1) outlines the principal objectives for IUCEA as to:

- i) Strengthen regional communication through networks which link regional member universities to relevant sites in East Africa and the World
- ii) Initiate, assist and encourage the development of higher education institutions in East Africa
- iii) Encourage collaboration in regional research and thereby assist universities to offer quality education for the production of graduates in all academic disciplines.
- iv) Mobilize universities to offer quality education for the production of graduates in all academic disciplines
- v) Promote curriculum reform in order to equip graduates with the skills and knowledge which meet the needs of employers and conform to the plans of East Africa
- vi) Develop quality assurance processes in order to ensure that teaching and research achieve and maintain international standards
- vii) Assist member universities with their academic staff in governance and management activities
- viii) Keep abreast of international developments in higher education and inform member universities accordingly

- ix) Assist governments and other appropriate bodies and authorities with development of strategies for adequate investment in higher education in East Africa.
- x) Encourage the exchange of staff and students between member universities
- xi) Conduct subject meetings, conferences, workshops and meetings of its specialized committees
- xii) Solicit for funds from local and international sources for the strengthening of its activities
- xiii) Promote through relevant activities in the member universities the meaning and value of East African Unity and culture

1.4 IUCEA Governance Structure and Staffing

The governance structure comprises of the Council of Ministers at the EAC level and the IUCEA Secretariat at Institutional level.

In accordance with IUCEA Act 2009, IUCEA Secretariat governance structure is composed of:

- **The IUCEA Annual Meeting** (comprises of universities, university colleges, other Degree Awarding Institutions, and currently stands at 116 members (March 2017) universities; and From all Partner States; Ministry in charge of Education, Commissions/Councils for Science & Technology, Commissions/Councils for Higher Education and the East African Business Council representing the private sector).
- **The Executive Committee** and its sub-committees. The current (2016) standing committees are:
 - Scholarship Students and Staff Mobility Committee
 - Planning, Finance and Human Resources Committee
 - Quality Assurance Committee
 - Common Higher Education Area Committee
 - Audit Committee
- **The Secretariat**- IUCEA Secretariat is headed by an Executive Secretary deputised by 2 Deputy Executive Secretaries, one heading the Divisions of Higher Education and Research Support Systems and the other, the Division of Planning, Finance and Administration. The current Secretariat staffing stands at 28 contract staff, 3 Project staff and 3 temporary staff. The current (2017) organisation structure has 43 positions.

1.5 Membership

IUCEA membership comprises of universities, university colleges, other degree awarding institutions, and currently stands at 116 members (March 2017) universities distributed in all Partner States excluding South Sudan, whose universities are not yet admitted. However, there are more than 300 universities in the EAC. Universities membership to IUCEA is by application. However, it is proposed in the reviewed of IUCEA Act 2009 that all universities in EAC will automatically acquire membership.

Council Membership is also comprised of, from all Partner States; Ministry in charge of Education, Commissions/Councils for Science & Technology, Commissions/Councils for Higher Education and the East African Business Council representing the private sector.

To be eligible to IUCEA membership, a university, university colleges and other degree awarding institutions need to be registered and recognized by a Competent Authority to operate in the Partner State and have a functional quality assurance system. Full membership entails a university and other degree awarding institution to be in possession of accreditation by a national accreditation body of the host Partner State while for associate membership, a university, University College and other degree awarding institution should be in possession of a Provisional Licence or Letter of Interim Authority or a provisional operating agreement. A university admitted as Associate Member participate fully in all IUCEA activities. A constituent college is admitted as Associate Member.

In order to be admitted as a member, an applications form accessible from IUCEA Website is verified by the National Commission/Councils for higher education in the respective Partner States is then submitted to IUCEA Executive Secretary. Thereafter, the application is verified for compliance with the criteria for membership. The application is then submitted to Quality Assurance Committee for consideration and recommendation for approval by the Executive Committee.

Member universities pay an annual membership subscription which depends on status of membership and the number of students registered at the respective university/college. An annual fee ranging from USD 1,500 to maximum USD 6,000 is charged.

1.6 Stakeholders Analysis

IUCEA is structurally linked to the following organs of EAC as the major stakeholders: the EAC Secretariat; the Sectoral Council on Education, Science and Technology, Culture and Sports; the Council of Ministers; East African Legislative Assembly; and the Summit of Heads of State.

The Summit of the Heads of State and Government of Partner States gives overarching directions and provides impetus to the development and achievement of the objectives of the Community.

In accordance with Article 14 of the Treaty, the Council of Ministers shall be the policy organ of the Community – for the general implementation of the Community's programs, projects and activities. The Council sets the policy directions for the implementation of sectoral projects and programmes.

In accordance with Articles 66 and 71 of the Treaty, the Secretariat is the Executive Organ of the Community.

The East African Legislative Assembly (EALA) is established under Article 9 of the Treaty, as the legislative Organ of the Community and enacts laws and approves the budget for IUCEA alongside those of the other EAC organs and institutions.

The Ministries responsible for Higher Education and all universities in the Partners States form another group of key stakeholders of IUCEA. The National Commissions and Councils for Higher Education in the Partners States are collaborating institutions, through which IUCEA carries out some of its functions, and also channels implementation and enforcement in Partners States of Sectoral Council and Council decisions related to higher education.

The Commissions and Councils for Science and Technology participate in the IUCEA Annual Meeting as well as in other activities related to research, science and technology in the region. Other key stakeholders are member universities with their staff and students, regional & global organisations like AAU, the private sector and civil society organisations.

IUCEA also collaborate with various organizations and initiatives in Africa, some of them supported by the AU and concerned with the state and development of higher education in Africa. The organizations include the African Union, the Association of African Universities, and the South African Regional Universities Association (SARUA), Southern African Quality Assurance Network (SAQAN), CAMES, the African Quality Assurance Network (AfriQAN), the Western African Quality Assurance Network amongst others. Some of these organizations will form key partners in achieving IUCEA strategic objectives.

Last but not least, IUCEA collaborate with development partners, especially the World Bank, Sida, DAAD, AfDB funding and/or technical support for some of IUCEA's activities and projects.

CHAPTER 2 SITUATIONAL ANALYSIS

2.0 Introduction

This Section contains a review the current developments and dynamics in higher education in East Africa and the rest of the world that are envisaged to influence the functions of IUCEA during the implementation of this Strategic Plan. These are reviewed in relation to institutional setup, legal framework, organizational structure, human and financial resources, as well as the roles of member universities and national higher education regulatory agencies (commissions/councils for higher education). Also included in the analysis is the developments in governments of the EAC Partner States, the East African Community as a region, Africa and the rest of the world. The resulting key elements of IUCEA strengths, weaknesses, opportunities and threats are presented in Table 1.

2.1 Internal (IUCEA) operating environment

In order to ensure implementation of this strategic plan, IUCEA will also be looking at its internal dynamics including strengths, threats and opportunities. An analysis has therefore been carried out to establish the current status as well as chart a way forward to strengthen IUCEA's capacity to deliver this strategic plan.

2.1.1 Physical Facilities

IUCEA has made significant progress since the inception of the 2011- 2016 strategic plan. The institution is now housed at the completed Phase I headquarters building along Kigobe Road, Kyambogo. This has provided an opportunity for the institution to make long term plans including the move towards the establishment of a state-of-the-art information resource centre and registry. The security and ICT infrastructure is currently being strengthened. Electronic access to the building is now operational. However the office space is still inadequate given the growing functions and expanding staff population. Some of the offices are yet to be installed with air conditioning and are therefore sometimes too hot for staff to work in. The second phase of the headquarters is yet to begin and staff are without a conference center, a canteen and recreational resources.

2.1.2 Governance, Organization and Management Structure

The review of the Protocol on establishment of IUCEA, the IUCEA Act 2009 and the Headquarters Agreement were proposed in the 2011-2016 strategic plan. Although this activity is in progress, it will need completion to ensure clarity of governance, organization and management structure of IUCEA. The problems identified in the

previous strategic plan therefore still remain such as the lack of a “precise provisions for the representation of the Executive Committee in the EAC decision-making organs and vice versa and direct linkage of the decision-making process to the ministries responsible for higher education and the Council of Ministers”. In the past five years IUCEA has had added responsibilities such being the Regional Facilitating Unit (RFU) of the World Bank funded African Centres of Excellence II (ACE II) and yet the lean organizational structure still remains. This will therefore require a revisiting of the institutional structure to align it with IUCEA’s expanding mandate.

2.1.3 Human Resources Management

In the context of increased activities at IUCEA, some departments are in dire need of an enhanced capacity. Many of the units are inadequately staffed. Some established positions are yet to be filled because of budgetary constraints. The capacity of some departments cannot be enhanced because the required positions do not exist in the institutional structure. There will be need to revisit the manpower requirements for each of the departments in order to find resource that will ensure that vacant positions are filled.

2.1.4 Financial Resources Management

IUCEA is mainly funded through contribution by Partner States. This is augmented by contributions from member universities and grants from strategic partners. Remittance of funds from the partner states and the member universities has been slow and this has led to accumulation of arrears and consequently delay in implementation of various strategic interventions. As in previous years, IUCEA continues to experience cash-flow problems mainly due to delayed contribution from the EAC Partner States and member universities. In spite of increase in the number of staff and expanded responsibility, such as provision of technical support to the operationalisation of the EACHEA, IUCEA has been requested to operate on a zero-budget increase. This is complicated by the fact that South Sudan, the newest member of the EAC, also needs to be mainstreamed into IUCEA’s activities. There will therefore not only be the need to come up with creative resource mobilization strategies but also prioritization of focus areas to ensure efficient utilization of available resources.

2.1.5 Information Communication Technology Management

One of the key responsibilities of IUCEA is to advise the EAC Partner States on state and future of higher education in East Africa. This task cannot be accomplished without current and reliable data on higher education in the region. The IUCEA Act is clear, one of the responsibilities for IUCEA is to “develop and maintain a management information system on higher education matters in the Community”. Currently, there

is no information management system although there was an attempt to create one on research and specifically under the VicRes project. This system is however limited to research and specifically research carried out under VicRes. There is an urgent need to create a system that will be current, reliable and contain comprehensive data on all aspects of higher education in the region.

IUCEA technology platform includes a website, Local area network as well as a wireless connection that is accessible to all staff members. The website needs maintenance and up to date link to host information on the membership of universities in all Partner States and national commissions/councils for higher education. Important documents such as policies, master plans, newsletters, quality assurance handbooks and strategic plans are posted in the website and available for download. The organization has however, yet to set up a regional repository and not fully utilized ICT technology such as video conferencing to allow interaction with member universities.

2.2 External Operating Environment

The external environment comprises of factors that are outside the immediate control of IUCEA but that may affect its operations, including government policies, international conventions and agreements, and any other dynamics affecting the development of higher education. The following sections highlight the external factors that have direct influence on the functions of IUCEA.

2.2.1 Operating environment within the East African Community

IUCEA is operating in an environment where there is exponential growth in higher education enrollment and providers sometimes without a corresponding growth in funding. Rapid population growth in the region means that the EAC must expand access to higher education. The EAC African Partner States still record one of the lowest enrollments for eligible populations in the world. And yet statistics seem to suggest that there is a co-relationship between higher education enrollment and economic growth. There are however some who think that increased enrollment leads to lowering of quality of higher education. This need not be the case. There is need for a strategy to sustain increasing enrollment without lowering the quality of higher education. IUCEA must therefore continue to focus on achieving and maintaining quality higher education in East Africa.

As elsewhere in the world, EAC considers higher education as critical for the attainment of socio-economic transformation and regional integration. In that regard, IUCEA has the broader role of ensuring that higher education in the region conforms to the production of human resources that would bring about East Africa's sustainable socio-economic development and regional integration. Therefore, since the enactment of the

IUCEA Act in 2009 the strategic interventions of IUCEA have been mainly focusing on establishing systems for safeguarding and harmonising the quality as well as the overall harmonization of higher education systems in the region in order to conform to principles related to the promotion of free movement of students and labour across the region, as stipulated in the EAC Common Market Protocol.

Other EAC factors influencing IUCEA operation environment includes:

- i) Low quantity and quality of research and research not translated into innovation due to, among other factors, limited funding of higher education, weak private sector investment and low absorptive capacity;
- ii) Inadequate capacity of universities in coordination, implementation and monitoring & evaluation (M&E), and weak accountability in service delivery;
- iii) Low proportion and shortage of industrial skills, and widespread unemployment especially among youth;
- iv) Low uptake of regional frameworks and guidelines at national and institution levels;
- v) Limited collaborative capacity and culture between public and private universities, as well as weak connection between academic, public sector, private sector, and civil society;
- vi) Different usage of medium of instruction in universities in the region between English and French, thus creating challenges to harmonize education delivery systems;
- vii) Differentiated tuition fees for students emanating EAC Partner States thus posing challenges in promoting cross-border student mobility in the region;
- viii) Still disharmonized education systems among EAC Partner States thus posing challenges and disparities in education curricula and the attained qualifications, hence hampering eased student and labour mobility in the region;
- ix) Absence of a regional repository on higher education research and development that would also feed into the development and reforms in the lower levels of education;
- x) Inadequacy of locally authored textbooks and regionally anchored teaching materials for use in universities;
- xi) Decreasing student enrolment trends in science and technology in universities, along with neglected organizational and social science research and innovation
- xii) EAC Aspirations by 2050 and its Medium-Term Development Strategy; Partner State development agenda & higher education policies;
- xiii) Establishment of centres of excellence in higher education and research, such as the Nelson Mandela African Institute of Science and Technology and the Pan African University; and
- xiv) Diverse national policies on higher education which sometimes hamper various IUCEA's initiatives on harmonisation of higher education.

2.2.2 Operating environment–the African context

At the continental level, the following influences the operating environment:

- i) The African Union plan for the development and function of higher education where the EAC is a key stakeholders of the continental higher education sector. In that regard, IUCEA as the implementing institution of the EAC agenda on higher education must also pay keen attention to the AU higher education development agenda and strategy.
- ii) The Arusha convention, renamed the Addis Convention after the revision in 2014, and deposited with UNESCO as the “Revised Convention on the Recognition of Studies, Certificates, Diplomas, Degrees and other Academic Qualifications in Higher Education in African States” is a key document in consideration while formulating the IUCEA strategic plan. The convention touches on inter-regional and international co-operation in the field of recognition of qualifications; quality assurance and accreditation mechanisms at the national, regional and continental level, exchange and greater mobility of students, teachers and researchers, collection and exchange of information and harmonization of qualifications in the context current global trends. The ideas provide key areas of strategic focus for IUCEA as regional body charged with the responsibility of linking the EAC higher education sector with the rest of Africa and the world.
- iii) The various organizations and initiatives in Africa, some of them supported by the AU, concerned with the state and development of higher education in Africa that IUCEA must therefore consider. The organizations include the African Union, the Association of African Universities, and the South African Regional Universities Association (SARUA), Southern African Quality Assurance Network (SAQAN), CAMES, the African Quality Assurance Network (AfriQAN), the Western African Quality Assurance Network amongst others. Some of these organizations will form key partners in achieving IUCEA strategic objectives.
- iv) IUCEA is operating in an environment where there are several key initiatives on higher education currently ongoing in Africa that IUCEA has to consider, contribute to and leverage on in pursuit of her vision. These include;
 - a. TUNING Africa, which focuses on harmonisation of undergraduate academic programmes,
 - b. The Partnership for skills in Applied Science, Engineering and Technology (PASET), that is dealing with institutional benchmarking of STEM related programme
 - c. Harmonization of African Higher Education Quality Assurance and Accreditation (HAQAA) funded by the European union and supported by both AU and AAU,
 - d. Pan African Master Card Initiative exploring innovative approaches to strengthening higher education on the continent and ways in which governments, donors, the private sector and academic institutions can best coordinate continental efforts, and

- e. The establishment of higher education centers of excellence supported by such development agencies as the World Bank, DAAD, KFW and others.

2.2.3 Operating Environment- the Global Perspective and trends

The East Africa Community is inevitably a member of the global community. Globalization means that the Partner States are affected by a technology driven fast changing world with as much intensity as any other part of the globe. For this reason the higher education has to help the Partner States deal with the same problems that face the rest of the world including technology driven information management, terrorism, migration, multiculturalism and diversity, unemployment, inequality, and prejudice amongst others.

Goal number four (4) of the UN sustainable development goals seeks to “ensure inclusive and equitable quality education and promote lifelong learning opportunities for all”. The fulfillment of this goal, however, has to be in the context of the rest of sustainable development goals. This strategic plan has been developed in full awareness of this need and will therefore seek to orient higher education in East Africa towards the fulfillment of all the sustainable development goals.

Internationally, regions are coalescing together to forge a common higher education agenda. International agencies such as the International Network of Quality Assurance Agencies in Higher Education (INQAAHE) are also working towards a harmonized international education system.

Like other regions, such as the European Union’s European Common Higher Education Area (EHEA), East African Community was also declared a Common Higher Education Area (EACHEA) on 20th May 2017 by the EAC Summit Heads of State. As an implementing agency, IUCEA has already developed several instruments including; The Principles and Guidelines for Quality Assurance in Higher Education in East Africa, The Road Map to Quality: A Handbook for Quality Assurance in Higher Education, Academic Programmes benchmarks, The East African Higher Education Qualifications Framework (EAQFHE), Principles and Guidelines in various areas including postgraduate studies, a framework for the harmonization of school fees and others. Strategies to ensure implementation and operationalization of these instruments will be required in the lifetime of this strategic plan and beyond.

The external context beyond the EAC that affect IUCEA program activities is characterised by steady expansion, diversification and commercialization of higher education, including cross border delivery of education from outside the region, especially from the north.

2.3 Analysis of strength, weaknesses, opportunities and Threats (SWOT)

This section gives brief analysis of external and internal environment of IUCEA that will guide development of the new strategic plan. This was developed through a 5 day workshop with an independent facilitator that produced among others a matrix of strength, weaknesses, opportunities and threats that forms the basis of this analysis.

Table 1 provides a summary of the strengths, weaknesses, opportunities and threats (SWOT) of the current IUCEA program management framework.

2.4 Risk analysis

In order to increase on the possibilities of achieving its strategic objectives, a risk analysis was undertaken. In this regard, IUCEA will consider implementing the proposed mitigating measures set out in the analysis below. Based on the identified risks, some measures will involve: risk probability reduction; retaining some risk (risk acceptance); avoiding the risk; risk transfer; business continuity planning and integrating risk management practices in all activities. Details are in Annex A

Table 1: IUCEA SWOT ANALYSIS

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none">a) Institutional operations guided by IUCEA's legal framework , appropriate policies and proceduresb) Adequate provision for staff participation in institutional affairsc) Adequate staff motivation and retention strategiesd) Modernized working environment supported by new headquarter premises, adequate ICT resources, policy and master plane) Experience in forging local and international cooperation and partnerships for supporting core activities of universitiesf) Experience in coordinating research projects, programs, quality assurance processes, student and staff exchange, and academic dialogue forums at regional levelg) Coordination of Academic Centers of Excellence in key cluster areas with multilateral development partners (e.g. World Bank, AfDB)h) Partnerships with the regional business and civil society federative organizationsi) Qualified Executives, Professional and General staff handling a wide range of tasks at institutional transformative stages	<ul style="list-style-type: none">a) Deficiencies in the IUCEA Act 2009 affecting its adequate institutional linkage to EACb) Lack of an IUCEA Resource Mobilization staffing and Strategy to identifying other financing options, instruments, and activitiesc) Lack of sector business intelligence Aid for Higher Education, Research and Innovation (AHERI)d) Inadequate systems to support a corporate culture of managing for results at IUCEA Secretariat:e) Understaffed IUCEA Secretariat

OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> a) IUCEA mainstreamed into EAC as a strategic institution of the Community, with an extensive mandate for human resource and research b) Large number of member university institutions with diverse academic strengths and profiles c) Partner States contribution is guaranteed d) Increasing developmental support to regional integration and positive image of EAC including among the development partners e) Expanding EAC/IUCEA membership (South Sudan) f) Political goodwill of the Partner States on increased regional and/or international harmonization of national higher education systems g) Development paradigm shift to development of value chains requiring R&D and industrial skills and increasingly engaging NSAs as well as emerging South development partners h) Increased traditional demand for higher education at national, regional and global levels, including drive towards globalization and harmonization as a means to safeguard global competitiveness i) High demand of evidence base for implementation of: the Post 2015 Development Agenda; the African Union Vision 2063; the EAC Aspirations by 2050 and its Medium-Term Development Strategy; the Partner State development agenda & higher education policies j) Steady expansion, and diversification of providers of higher education in EAC k) Establishment of continent-wide Centres of excellence in higher education and research, e.g., Nelson Mandela African Institute of Science and Technology and Pan African University l) Institutional operations guided by a legal framework based on EAC regional cooperation framework, appropriate policies and procedures m) Adequate institutional support by member universities n) Recognition of IUCEA as a role model in Africa in coordinating higher education quality assurance practices at regional level 	<ul style="list-style-type: none"> a) Insufficient university absorptive capacity including but not limited to lack of qualified or high turnover of talents and transformative leaders b) Low public and private sector absorptive capacity including lack of critical mass in industrial skills, research and innovation investment and utilization for decision making c) Traditional low collaborative capacity between university and public/private sectors; between public, private and civil society sectors d) Persistent dominance of western bias against mainstreaming of national and regional indigenous knowledge into post-colonial HERI systems e) Sporadic and ad-hoc nature of development partner funding and priorities, as well as competition for regional aid f) Weak ownership of aid content and processes including lack of awareness and knowledge of aid impact on HERI and regional integration g) Differences among Partner States in size and level of HERI development h) Insufficient peace and security sustainability as barrier to HERI in general, and particularly to academic and labor mobility and to cross-fertilization of university and military-led components of national research and innovation systems

3.0 Introduction

IUCEA 2011-2016 Strategic Plan's six (6) strategic objectives and the respective strategies, targets and activities inform the major programmes, projects, activities and events coordinated or implemented by IUCEA. Other actions have been informed by directives of the Council of Ministers, the Executive Committee and Annual Meeting as well as programmes, projects, activities and events developed to respond to any emerging issues.

3.1 Midterm review of IUCEA Strategic Plan 2011/12-2015/16

The midterm review indicated that implementation of the Strategic Plan 2011/12-15/16 had to a large extent been successful as manifested by the level of attainment of outputs. The level of attainment of outputs was reflective of resources used, implying that the Strategic Plan was implemented efficiently.

However, special interventions were recommended on matters of governance, resources mobilization, institutionalization of IUCEA values, diversification and expansion of exchange programmes, research and innovation, as well as keeping abreast with ICT developments.

On the other hand, synergies with EAC Organs and Institutions as well as the public sector at EAC and country level was advised in order to enhance effectiveness, efficiency, impact and sustainability. Overall, special interventions for an EAC as a Common Higher Education Area were proposed. This was to be coupled with due consideration to appropriate scaling of the budget for longer term interventions beyond the pilot and initial up-scales.

Considering that the areas for addressing are within the capacity of IUCEA and its near future capacity enhancement plans, the secretariat was expected to successfully attain the Strategic Plan's 2011/12-2015/16 targets.

3.2 Review through other assessment reports and at terminal stage

Various reports including; the Medium-term review of the Strategic Plan (2014), Progress Report 2014-2015 and 2015-2016, inputs to the budget process and the review of IUCEA component of the 4th EAC Development Strategy have been utilised in reviewing the performance of the Strategic Plan 2011-2016.

In line with these assessment results, the review of the plan conducted by the Planning Team found that although all of the IUCEA activities of the last five years were generally of high relevance, their performance in terms of effectiveness, efficiency and sustainability was either low or moderate. This means that for initiatives still relevant for being carried-over into the next five-year strategic plan, they will need to be redesigned with a view to enhancing their implementation.

The notable achievements registered during the period 2011/12-2015/16 are:

- i) Development of key policies and tools for quality assurance, qualifications framework, student and staff mobility, among others as elaborated in the next section;
- ii) Establishment of quality assurance units and their operationalization in various universities in the region ;
- iii) Training of quality assurance experts in universities and the establishment of the East African Higher Education Quality Assurance Network (EAQAN);
- iv) The facilitation of staff mobility across the region where more than 60 academic staff participated in the programme;
- v) Development of benchmarks academic programmes: Business studies, Computer Science and Information Technology and education;
- vi) Establishment of the annual Academia, Public and Private Partnership Forum in collaboration with East Africa Business Council and East Africa Development Bank since 2012;
- vii) Completion of Phase I of IUCEA Headquarters premises;
- viii) Competing for and successfully being awarded coordination of the Africa Centers of Excellence in Eastern and Southern Africa Phase II as a Regional Facilitation Unit in collaboration with the World Bank, the five year project financed by the World Bank to a tune of \$140m as a loan to eight countries: Ethiopia, Kenya, Malawi, Mozambique, Rwanda, Tanzania, Uganda, and Zambia, benefiting the eight countries directly, while one EAC Partner State, Burundi accessing the services offered by ACEs in those countries. IUCEA will receive a grant totaling \$8m over five years to facilitate and coordinate the project.
- ix) Development of rules and regulations to ensure good governance and proper management of the institution.
- x) IUCEA Institutional review that resulted in alignment of jobs, salaries and terms of service in line with the EAC, applicable to the secretariat, organs and institutions. This has enhanced Human Resource attraction and retention at IUCEA secretariat.

CHAPTER 4 STRATEGIC DIRECTION & OBJECTIVES

4.1 Vision, Mission & Core Values

4.1.1 Vision

To become the leading EAC Institution for an exemplary Common Higher Education Area for a prosperous and sustainable East African Community

4.1.2 Mission

To encourage and develop mutually beneficial collaboration between Member Universities and between them and Governments and other organizations, both public and private.

4.1.3 Guiding principles & core values

To realize its vision and mission resting on the above intervention rationale and guiding principles, IUCEA will seek to enhance the contribution of higher education actors to EAC sustainable development through partnerships on transformative training, research and community services.

Application of the stated guiding principles for establishing IUCEA initiatives will lead to a pragmatic case-by-case approach whereby the mechanisms, the thematic clusters and geographic areas of intervention are selectively matched based on identifiable synergies. IUCEA core values are: accountability, transparency, unity in diversity, integrity professionalism and teamwork.

4.2 Strategic Objectives

4.2.1 Introduction

The strategic objectives adopted were derived from extensive stakeholder's consultations, especially through the Academia, Private Public Sector Forums since 2012 (Extracts of APPPF Reports' recommendations are provided in Annex B), results of the risk and the SWOT analysis, and review of IUCEA Strategic Plan 2011/12- 2015/16. The consultations were carried out through facilitated Management Meetings, staff retreat, strategic planning experts validation workshop from all Partner States; Planning, Finance and Human Resources Committee and finally, the Executive Committee meeting.

The 3rd IUCEA Strategic Plan focuses on those projects and programmes deemed feasible in the next 5 years. It is anticipated that by the end strategic plan's implementation, university actors will have benefited from the projects and programmes leading to greater capacity development of their institutions and their enhanced contribution to the social economic development of all communities in the EAC Partner States. This will have an overall positive impact on the EAC regional development and identity building. It is expected that this will happen in an iterative manner, whereby the outcomes on the individual, organizational and community/society levels will be in continuous interaction over time.

The Strategic Plan also borrows from the commitment made at the beginning of the new term of office IUCEA Executive (November 2015) which includes: Proper operationalization of developed policies; the declaration of the EAC as a common higher education area and its operationalization through the development and operationalization of an East African Community Higher Education Strategy; Facilitation of establishment of regional centres of excellence specifically centres funded by the World Bank, African development bank and IUCEA and establishment of other centres of excellence, especially centres of excellence in humanities and social sciences, Centre of Excellence in ICT and in Maths.

The improvement and implementation of communication strategies targeting IUCEA members and other stakeholders; Improvement of collaboration between academia, public and private sector taking advantage of centres of excellence through applied research and involvement in the development and implementation of postgraduate teaching programmes; establishment of a regional peer reviewed journal and annual scientific conference in collaboration with East Africa Science And Technology Commission; the construction of IUCEA conference facilities, and plans for the construction of other phases of IUCEA HQ Master Plan in partnership with the private sector.

As one of the institution of the EAC, IUCEA Strategic Plan is also informed by the 5th EAC Development Strategy 2016/17-2020/21 under development and in process of being finalised. The strategic objectives in this Strategic Plan are therefore aligned to the development strategies already identified for the draft EAC Development Strategy 2016/17-2020/21 as shown in Table 2.

Table 2: Alignment between EAC development strategies with IUCEA strategic objectives 2016-2021

5TH EAC STRATEGIC DEVELOPMENT OBJECTIVES 2016-2021	IUCEA STRATEGIC OBJECTIVE 2016-2021
S.D.0.3: Strengthening the Social Dimensions of the Regional Integration process to deliver quality, effective and efficient socio-economic services – with emphasis on enhancing Human Capital Development; gainful employment and decent work; health status; as well overall welfare of the people of East Africa.	1. Enhance University contribution to regional innovation and competitiveness through research management and coordination within universities and through collaboration with public, private, and civil society partners.
	2. Transform IUCEA into a regional information hub for integrated higher education.
	3. Strengthen the capacity of Universities to manage transformative higher education and research for sustainable development
S.D.08: Accelerating the full implementation of the Common Market Protocol and of the Monetary Union	4. Advocate for and foster the implementation of EAC Common Higher Education Area.
S.D.0.10: Developing and strengthening the capacity of all EAC Organs and Institutions to effectively execute their Mandates.	5. To enhance IUCEA's capacity to effectively fulfil its vision and mission

4.2.2 Strategic Themes

After the various consultation involving IUCEA staff, management, and stake-holders, the following themes were identified:

- i) Research, innovation and business development;
- ii) Human capital, skills development and utilization;
- iii) Regional Higher Education Information
- iv) Universities' capacity and leadership development.
- v) IUCEA's operational excellence

4.2.3 Strategic Objectives and Key Strategies

In line with IUCEA mandate and the 5th EAC Development Strategy under process, the following are the IUCEA's strategic objectives for the next five years:

Strategic Objectives 1: To enhance university contribution to regional innovation and competitiveness through improved research management and coordination within universities and collaborations with public, private and civil society partners.

Key strategies include:

- a) Strengthen research management systems within universities and in the region
- b) Integrate education with research and innovation from models/experiments to the real world of work
- c) Promote demand-led and regional-embedded quality research and innovation
- d) Develop a regional research agenda for HLLs in collaboration with stakeholders that caters for a balance between knowledge generation and product/policy innovation
- e) Strengthen collaborative relationship within the region, with development partners and existing organisations with similar research objectives

Strategic Objectives 2: To transform IUCEA into a regional information hub for integrated higher education.

Key strategies include:

- a) Improve data and Information Technical infrastructure to support academic and Research information sharing, planning and networking for IUCEA and its stakeholders (universities)
- b) Develop a regional policy for Information and Data Management
- c) Develop an ICT Policy framework for universities in the region

Strategic Objectives 3: To strengthen the capacity of universities to manage transformative higher education and research for sustainable development.

Key strategies include:

- a) Establish and Implement university leadership training programmes for the region
- b) Develop higher education internationalisation programmes for the region
- c) Enhance collaborative thematic clusters for research

Strategic Objectives 4: To advocate for and foster the implementation of the EAC Common Higher Education Area.

Key strategies include:

- a) Coordinate effective operationalization of the EACHEA
- b) Coordinate the operationalisation of the East African Qualifications Framework for Higher Education
- c) Coordinate the operationalisation of the Regional Quality Assurance Framework
- d) Strengthen the mobility of staff and students in the region and beyond
- e) Promote extra-curricular activities for regional integration agenda

Strategic Objectives 5: To enhance IUCEA's capacity to effectively fulfil its vision and mission.

Key strategies include:

- a) Ensure appropriate staffing and Improve staff working environment and conditions to enhance staff satisfaction and institutional competitiveness
- b) Ensure the IUCEA Act 2009 is reviewed and operationalised
- c) Construct and manage IUCEA Conference facilities
- d) Enhance and diversify IUCEA resource mobilization mechanism
- e) Enhance and establish collaboration arrangement with regional and international institutions that are serving similar objective
- f) Improvement of IUCEA Processes to meet International Quality Standards
- g) Strengthen IUCEA Planning, Monitoring & Evaluation capacity.

CHAPTER 5 BUDGET ESTIMATES AND FUNDING OPTIONS

5.0 Introduction

IUCEA is governed under the IUCEA Act 2009 with the Executive Secretary as the Accounting Officer, supported by Management Team. The financial management and operations of IUCEA is stipulated in the IUCEA Act 2009 and the Financial Rules and Regulations 2014. The Executive Committee provides oversight and strategic counsel in balance with its responsibility to ensure conformance with regulatory requirements and risk tolerances. Since the alignment of IUCEA in 2012 to the EAC framework of reporting, the budget of IUCEA has been prepared under Medium Term Expenditure Framework (MTEF), and is approved by the East African Legislative Assembly as stipulated in Section 15 (1) of the IUCEA Act 2009.

5.1 Funding mechanism

The main source of funding for IUCEA is the annual contributions by the five Partner States on equal basis irrespective of the number of universities, and subscriptions from member universities determined by their student enrollment. Other sources of funding include grants from development partners, income generation, recovery of arrears and special contribution.

Currently, IUCEA budget sources includes contributions by Partner States accounting for about 90% while University membership Subscription fees and support from donors accounting for approximately 10%.

5.2 Budget Projection 2016/17-2020/21

The revenue projection takes into account the admission of new Partner States, now at six; increase in membership universities and other resource mobilisation efforts as portrayed in Table 3, while Table 4 portrays the IUCEA results and resources framework as it outlines the IUCEA program cost estimates for the Strategic Plan period.

The cost estimates were derived from the EAC guidelines and the approved Medium-Term Financial Framework (2016-2019).

5.2.1 Key Revenue Projection Assumptions

- Partner States contributions remain at USD 824,000 for the next 5 years
- Membership fees contributions to increase at a decreasing rate due to admission of more members by 14%, 11%, 10% & 45% in the 5th year. Once all universities become members, it is assumed that the contributions will increase 4 times.

- Grants & loans assume the funds from ACE II Project (USD 8 M) distributed in five years plus other projects coming on board.
- Interest income from arrears to gradually increase and peak in the second year and construction commences, hence the decrease in subsequent years

5.2.2 Key Expenditure Projection Assumptions

- Progressive increase in research & innovation capacity to utilise the funds for centers of excellence
- Increasing costs human capital, skills development to cater for the development in operationalisation of EACHEA (quality assurance and mobility programme)
- Increase in costs to cater for regional higher education information enhanced ICT role in higher education
- Capacity building for university leadership, internationalisation programmes and thematic programmes
- IUCEA's capacity strengthening to encompass the HQ construction projects, and other IUCEA operations

Table 3: sources of income summary 2016-2021

INCOME SOURCE	YEAR 1 2016/17	YEAR 2 2017/18	YEAR 3 2018/19	YEAR 4 2019/20	YEAR 5 2020/21	TOTAL
PARTNER STATES	4,121,000	4,944,000	4,944,000	4,944,000	4,944,000	23,897,000
Membership Fees	394,000	450,000	500,000	550,000	800,000	2,694,000
Grants & Loans (ACEII + others)	1,270,060	2,000,000	2,200,000	1,500,000	2,500,000	9,470,060
Arrears Fund (Phase II Buildings)	100,000	500,000	2,000,000	2,500,000	1,500,000	6,600,000
Interest Income from Arrears	100,000	300,000	200,000	150,000	120,000	870,000
Total Income	5,986,000	8,194,000	9,844,000	9,644,000	9,864,000	43,532,000

Table 4: Expenditure summary 2016–2021

PROGRAM ACTIVITY	YEAR 1 2016/17	YEAR 2 2017/18	YEAR 3 2018/19	YEAR 4 2019/20	YEAR 5 2020/21	TOTAL
Research, innovation and business development (Incl. ACEII)	1, 652,000	3,677,000	4,825,000	3,370,000	2,021,000	15,547,000
Human capital, skills development and utilization	390, 000	487,000	941,000	1,176,000	1,470,000	4,465,000
Regional Higher Education Information	114, 000	143,000	627,000	784,000	980,000	2,650,000
University institutional capacity & leadership development	224,000	280,000	941,000	1,176,000	1,470,000	4,093,000
IUCEA's capacity strengthening	3, 603,000	3, 603,000	2,509,000	3,136,000	3,921,000	16,775,000
TOTAL	5, 987,000	8, 194,000	9,844,000	9,644,000	9,864,000	43,532,000

5.3 Staff Planning 2016/17–2020/21

IUCEA Secretariat organisation structure comprises of the Office of the Executive Secretary and 2 Divisions, namely Division of Higher Education and Research Support and Division of Planning, Finance and Administration.

The current (June 2017) staffing is at 28 staff, 3 Project staff and 3 temporary staff. A planned recruitment of 21 staff (including Project staff) is projected by 2021 as in Table 5. This takes into consideration the budget impact, approved annual budget increments, projects staff recruitments and available office space. The actual staffing is at 70% of the planned staff force. The current organisation structure is on Annex C.

Table 5: IUCEA STAFF PLANNING 2016-2021

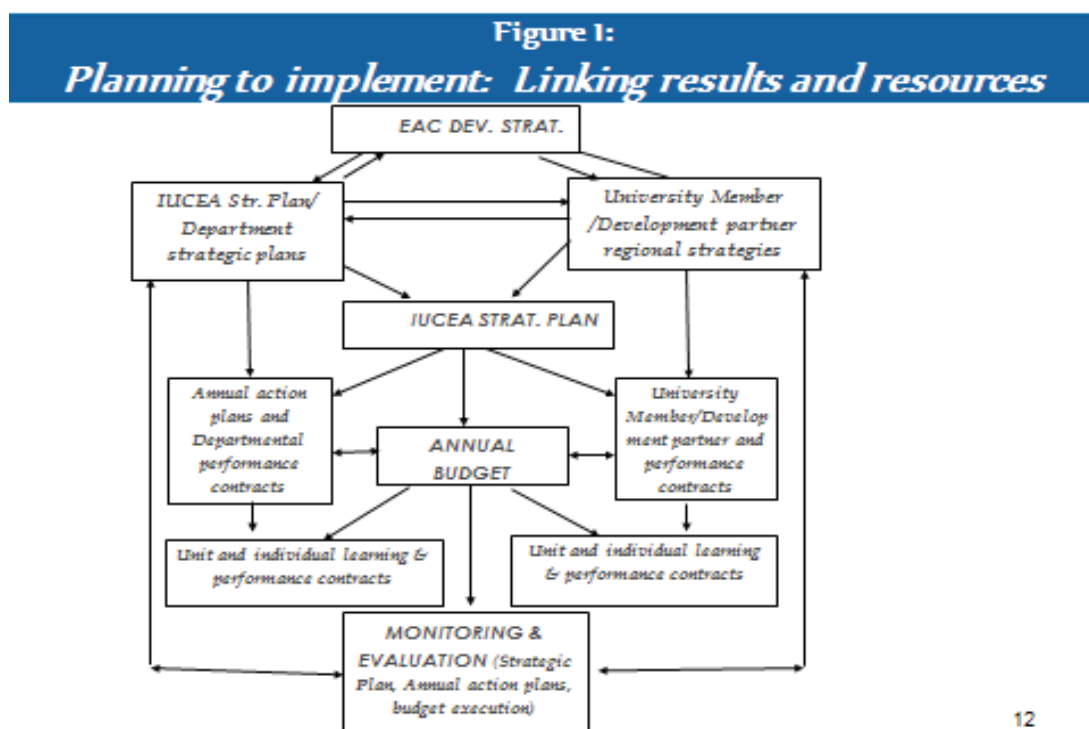
Positions	GRADE	2016/ 2017	2017/ 2018	2018/ 2019	2019/ 2020	2020/ 2021
DES FA & P	P5				X	
C-RICO	P4		X			
PICTO	P3				X	
SPRMO	P2			X		
SBO	P2			X		
SLO	P2		X			
SLPO	P2			X		
SI00	P2				X	
SHERCO	P2					X
SQFMO	P2				X	
PA-ES	P2			X		
PRMO	P1				X	
SO	P1				X	
ACC ASS	G5			X		
EA	G5				X	
RMA	G5	X				
DRIV	G3	X				
REC	G3			X		
PROJECT - PC	P4	X				
PROJECT- M&E O	P2		X			
PROJECT- PA	G5		X			
TOTAL	21	3	4	6	7	1

CHAPTER 6 STRATEGIC PLAN IMPLEMENTATION AND MONITORING FRAMEWORK

6.0 Introduction

The theme for this Strategic Plan is focused on outcomes as outlined in the organizational architecture, coordination and control mechanisms tailored to ensure implementation of the plan. Individual departments and joint roles and responsibilities in planning, monitoring and reporting on implementation and results were clarified and sequenced where applicable.

Figure 1 below illustrates how vertical and horizontal alignment of results and resources will enable IUCEA to forecast, plan, mobilize and allocate resources, analyze and report on performance based on results.



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The approach will help IUCEA to maximize synergies and demonstrate value for money of its various partnerships while holding its organizational units and staff accountable for delivering results. The strategic plan will be implemented through cascading annual plans and budgets, whereby individual performance agreements will be made of the expected results from the employee and the means for their achievement, including individual training plans.

The Secretariat will also need to start immediately the search for other financial and technical implementation partners, particularly for reinforcement of its newest or revitalized programs, e.g., research and innovation; regional identity building; strategic planning, resource mobilization, M&E and transformational leadership development.

In aiming to take advantage of opportunities and to address the challenges identified, the proposed IUCEA Strategy is driven by the emerging consensus between academics and practitioners that Universities and other higher education institutions do have higher potential for contribution to an inclusive and environment-friendly economic growth, through a transformational community engagement beyond the traditional academic functions.

When exploring mechanisms for intervention, IUCEA needs to take into account the facts that:

- i) Autonomy and right of initiative are fundamental working principles of the academic world;
- ii) Research and education is an exclusive competence of the Partner State;
- iii) Level of absorptive capacity development does vary among universities and potential partners of the public, private and civil society sectors both at the regional and national level.

Therefore, the impact of the IUCEA coordination work will be underpinned by successful translation into action of the principles of subsidiarity and complementarity, among other guiding principles, for alignment of regional, national and institutional interventions.

It should be recognized that the shift from traditional (transactional) university functions towards a more transformative role that is conducive to technological, organizational, social and cultural innovation is a radical organizational change whose long process can take some time to show impact.

The IUCEA initiatives will be designed and implemented from the perspective of a results-based management perspective whereby resources and activities are linked to outcomes for higher education actors (student, faculty and management staff) at the regional, national/institution and development partner levels.

6.1 IUCEA Planning and Implementation Matrix

The Planning and Implementation Matrix sets out; the Strategic objectives each with its corresponding; strategies, Targets, Time Frames, Objectively Verifiable Indicators (OVIs), Means of Verification (MoVs), Implementation Responsibility, as well as Budget Estimates.

Table 6 provides a broad framework for the five-year operational plan and the specific strategic interventions, strategies, targets, key performance indicators, and resources for the entire Strategic Plan period, (2016/17-2020/21). In the immediate and short term, heads of departments will continue to develop and implement individual departments' annual plan and staff performance agreement that are aligned with the IUCEA results and resources.

Specific results expected from IUCEA's programs at the sub-activity level, reflected as targets, their schedule and the unit accountable for results at IUCEA Secretariat are shown in Table 6.

Table 6: IMPLEMENTATION PLAN & MONITORING MATRIX FOR STRATEGIC PLAN 2016–2021

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
S0. 1. To enhance university contribution to regional innovation and competitiveness through improved research management and coordination within universities and collaborations with public, private and civil society partners.						
1.1 Strengthen, research management systems within universities and the region	1.1.1 At least 20 research and innovation hubs supported to provide an enabling environment for sustainable research activities	By 2021	Number of research and innovation hubs supported and operational	Reports on operations of the hubs	HERRS; RIO; ACE II CORD; DEPART.; ELP; ICT	15,547,000
	1.1.2 Forty (40) research and innovations patented & intellectual property protected	By 2021	Number of patented research and innovations	Copyrights rights		
	1.1.3 A research database established and operational	By 2018	Research database in place and operational	Physical verification		
	1.1.4 Establishment of collaborative research platform at university level advocated for	By 2020	Number of universities implementing the platform	Physical verification		
1.2 Integrate education with research and innovation from models/experiments to the real world of work	1.1.5 At least 20 universities supported to establish effective research management structures	By 2021	Number of universities supported	MOUs Reports		
	1.2.1 Guidelines for integration of education with research and innovation developed and disseminated in the Partner States	By 2019	Guidelines in place and disseminated	Physical verification Reports of dissemination workshops		
1.3 Promote demand-led and regional-embedded quality research and innovation	1.3.1 Twenty (20) multi-disciplinary research teams supported	By 2021	Number of multi-disciplinary research teams supported	Reports		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
	1.3.2 A demand led and regional-embedded quality research and innovation policy and strategy implemented	By 2021	Status of implementation of policy & strategy	M&E reports		
	1.3.3 At least 4 promotional activities for academic-productive sector platforms conducted.	By 2021	Number of promotional activities	Reports on promotional activities		
	1.4 Develop a regional research and innovation agenda for Higher Learning Institutions (HLIs) in collaboration with stakeholders that caters for a balance between knowledge generation and product/policy innovation	By 2019	Research and innovation agenda approved	Physical Verification		
1.5 Strengthen collaborative relationship within the region, with development partners and existing organizations with similar research objectives	1.5.1 Sustainable funding strategy document for research and innovation activities developed and implemented	By 2021	Approved funding strategy for research and innovation Implementation status of the strategy	Physical Verification M&E reports		
S0. 2. To advocate for and foster the implementation of the EAC Common Higher Education Area.						
2.1 Coordinate effective operationalization of the EACHEA	2.1.1 5 regional policy proposals and guidelines developed	By 2021	Number of policies	Physical verification	HERRS; QA&QF; ELP; RIO	4,465,000
	2.1.2 Monitoring and evaluation of the operationalisation of the EACHEA carried out on a regular basis	By 2021	M&E Framework Reports	Physical verification		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
2.2. Coordinate the operationalization of the East African Qualifications Framework for Higher Education	2.2.1 Seven (7) policy instruments for operationalisation of EAC CHEA developed	By 2019	Number of policy instruments	Physical verification		
	2.2.2 The EAC higher education policy and strategy developed	By 2019	The approved EAC education policy and strategy	Physical verification		
2.3. Coordinate the operationalization of the Regional Quality Assurance Framework	2.3.1 Ten (10) benchmarks for academic programmes established	By 2021	Number of established and approved benchmarks for academic programmes	Physical verification		
	2.3.2 Guidelines on disability and other special need in HLLs developed and implemented	By 2021	Approved guidelines on disability and other special needs in HLLs Status of implementation of the guidelines	Physical verification M&E reports on status of implementation of the guidelines		
	2.3.3 One hundred (100) supervisors of graduates and post graduates students trained	By 2021	Number of trained supervisors Quality of theses produced in EAC HLLs	Certificates Training reports University ranking		
	2.3.4 Institutional peer review manual for commissions and councils for higher education developed	By 2018	Institutional peer review manual	Physical verification		
	2.3.5 Five (5) peer reviews conducted	By 2021	Number of peer reviews	Peer review reports		
	2.3.6 One hundred twenty (120) quality assurance practitioners trained	By 2021	Number of trained quality assurance experts	Training reports Certificates awarded		
	2.3.7 Six (6) regional capacity building and networking events organised	By 2021	Number of capacity building and networking events	Capacity building and networking events' reports		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
2.4 Strengthen the mobility of staff and students in the region and beyond	2.4.1 A Strategy for mobilisation of funds for mobility programmes developed and implemented	By 2018	Strategy on mobilisation of funds Status of implementation of the strategy	Physical verification M&E reports		
	2.4.2 One hundred (100) regional Masters scholarships awarded	By 2021	Number of awarded scholarships	Reports on the scholarship programme		
	2.4.3 Two hundred (200) academic staff facilitated for mobility across the region for teaching and related activities	By 2021	Number of academic staff facilitated for mobility across the region	Quarterly reports on staff mobility		
	2.4.4 M&E on equality in treatment of students conducted annually	By 2018	Number of study reports Number of recommendation implemented	Study reports M&E reports on implementation of the study recommendations		
2.5 Promote extra-curricular activities for regional integration agenda	2.4.5 Harmonised Fees structure model finalised	By 2017	Approved harmonised fees structure model	Physical verification		
	2.5.1 Three (3) inter-university games supported	By 2021	Number of inter-university games supported	Funds released to support the inter-university games		
	2.5.2. One (1) Essay Competition organised annually	By 2021	Number of Essay competitions organised	Essay awards		
	2.5.3. Four (4) inter-university debates supported	By 2021	Number of debates supported	Financial contribution		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
S0.3. To transform IUCEA into a regional information hub for integrated higher education						
Improve data and Information Technical infrastructure to support academic and Research information sharing, planning and networking for IUCEA and its stakeholders (universities)	3.1.1. ICT Systems designed and Developed	By 2019	ICT System in place	Physical verification	HERRS; ICT; R&I	2,650,000
	3.1.2. Appropriate ICT Back-end support in place	By 2019	Upgraded ICT Software and Hardware in place	Reports		
	3.1.3. Data center Operational	By 2020	Usage	Report generated		
	3.1.4. Bi annual Workshops on sharing of best practices use for ICT in teaching, learning and research in universities held	By 2021	Numbers of workshops	Workshop reports		
Develop a regional policy for Information and Data Management	3.2.1. A regional policy for Information and Data Management developed	By 2019	Approved Policy document	Policy		
Develop an ICT Policy framework for universities in the region	3.3.1. ICT policy framework approved	By 2018	Approved ICT policy framework document	Policy document		
S0.4. To strengthen the capacity of universities to manage transformative higher education and research for sustainable development.						
4.1. Establish and Implement university leadership training programmes for the region	4.1.1. University leadership capacity building(CB) modules developed	By 2018	CB modules	CB modules document	HERRS; EPLP, QA&QF; PR	4,093,000
	4.1.2. Three (3) university leadership training programmes held annually	By 2021	Numbers of workshops held	Capacity building program reports		
4.2. Develop higher education internationalisation programmes for supporting the EAC regional integration process	4.2.1. One Collaboration MoUs signed annually	By 2021	i. Number of MOU signed ii. Scope of coverage of the signed MOUs	Signed MoU document		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
	4.2.2. Six (6) students and six (6) staff supported to attend international activities annually	By 2021	i. Number of students supported to attend international activities ii. Number of staff supported to attend international activities	Reports on the higher education internationalization programmes		
	4.2.3 Forty (40) academia from diaspora to contribute towards human resource capacity building in EAC facilitated	By 2021	Number of diaspora participants in capacity building	Reports		
	4.3.1. Four (4) thematic clusters events held annually	By 2021	Number of activities undertaken by thematic clusters	Reports		
S0.5: To enhance IUCEA's capacity to effectively fulfill its vision and mission						
5.1. Ensure appropriate staffing and Improve staff working environment and conditions to enhance staff satisfaction and institutional competitiveness	5.1.1. IUCEA staffed at least 90%	By 2019	IUCEA Secretariat fully staffed	Recruitment report	ES: DES-PFA; IA; ACC; EST; HRM; PR RI ALL OTHER UNITS	16,775,000
	5.1.2. Staff retention policy in place	By 2021	i. Staff retention Policy in place ii. Number of staff exits/attrition	Report		
	5.1.3. Staff satisfaction improved to 95%	By 2021	% of Satisfaction	Survey report		

Strategy	Set Targets	Time Frame	Performance Indicators (OVIs)	Means of Verification (MoVs)	Actors Responsible	Budget Estimate
	5.1.4 Capacity building needs of the governing structures and staff of all organs and institutions assessed	By 2018	Training needs assessment carried out and a 5 year training and Development programme in place	Training Needs Assessment Report Training Program		
	5.1.5 Training Programmes implemented	By 2021	Training Plan implemented at a rate of 80%	Training report		
	5.1.6 IUCEA performance management system reviewed	By 2020	The finalized, approved & adopted. ii. Review of the performance management system in place.	The approved & adopted Review report.		
5.2. Review and amend the IUCEA Act 2009 and operationalize the amended Act.	5.2.1. The IUCEA Act revised and operationalized	By 2020	Revised Acts in place	Revised Act document		
5.3. Construct and manage IUCEA facilities	5.3.1. At least one building of Phase 2 constructed	By 2021	Built facility of phases 2 in place	Certificate of occupancy and Building in place		
5.4. Enhance and diversify IUCEA resource mobilization mechanism	5.4.1. Resources mobilization policy developed	By 2018	Resources mobilisation policy in place	Policy document		
	5.4.2. At least 20% of IUCEA annual budget funded by sources other than partner states	By 2021	Status of implementation and outputs Number of collaborations help leverage more scholarships & funding Amount of Resource mobilised	M&E Reports Signed Financing Agreements		

Strategy	Set Targets	Time Frame	Performance Indicators (OVI's)	Means of Verification (MoV's)	Actors Responsible	Budget Estimate
5.5. Enhance and establish collaboration arrangement with regional and international institutions that are serving similar objective	5.5.1. At least 3 MoUs signed and implemented	By 2021	Number of signed MoU	MoU doc		
	5.5.2. Joint and collaborative programs developed	By 2021	Number of joint collaborative engagement	Activity reports		
5.6. Improvement of IUCEA Processes to meet International Quality Standards	5.6.1. ISO Certified	By 2019	Number of Business process documented ISO Certificate	BP Documentation Certificate		
5.7 Strengthen Planning and monitoring & evaluation capacity	5.7.1 Planning and M&E systems established and operational	By 2019	Recruited Staff Planning and M&E system	Physical verification M&E Reports		
Total Resources						43,532,000

6.2 Harnessing IUCEA Management Functions.

In line with the Strategy objective to optimize the value addition of IUCEA initiatives, coordination within and between IUCEA Secretariat, EAC Secretariat, Partner States, member universities, development partners and non-state actors (NSAs) will be focused on mainstreaming partnership into the existing IUCEA coordination architectures and mechanisms. Nonetheless, tasks could be redistributed within the IUCEA Secretariat and names of units changed for the organization structure to reflect the program results architecture.

The IUCEA Secretariat will develop an outreach and communication strategy including the help lines and platforms for regular exchange of knowledge, experience and good practices among the IUCEA partners.

6.2.1 Coordination at the IUCEA Secretariat

The mandate of the current Strategic Planning and Resource Mobilization Office (SPRMO) will be extended to incorporate an M&E unit and an AHERI (Aid for Higher Education, Research & Innovation) Partnership Fund. Once fully staffed, SPRMO will serve as a strategy and program management office supporting the IUCEA Executive Secretary overall coordination work, under direct supervision of the DES-PFA (Deputy Executive Secretary- Administration and Finance).

For sustained institutional capacity strengthening at both IUCEA Secretariat and member universities, a knowledge value chain will be established in the SPRMO and shared with ICTO (technical aspects). Key activities of that function will include but not necessary limited to: strategic analysis/innovation; development, storage, dissemination and support to utilization of knowledge.

6.2.2 Coordination with EAC Secretariat, Partner States and Development Partners

In line with the IUCEA governance structure, an IUCEA Technical Working Group (TWG) on AHERI will be established at the regional level as a subcommittee of the Executive Committee. The mandate of the IUCEA TWG on AHERI is to provide a facilitation forum for integrated approach to operationalizing and implementing AHERI. Its membership will target recipients and development partners involved in the formulation and implementation of the joint assistance strategies for higher education, research and innovation. SPRMO will follow-up on implementation of IUCEA initiatives, including follow-up on management responses (as they will include management action plan) to M&E reports.

6.2.3 Coordination with Non-State Actors (NSA)

The stakeholder motives, capacity and commitment to involvement will be assessed at the outset of the IUCEA initiative and the stakeholder involvement differentiated accordingly. To cultivate NSA collaborative relations and maximize potential synergies, the following specific principles and criteria for involvement of NSAs in APPP should apply: Independence and impartiality; Transparency and fair competition; Reciprocity and shared protection; Corporate social responsibility; mutual respect.

Increased institutional capacity of both the IUCEA Secretariat and the member universities in Partner States to receive, integrate, and incorporate NSA's input in IUCEA initiative management cycle will be built-in into the IUCEA APPP framework.

6.2.4 Resource Management

Effectiveness of IUCEA initiatives design and implementation will be enhanced through mainstreaming of partnership and resource mobilization competencies and/or technology transfer into all of the IUCEA human resource management system components.

a) Human resources management

It is expected that the staffing of the current organization structure will be fully completed within the next two years, including through lateral mutations, secondments, internships, volunteers and/or statutory staffing processes. SPRMO, DES-P&F and the new Research & Innovation Coordination unit (RICO) are part of the staffing priorities. Also expected is increased motivation and productivity from the results-based rationalization of individual and unit tasks.

b) Procurement

Procurement is the business management function that ensures identification, sourcing, access and management of the external resources that an organisation needs or may need to fulfil its strategic objectives (CIPS Australasia 2013). The strategic role of procurement is even more evident in a partnering organization such as IUCEA.

The procurement unit will be made more accessible to DES-PFA with a view to ensuring that all program activities are well and timely serviced. RMA and SA may join PO under SPRMO or a distinct unit of the same hierarchy level. The second phase of the IUCEA Head Quarters will continue to be managed as special project, as that is the case for the Higher Education Centers of Excellence Project.

In addition to results-based IUCEA initiative procurement, IUCEA Secretariat will reinforce its own public-private partnership framework in light of the EAC one for it to serve as tools for integrating EAC enterprises, mainly SMEs, in regional and global value chains.

c) ICT & Data Management

The mandate of the current ICT Office (ICTO) will be extended to incorporate a knowledge management function shared with SPRMO, as well as a programmatic function geared to the promotion of: ICT skilled university actors and labor; use of ICT in collaborative training, research, innovation, and support services; and, use of ICT for higher education institutional knowledge management systems.

Therefore, IUCEA/ICTO will maintain management information systems and databases on higher education, research and innovation, including documentation of good practices and lessons learned. It will promote more integration and interconnection of the existing and future university management systems across the Community, starting with access to physical and electronic library resources. Such registries may include in the medium term a dedicated regional resource mobilization and AHERI information management system.

d) Transformational Leadership development

The mandate of the current Quality Assurance and Qualifications Framework Office (QAQFO) will be extended for it to cover the entire IUCEA program activities related to human capital, skills development and utilization. These activities include the development of transformational leadership competencies for member universities, as well as IUCEA staff, particularly in the areas of APPP and regional identity/EAC citizenry for sustainable development. The Human resources management unit (HRAO) will provide special assistance in implementation of the Program.

The program initially intended but not yet implemented since the 2006-2011 Rolling Strategic Plan will be updated in design. The IUCEA-coordinated Transformational Leadership Development Program will use multiple experiential learning-oriented methods and techniques in a complementary manner.

In addition to core modules delivered in Kampala on APPP and regional identity, specialized leadership workshops tailored to specific needs of a requesting university/organization or community or Partner State will be delivered to small groups, particularly at the local level. The duration of specialized workshops will be determined by the specific learning needs being addressed.

6.2.5 Strategic selection and mix of IUCEA initiatives to coordination

Application of the stated guiding principles for establishing IUCEA initiatives will lead to a pragmatic case-by-case approach whereby the mechanisms, the thematic clusters and geographic areas of intervention are selectively matched based on identifiable synergies. Of course, there are variations in the strength and degree of connectedness

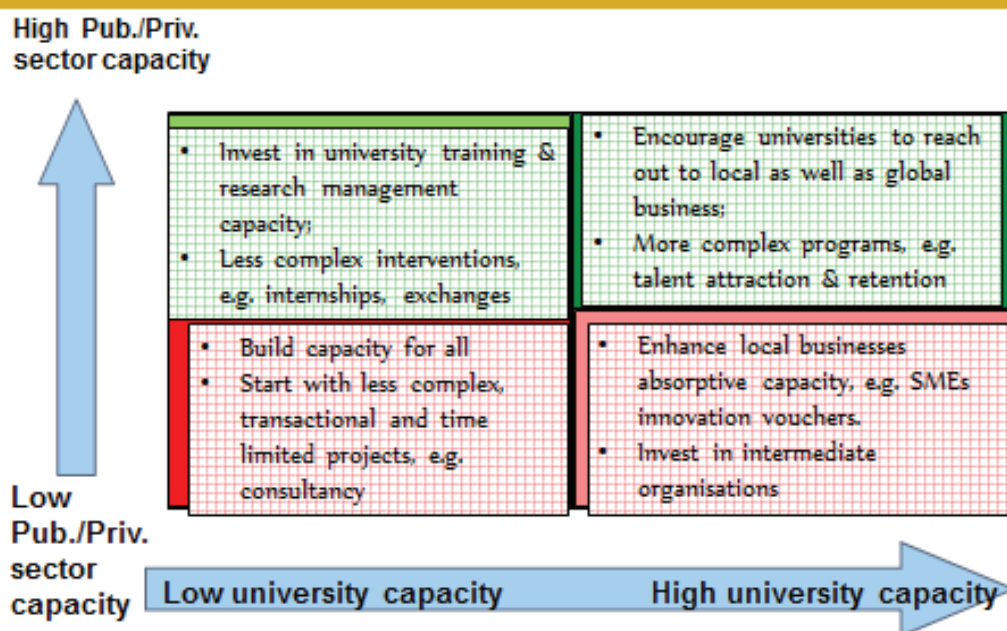
within and between the higher education, and the public and private sectors across EAC, so that no one size fits all collaborative model for the region.

The simplified model in Figure 2 will guide the selection, design and appraisal of IUCEA interventions, while the retained key priorities for the five-year plan period are reflected into the implementation action plan matrix. The final selection and prioritization of individual and/or mix of IUCEA initiatives should be based on a comparative value-for-money analysis at the different levels: Projects/programs; national/regional activities and partners; bilateral/multilateral/south-south development partners, NSAs, etc.

Such a selectivity exercise will aim at ensuring the initiatives that are supported to address concrete structural obstacles for the university connection to the Community development results. Thus, the cumulative impact of the interventions will be optimized through minimization of possible:

- i) Deadweight effect- When the development results sought through the IUCEA initiative could have been achieved through business as usual (normal/ conventional cooperation, aid, trade and investment);
- ii) Displacement effect- When, for example, partners reduce the level of development assistance through aid and/or trade and investment; or,
- iii) Substitution effect- When the IUCEA initiative benefits replaced the benefits that could have been obtained anyway without its intervention.

Figure 2: *APPP for regional integration*
Selection, design & prioritization of interventions



6.2.6 Anticipated challenges

During the implementation period of the Strategic Plan, IUCEA expects the following challenges;

- i) Inadequate funding to cover the estimated costs for implementation of all planned activities, mainly due to; low remittances of contributions by Partner States; high unrealistic expectations from the Community;
- ii) Delayed operationalization of the recommendations of the functional review and the new governance structure, due to long process for enactment of the IUCEA Bill;
- iii) Understaffing of both IUCEA programmatic and enabling positions, but particularly the functions of planning, resource mobilization, monitoring and evaluation.
- iv) Delay to assent to a new IUCEA Act, since the existing Act that has a number of inconsistencies and contradictions in relation to operations and status of IUCEA as an institution of EAC.
- v) Resistance to change and embrace of management for results Approach by IUCEA staff

However, mitigating factors have been suggested to overcome some challenges and risks as detailed in **Annex A**.

6.3 Monitoring and Evaluation Framework

6.3.1 Monitoring arrangements

The purpose of monitoring will be to assess the actual situation compared to the programmed information originally defined in order to keep track of implementation and progress towards the expected results and take remedial actions when needed. It furthermore includes self-evaluation by the responsible officer who interprets the information and defines possible explanations to eventual discrepancies between the “expected” and the “achieved” leading to lessons learnt. It will again be an opportunity to enhance ownership and sustainability by mobilizing and involving key partners and direct beneficiaries through a participatory approach by requesting their contribution to collect information and feedback for monitoring purposes.

The DES-PFA will be accountable for program performance measurement and evaluation. Progress toward achievement of the five IUCEA specific objectives and actual level of their attainment will be measured using both quantitative and qualitative data collection techniques from the perspectives of a balanced scorecard:

- i) Beneficiaries' outcomes at the individual (university actors), organization and Community levels;
- ii) Program design and delivery outcomes;
- iii) Learning and growth (internal capacity development) outcomes;
- iv) Program value-for-money for member universities and IUCEA.

At the strategic level, attainment of the IUCEA overall objective will be assessed through synthesis of individual initiative M&E products including: Annual M&E plan; Quarterly monitoring progress reports; Annual strategic review report; Comprehensive evaluation of IUCEA programs (mid & end-term). SPRMO will follow-up on implementation of IUCEA initiatives, including follow-up on management responses (as they will include management action plan) to M&E reports. It will also identify what works/what doesn't and lessons learned for initiative adjustment or development of new ones.

Monitoring at this level will also involve determining whether the expected results are being achieved after implementation of strategic actions, determining the causes of deviations from expected results and modifying strategic actions in order to get back on course of meeting or exceeding the set outcome indicators

6.3.2 Strategic Plan Evaluation

The responsible officer will base on relevant performance indicators to track progress and to assess the effectiveness of the interventions, i.e. if the intended results were achieved. Performance indicators support effectiveness throughout the processes of programming, implementation, managing, monitoring, reporting and evaluation.

There will also be a midterm review of the strategic plan after two and a half years and end term evaluation on expiry of the term of implementing the Strategic Plan.

Critical factors for successful implementation of the proposed IUCEA Strategic Plan are multiple and located at multiple levels: Finance; national higher education policy vs. regional policy; EAC machinery; university governance, management and leadership; collaborative vs. confrontational business-government-university relations, etc. Successful connection of EAC's universities to EAC's development results will require a synergistic combination of political, managerial and intellectual leadership. One crucial danger that is not always perceived by all partners is the lack of sufficient commitment not to succumb to the temptation of warm-money aid projects that are disconnected consciously or not to the objectives of regional integration.

6.3.3 M&E Report Formats

The M&E report formats as annexed may be modified in line with available administrative and operational instruments, and by the evolution and adaption of technologies, especially ICT. Operationalization of the IUCEA M&E Framework shall be aligned to the EAC Management Information System (MIS), which is now at advanced stage of development. The EAC MIS may contribute in determining the formats of the M&E information being generated. For any format of reporting will be in accordance with the IUCEA Monitoring & Evaluation Framework of March 2013. Sources of Information for Reports includes; Units reports, Committee reports, council reports, Project reports, Field visits reports among others. The descriptions of the items in the proposed format are presented in Annex D.

ANNEXES

ANNEX A: KEY ASSUMPTIONS, RISK AND MITIGATION STRATEGIES

Low Likelihood  Medium likelihood  High Likelihood 

ASSUMPTIONS/ RISKS	CAUSE	CONSEQUENCES	LIKELI- HOOD	RISK MITIGATION STRATEGY
1) Success of the IUCEA programmes implementation	<ul style="list-style-type: none"> ➤ Training and dialogue-addicted participants for economic or other reasons ➤ Advocates of the status quo in power influence (shared voice) and socio-economic inclusiveness, 	Failure to achieve IUCEA mandate and expectation		<ul style="list-style-type: none"> ➤ Access to IUCEA programs will be institutional-driven rather than on individual demand; needs will be assessed and where applicable Individual Learning Action Plans be developed at entry; ➤ IUCEA will assist universities, firms and governments in assessment of transformational leadership development needs and in alignment of program participation with organizational results targets; ➤ IUCEA communication strategy will focus on social marketing techniques to promote its program visibility and distinctiveness; ➤ IUCEA will work with the Ministries of education and national university councils/commissions on mainstreaming regional connectivity at all levels of education, starting with universities.
2) The bill to review the IUCEA Act 2009 not assented to by Partner States	Many competing needs	Interruption of smooth delivery of services due to failure to staff the Council appropriately		<ul style="list-style-type: none"> ➤ Lobbying the EAC organs to pass the revised bill

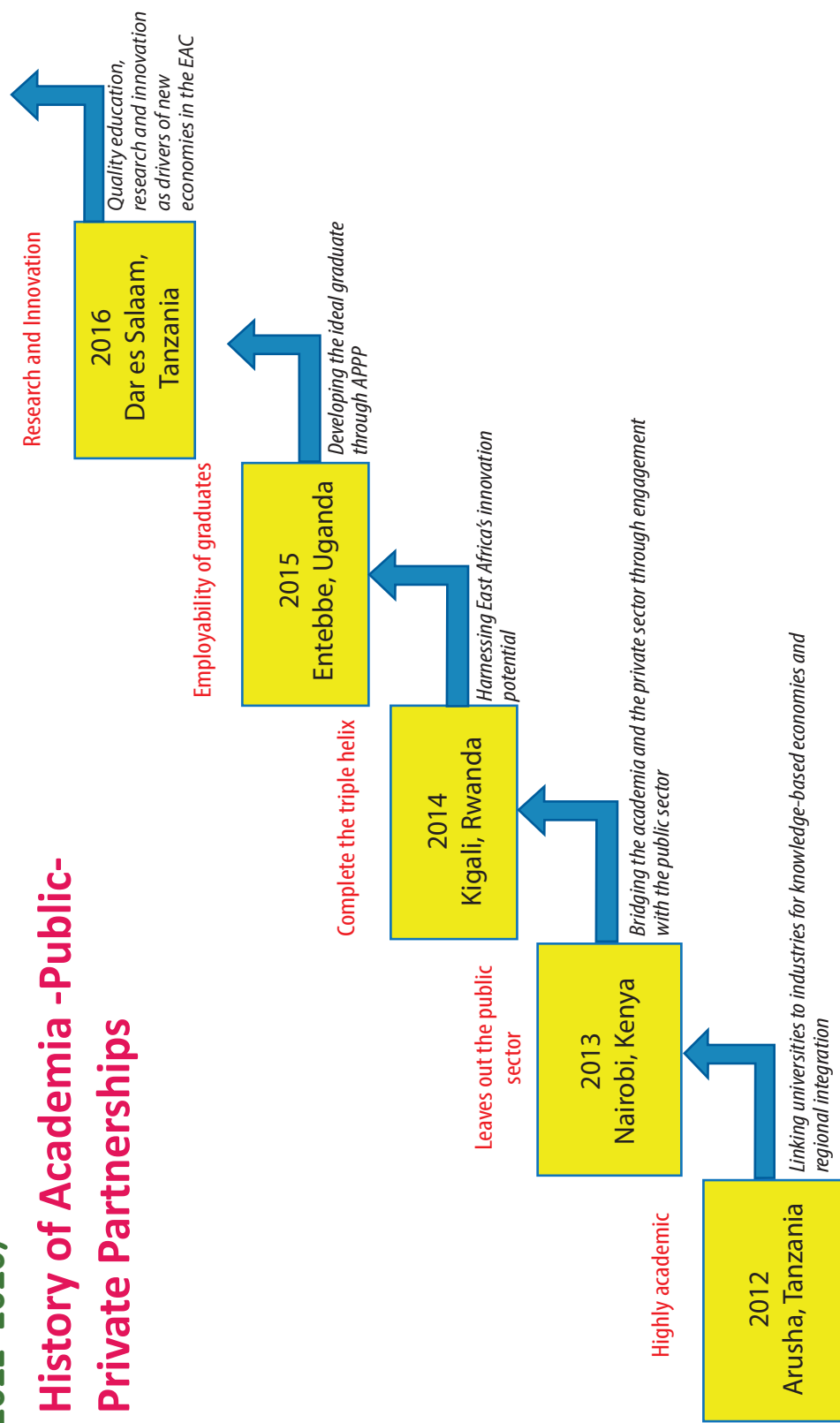
ASSUMPTIONS/ RISKS	CAUSE	CONSEQUENCES	LIKELI- HOOD	RISK MITIGATION STRATEGY
3) Focus of HERI	<ul style="list-style-type: none"> ➤ Focus is no longer on rewards for academic research & teaching, ➤ Private and public sectors are not dominated by firms and institutions with low demand or absorptive capacity for innovation. 	Reduced investments in academic research & innovation in HERI		<ul style="list-style-type: none"> ➤ IUCEA will mainstream inclusiveness/diversity, transparency and mutual accountability in selection of program beneficiaries, facilitators, mentors and coaches, as well as its partnerships with regional and global HERI actors; ➤ Follow-up activities, including monitoring of skills development and research/innovation leaders utilization will contribute to identification, development, retention and promotion of talent in leader positions across the regional university, public, private and civil society sectors.
4) Success of Strategic Plan implementation	Success contingent on continued support and engagement of all partners for a steady increase in collaborative capacity.	Failure to implement the strategic plan		<ul style="list-style-type: none"> ➤ IUCEA communication strategy will rely on its historical record of resilience to focus on promotion of non-confrontational character of APPP, along with effective application of the stated principles of subsidiarity and complementarity of interventions at the regional and national levels. ➤ The IUCEA's program on regional identity building will contribute to continued improvement of cross-sector and cross-community collaborative culture.
5) Timely availability of dedicated resources (both human and financial)	<ul style="list-style-type: none"> ➤ Attraction by other regions of promising academic leaders due to globalization and better opportunities; ➤ Delay by Partner States & member universities to remit their contribution and clear arrears 	Failure to effectively implement activities, loss of credibility and comparative advantage		<ul style="list-style-type: none"> ➤ IUCEA will ensure that highly qualified professional corps of APPP facilitators and university managers is established, maintained, updated and it includes both national, regional and international leaders; ➤ Partners will be requested to support the IUCEA program activities with both financial technical expertise, including through the AHERI Partnership Fund to be established;

ASSUMPTIONS/ RISKS	CAUSE	CONSEQUENCES	LIKELI- HOOD	RISK MITIGATION STRATEGY
6) Program performance measurement and evaluation	Lack of effective system & tools	Difficulty in ensuring effective program targeting and assignment of scarce resources		<ul style="list-style-type: none"> ➤ Within the revised M&E framework, in addition to personal and individual institution outcomes, IUCEA will track its program beneficiaries in formal leadership roles and indicators of their contribution to impact in organizations and communities and EAC-wide.
7) Academic fraud and declining quality of university outputs	<ul style="list-style-type: none"> ➤ Mushrooming universities and competition for resources 	<ul style="list-style-type: none"> ➤ Failure to recognize qualifications from some universities ➤ Youth and graduate unemployment 		<ul style="list-style-type: none"> ➤ Harmonization of quality standards ➤ Implementing the EAC Qualifications Framework ➤ Enforce the inspection programmes among Partner States
8) ICT Systems	<ul style="list-style-type: none"> ➤ Failure in ICT System 	<ul style="list-style-type: none"> ➤ Service delivery inhibited hence affecting IUCEA operations 		<ul style="list-style-type: none"> ➤ IT strategy implementation ➤ Enhance ICT Policy, procedures and guidelines awareness ➤ Set up business continuity plans
9) Compliance	Failure to comply with key legislation or legal requirements (legislation, political involvement, investment standards, protocol, intellectual property etc)	<ul style="list-style-type: none"> ➤ External censure and financial loss and damage due 		<ul style="list-style-type: none"> ➤ Put in place compliance and monitoring function ➤ Develop tools, checklists for enforcing compliance ➤ Embed compliance in performance management system ➤ Report all issues of non-compliance ➤ Conduct compliance audits

ASSUMPTIONS/ RISKS	CAUSE	CONSEQUENCES	LIKELI- HOOD	RISK MITIGATION STRATEGY
10) Assets management	Failure to safeguard and maintain IUCEA asses	<ul style="list-style-type: none"> ➤ Assets not properly utilized ➤ Accidents, loss of resources 		Effective mechanism for: asset register; proper assets disposal and insurance of assets
11) Inability to attract, develop and retain competent professional personnel	<ul style="list-style-type: none"> ➤ Salary structure tagged to the EAC salary structure yet not allow for adjustment ➤ service regulations limiting professional staff employment to 10 years only 	<ul style="list-style-type: none"> ➤ Key aspects of IUCEA functioning unattended to as a result of inadequate funding ➤ Reduced levels of service provisions, ➤ low knowledge retention, skills, loyalty, integrity, ethics, health and safety 		<ul style="list-style-type: none"> ➤ Propose attractive salary payment package in order to attract highly competitive experts ➤ Fully fledged human resource function ➤ Effectiveness of workforce development policy and process ➤ Review of HR strategies and policies and procedures to meet both business and employment law requirements
12) Inability to attract, develop and retain competent professional personnel	<ul style="list-style-type: none"> ➤ Salary structure tagged to the EAC salary structure yet not allow for adjustment ➤ service regulations limiting professional staff employment to 10 years only 	<ul style="list-style-type: none"> ➤ Key aspects of IUCEA functioning unattended to as a result of inadequate funding ➤ Reduced levels of service provisions, ➤ low knowledge retention, skills, loyalty, integrity, ethics, health and safety 		<ul style="list-style-type: none"> ➤ Propose attractive salary payment package in order to attract highly competitive experts ➤ Fully fledged human resource function ➤ Effectiveness of workforce development policy and process ➤ Review of HR strategies and policies and procedures to meet both business and employment law requirements

ANNEX B: EXTRACT OF ACADEMIA PUBLIC PRIVATE PARTNERSHIP FORUM RECOMMENDATIONS (2012-2016)

History of Academia - Public-Private Partnerships



The various stages of the evolving partnership are summary.

I. RECOMMENDATIONS FROM 2012 APPP FORUM

Theme- **“Linking universities to industry for knowledge based economies and regional integration”**

GENERAL

1. The relationship between the government and university, and industry and university should be structured
 - Define the role of government and industry in the promotion of university education (teaching and learning), research, enterprise and service
 - Redefine university-industry linkages
 - Identify and define the institutional framework along the university-industry chain
 - Universities and industry should build their relationship on collaborative programs
2. Universities should serve the public, not just concentrating on HE (academic) and basic research
3. The University-Industry Linkages Forum should be an annual event

GOVERNMENTS

- The governments of Partner States of the East African Community should put in place mechanisms
- To make key universities research centres and growth engines in the knowledge-based society
- To make the university system more responsive to the market demand for an educated labour force and to support the process of industrialization through the development of graduate studies and academic research;
- To reform the science; technology and innovations, decentralize budget and managerial control, and encourage establishment of linkages between universities and HE institutions, and industry;
- To legalize the initiatives of the universities on commercialisation of research results, including the rendering of services, the formation of partnerships with companies in research projects, creation of technology companies, and the patenting and licensing; and
- Establish and operate an incentive regime to enhance the cooperation between universities, HE institutions and industries.

EAC SECRETARIAT

- Spearhead a regional framework for university-industry linkages in widening and deepening the EAC integration process
- Strengthen Public Private Partnership for Rating of study fields

INDUSTRY

- Form strategic alliances with universities and HEIs
- Active involvement in academia governance [Advisory boards etc...]
- Support compulsory and fully accredited internships
- Support the establishment of Standards Dissemination Bodies

IUCEA

- The IUCEA should ensure that policies for changing and improving incentive mechanisms and strengthening the R&D capability of universities are ongoing, and promote and sustain universities and industry linkage.
- Initiate the process for the establishment of a regional research project information system

UNIVERSITIES & HEIs

- To make key universities research centres and growth engines in the knowledge-based society
- Universities should adopt new strategies for the dissemination of research results and transfer of technology, including spin-off companies around academic research projects; creation and multiplication of business incubators, technology transfer offices, and technological parks.
- The Universities should re-orient university research toward more applied research, define priority areas for science, engineering and technology development; and the creation of productive scientific networks integrated collaboration where research, creation of technologies, production and commercialisation of products are part of continuous process.

II. RECOMMENDATIONS FROM 2013 APPP FORUM

Theme **“bridging the academia and private sector through engagement with the public sector”**

Four broad recommendations were arrived at:

1. Need for a Paradigm Shift
2. EAC : Creative Economic Area
3. Build a Strong Knowledge Society
4. Structured Knowledge Transfer Framework

NEED FOR A PARADIGM SHIFT

- A paradigm shift shall require strong country commitment, ownership and ambition to ensure new ways of working to endure in the long-term. Ambition and determination from the state, the business sector and the academia are all essential in the design of interventions and provision of resources to drive the Academia-Private Sector Partnership (APSP) process
- This paradigm shift will also require moving to more programmatic approaches covering whole sectors or economies of the Partner States, and this may call for clear incentives and guidance, support for necessary capacity development, and structured knowledge sharing, matched with the provision of necessary resources

EAC: CREATIVE ECONOMIC AREA

- Hard decisions must be made on whether the EAC, based on its economic and socio-political structure, should focus more on services sector than manufacturing, harnessing innovation than industrialisation, or commodities extraction than transformation.

BUILD A STRONG KNOWLEDGE SOCIETY

- Reforming the education, training and research systems to realize the bold state policies in national visions, the Community must build a strong knowledge society and this will require a holistic Education, Science and Innovation policy framework.
- Therefore, the Community should re-examine its higher education system, science, technology and innovation policies in the long term.

STRUCTURED KNOWLEDGE TRANSFER FRAMEWORK

- Deliberate support to development of national and regional innovation systems, structures and measures is necessary to encourage purposeful collaboration and partnerships. Motivation of academia and the business sector will enhance their input into and consumption of research and innovation products. Innovation indicators need to be established and launched around key change factors to stimulate socio-economic transformation.

II. RECOMMENDATIONS FROM 2014 APPP FORUM

Theme **“Harnessing East Africa’s Innovation Potential”**, Resolutions outlined within six broad areas:

1. RESEARCH AND INNOVATION: setting a clear research agenda for the region, developing a regional innovation system, developing a research and innovation capacity building program for East Africa, and establishing a regional innovation fund.

2. SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM): prioritizing STEM in the regional agenda, establishing collaboration with the national academies of science in the Partner States, and establishing a programme to enable students develop individual projects in the area of innovation and/or entrepreneurship as part of their studies.

3. QUALITY ASSURANCE: fast-tracking implementation of East African Qualifications Framework for Higher Education, and reviewing curricula to integrate soft skills including entrepreneurial skills.

4. LINKAGES AND PARTNERSHIPS: Developing institutional frameworks for academia-industry linkages, establishing a comprehensive academia-public-private partnerships database, and undertaking customer satisfaction surveys and graduate tracer studies by HEIs to establish absorption of their graduates into the productive sectors.

5. FUNDING: increasing government investment in higher education, research and innovation, and promoting private sector investment in R&D.

6. POLICY AND LEGISLATION: setting up regulation to encourage technology transfer in foreign direct investment (FDI), and developing policies to facilitate joint mentorship programmes to groom young professionals.

IV. RECOMMENDATIONS FROM 2015 APPP FORUM

Theme “**Developing the Ideal Graduate through Academia-Public-Private Partnerships.**”

INTER-UNIVERSITY COUNCIL OF EAST AFRICA (IUCEA)

1. As the regional coordinating institution for higher education in East Africa, it was resolved that IUCEA should initiate the formation of a Task force comprising of the Forum partners to ensure the development and implementation of an action plan to implement all the recommendations/resolutions of the Higher Education Forum.
2. It was also resolved that IUCEA should seek to attract more financial and other organizations to join the partnership between industry and academia in East Africa to foster the development of quality higher education institutions and production of competent and creative graduates and quality research output to meet the development needs of the region. In addition, the Forum urged IUCEA to explore further possibilities for partnership with DAAD in order to expand on the gains of the quality assurance initiative partnership between the two institutions (2006-2015).

UNIVERSITIES IN EAST AFRICA

The Forum resolved that universities in the regions should do the following:

1. Commit to carry out research that can be translated into business ideas and provide solutions for every day work problems. In this regard, universities should partner with the private sector (industry and the business community) in the development of research agenda and execution of research projects.
2. Recognize and respond to current trends in their research, teaching and learning in order to address emerging issues of the region. For instance, universities should align education to current demands for skilled labour in areas of oil and gas technology, railway development and mineral technology.
3. Pursue joint-venture ships with relevant industry players by involving the business community in the planning, implementation, monitoring and review of curriculum, research projects and other income generating projects for sustainable partnerships.

NATIONAL COMMISSIONS AND COUNCILS IN EAST AFRICA

The Forum emphasized the need for regional integration within a framework of sensibility and respect for national values. In this respect it was recommended that National councils and commission should facilitate the “operationalization of the regional tools and publications (benchmarks, qualifications framework, principles and guidelines for QA etc) developed by IUCEA in their respective countries”.

PRIVATE SECTOR PARTNERS

1. The 2015 Higher Education Forum appreciated the fact that both academic and the private sector are increasingly speaking a common language since 2012. It was agreed that the trend should be encouraged through more dialogue and engagement in active partnership. In pursuit of this partnership It was resolved that the private sector should:
2. Communicate their needs in terms of research, consultancy, type of graduates, and other product universities; the sector should take interest and participate in defining the competencies of graduates and research products that are responsive to their needs and the development needs of the region.
3. Engage with universities in the development and delivery of curriculum that is innovative and responsive to current needs of society. As such, professionals in the private sector should be willing to support the teaching and supervision of practical courses in the university and industry. The sector should thus continue to provide and extend internship opportunities for students.

4. Increase involvement in financing higher education by supporting research and innovation projects, skills development activities and other resource strategies.

EAST AFRICAN COMMUNITY (EAC) PARTNER STATES

The forum recommended that the partner states should:

1. Develop a policy framework to guide private-public partnership (PPP) in the region to create an environment conducive for investment and the creation of jobs to absorb the young graduates of the region.
2. Give tax breaks and other incentives to people interested in starting businesses. This would encourage economic growth and hence provide training and job opportunities.
3. Provide tax breaks for universities importing required materials for building good teaching and learning infrastructure. This will support universities in building their capacity for teaching and research thus contribute meaningfully to the development of quality manpower for the region.

It was also recognized that there were some cross cutting recommendations the stakeholders involved. These are contained in these general resolutions as follows:

1. Each stakeholder (academia, public or private) should revisit the resolutions and draw an implementation plan to ensure their contributions towards the ideal graduate from the region. The forum partners should seek to ensure implements all recommendations of the 2015 forum as well as previous ones.
2. In the next meeting, the program should be designed to allow each of the partners or representatives to update the forum on what has been achieved.

V. RECOMMENDATIONS FROM 2016 APPP FORUM

Theme: **“Quality Education, Research and Innovation as Drivers of New Economies in the East African Community”**

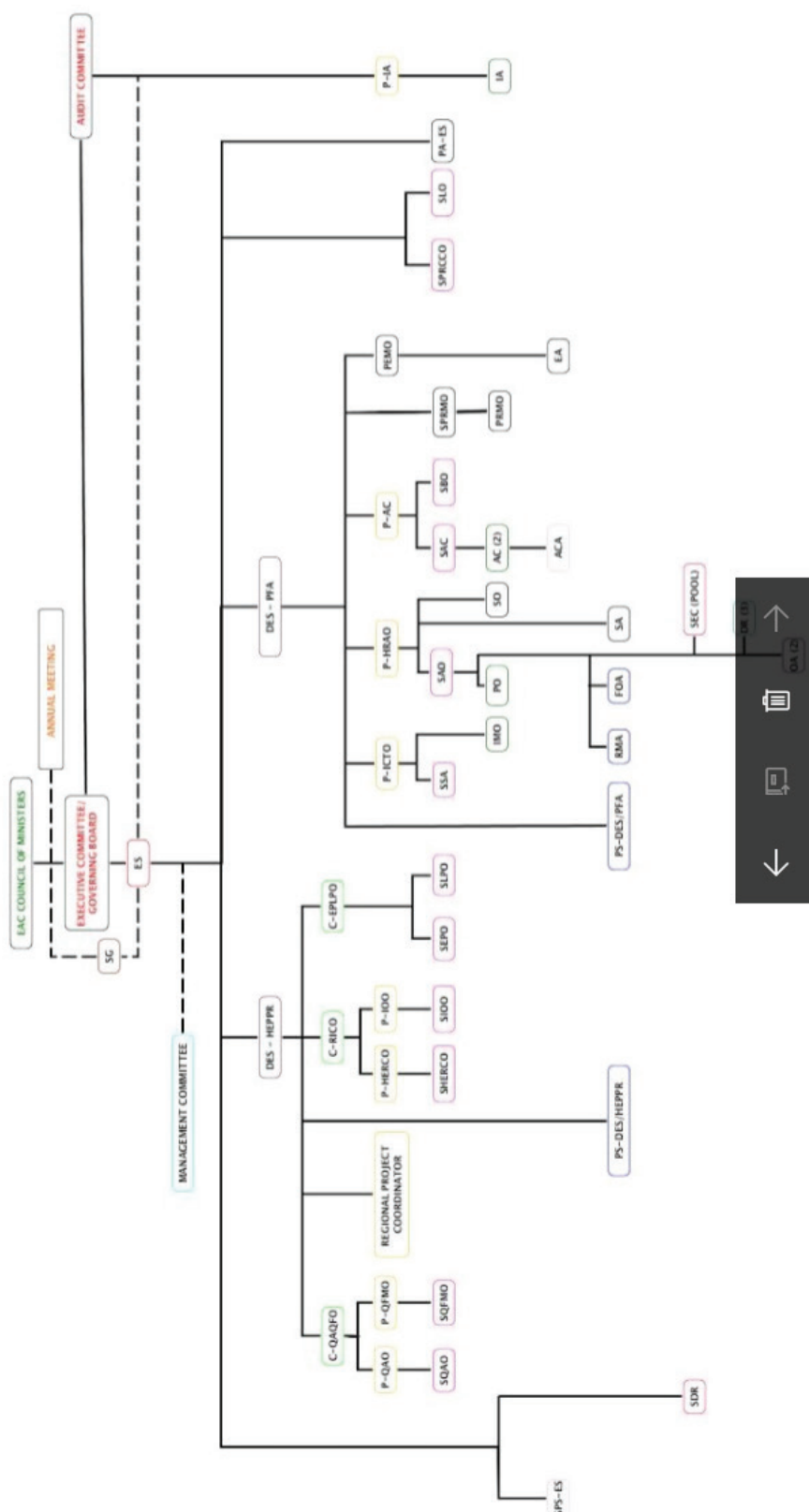
1. IUCEA to coordinate the establishment of a Regional Committee to monitor implementation of recommendations made in this Forum composed of the representatives of the partners and experts from the key themes taking into consideration country representation. There should also be sub-committees set to address specific thematic areas (ICT, Agro-industry, Tourism, Finance services and Oil & Gas). An action plan should be developed to implement these recommendations.

2. IUCEA should create a system that can document best practices from the Centres of Excellence to facilitate sharing of knowledge to non-participating institutions and to inform future initiatives.
3. The ACE Initiative should be used to foster South-South collaboration to address the existing collaborations which are skewed towards Europe and North America at 60% - 70%, as compared to W. Africa about 2% and Southern Africa 6% - 7%.
4. IUCEA should develop a clear and comprehensive policy framework to guide the partnership between academia, public and private sectors in the region.
5. IUCEA to coordinate the establishment of a Regional Committee to monitor implementation of recommendations made in this Forum composed of the representatives of the partners and experts from the key themes taking into consideration country representation. There should also be sub-committees set to address specific thematic areas (ICT, Agro-industry, Tourism, Finance services and Oil & Gas). An action plan should be developed to implement these recommendations.
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20. IUCEA should develop a clear and comprehensive policy framework to guide the partnership between academia, public and private sectors in the region.

ANNEX C: IUCEA ORGANISATION STRUCTURE



ANNEX D. FORMAT OF THE QUARTERLY PROGRESS REPORT

INTER-UNIVERSITY COUNCIL FOR EAST AFRICA
P.O. BOX 7110, KAMPALA, UGANDA

Unit					
Compiled by:					
Date of Reporting:					
Reporting Period:					
Reviewed and Signed - Supervisor					
Strategic Objectives.....					
Strategies	Planned		Achievements		Planned Remedial Actions
	Planned activities	Planned targets	Performed activities	Achieved Targets	
Overall Assessment					
Challenges					
Recommendations and Way Forward					



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