



**Institutional as-
sessment IUC Call**

2022



**Jaramogi Oginga Odinga University
of Science and Technology**

10th June 2020
Patrick Stoop and Levi Koyio
C-lever.org

Table of contents

List of abbreviations	4
1. Executive summary	5
1.1 <i>The institutional assessment process</i>	5
1.2 <i>Conclusions of the institutional assessment of the university</i>	5
1.3 <i>The match of the university with the IUC concept</i>	9
1.4 <i>Relevance and potential of the proposed IUC programme</i>	9
2. Introduction	11
2.1 <i>Brief history of university in region</i>	11
2.2 <i>Development context</i>	11
2.3 <i>Implementation of the institutional assessment</i>	13
2.3.1 <i>Presentation of the institutional assessment approach</i>	13
2.3.2 <i>Institutional self-assessment process</i>	13
2.3.3 <i>External institutional assessment process</i>	15
3. Institutional assessment of the university	18
3.1 <i>Capability to achieve coherence</i>	18
3.1.1 <i>There is a shared and coherent vision and strategy on university/faculty level</i>	18
3.1.2 <i>Existence of a set of simple principles which govern the university's/faculty's operations</i>	20
3.1.3 <i>University's/faculty's governance/management structures are effective</i>	22
3.2 <i>Capability to deliver on development relevant objectives and commitments</i>	24
3.2.1 <i>The university provides high quality, development relevant education</i>	24
3.2.2 <i>The university is a multidisciplinary institution that produces major amounts of high-quality research</i>	26
3.2.3 <i>The university is perceived as a real actor and driver of Change</i>	28
3.3 <i>Capability to relate to external stakeholders</i>	30
3.3.1 <i>The university creates the condition for effective network development and is aware of the importance of formal institutional alliances</i>	30
3.3.2 <i>The university has a vast network which is actively used</i>	32
3.3.3 <i>The university obtains additional project funding</i>	33
3.4 <i>Capability to act and commit</i>	35
3.4.1 <i>The university is able to make and implement decisions</i>	35
3.4.2 <i>The university has adequate and well managed Human Resources</i>	36
3.4.3 <i>The university has an adequate infrastructure</i>	38
3.4.4 <i>The university has adequate and well managed financial resources</i>	40

3.4.5	The university has effective systems and processes for administration and procurement and logistics	41
3.4.6	The university has effective systems and processes for project management and quality assurance	43
3.5	<i>Capability to adapt and self-renew</i>	44
3.5.1	Effective management in shifting contexts	44
3.5.2	The university is continuously adapting and renewing	46
3.5.3	The university has an adequate knowledge management system	48
4.	Assessment of the match of the university with the IUC concept	50
5.	Relevance and potential of the proposed IUC programme	56
6.	Overall conclusions	58
7.	Annexures	60
7.1	<i>Checklist collection of additional data and documentation</i>	60
7.2	<i>Overview of key additional data collected</i>	61
7.3	<i>Overview of internal and external stakeholders met by the external assessment team</i>	64
7.4	<i>Detailed scoring card – maturity levels per domain and aspect</i>	68

List of abbreviations

BUC	Bondo University College
CUE	Commission for University Education (<i>national level commission</i>)
DVC	Deputy Vice Chancellor
GoK	Government of Kenia
IA	Institutional Assessment
INSEFOODS	African Centre of Excellence in Sustainable Use of Insects as Food and Feed (<i>World Bank funded research and education initiative hosted and managed by JOOUST</i>)
JOOUST	Jaramogi Oginga Odinga University of Science and Technology
KMRI	Kenya Medical Research Institute
LVB	Lake Victoria Basin
LVBC	Lake Victoria Basin Commission
MoU	Memorandum of Understanding
NRF	National Research Fund
QEA	Quality Enhancement and Assurance
RIO	Research, Innovation & Outreach
VC	Vice Chancellor (<i>corresponding to the position of the Rector in Flemish universities</i>)

1. Executive summary

1.1 The institutional assessment process

The institutional assessment consists of two stages: (a) a self-assessment by the university of its institutional capacity and (b) a joint assessment of the university's institutional capacity facilitated by external assessors. The institutional assessment framework is based on the 5 capabilities model developed by ECDPM; each capability comprising several domains. The assessment implies discussing, assessing and documenting every domain, including the identification and justification of its current maturity level, appreciated on a scale from 1 (absent or extremely weak) to 6 (a role model).

The institutional self-assessment, started on 12th February 2020; it was conducted by a representative team of 25 key staff, led by the Local IUC Coordinator, Prof. Benson B.A. Estambale MB - Deputy Vice Chancellor Research, Innovation & Outreach (RIO). A final version of the self-assessment report was submitted to C-lever.org on 1st March 2020.

The joint institutional assessment exercise was facilitated by 2 external assessors; Mr. Patrick Stoop – lead assessor and Dr. Levi Koyio – 2nd assessor. The field phase, in JOOUST's premises was conducted from Thursday 5th March 2020 till Friday 13th March. Afterwards multiple international partner / donor feedback interviews were conducted via Skype.

1.2 Conclusions of the institutional assessment of the university

1. Capability to achieve coherence		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
1.1 Vision and strategy	4-	JOOUST has a clear vision and mission statement; these are widely known and supported by academic and non-academic staff and by the students. However, the vision statement is still mainly inward looking (being a top university) and does not yet appropriately express JOOUST's ambition of generating transformative outcomes in society. JOOUST has a 5 year strategic plan, which is periodically reviewed and was revised recently. The strategy is based on prior analysis of the university's context; however, some strategic timelines seem rather optimistic while several topics might be further developed and thought-through. While the 10 school have annual work plans aligned to the University's strategy; they still lack own business and/or school-level strategic plans. Overall within JOOUST, there is a reasonable level of coherence between the mission, the strategies, resources, processes, concrete actions, results and outcomes. Thus, the strategic plan truly functions as both leadership and managerial instrument.
1.2 Principles	4+	JOOUST has a set of clear values that are effectively shared among and adhered to by leadership, management, staff and students of the university. Many crucial policies and procedures are already developed and used in JOOUST; they contribute to governance, both for more strategic oversight and for steering operations. Such policies and procedures are available regarding: (a) research and education and (b) crosscutting dimensions as gender, environmental sustainability, internationalisation, integrity, etc. Overall, JOOUST and its faculties (schools) benefit to a satisfactory extent from principle-based governance. However, the institutional assessment identified a clear risk that focus on compliance with many detailed policies, regulation and procedures might comprise the advantages of value driven, and principle-based governance. It is thus important for JOOUST to be aware of the risk of sliding into bureaucracy and of the need to prioritize more focus on performance and outcome, while gradually installing value for money planning and accountability.
1.3 Governance	4+	The IA team commends JOOUST's capacity and performance vis-à-vis the domain 1.3; overall the governance and management structures at both University and Faculty (School) level are rather effective. JOOUST consistently meets the requirements of maturity levels 4 to 5 for all aspects of this domain

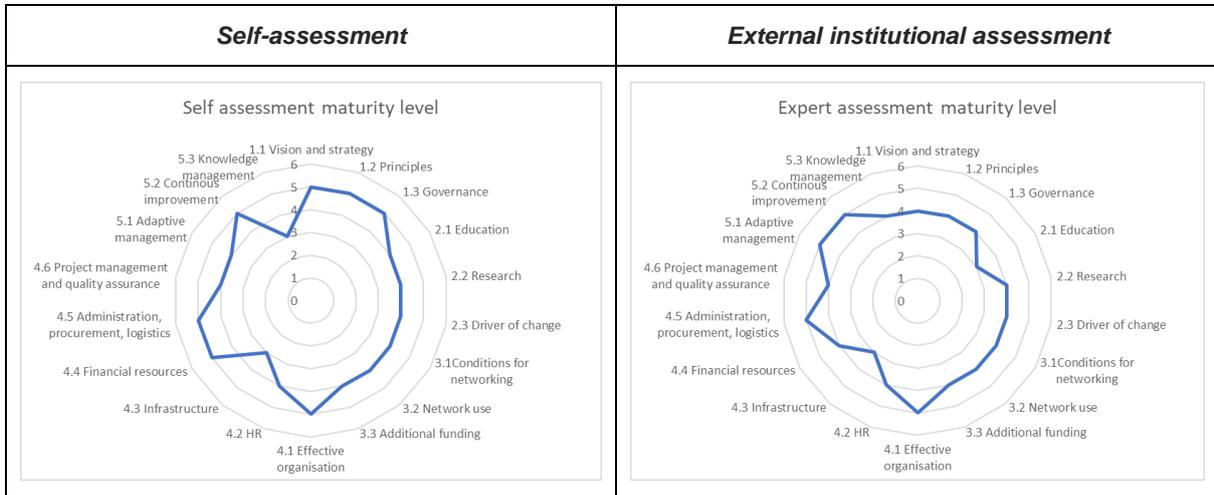
		(organogram, composition and functioning of the Council, annual work plan linked to the strategy and budget, strategic direction, coherence among management and leadership, and balancing participatory approaches with effective decision-making). This is a remarkable achievement for a young university. Resource mobilisation is an issue to attend and there is a need to better distinguish in the planning and in the M&E between funded and still unfunded ambitions. JOOUST may also want to further improve its capacity in planning, monitoring and steering for performance, outcomes and value for money.
2. Capability to deliver on development relevant objectives and commitments		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
2.1 Education	3+	Overall, the university has adequate systems and processes for curriculum development and curriculum review. Nonetheless JOOUST needs to mitigate potential risks of sliding into checklist approaches and continuous solicitation; while usage of stakeholder feedback and input to curriculum review could be further structured. All the academic programmes are accredited by CUE. The QEA processes and other efforts and mechanisms are clearly contributing to quality education and enhancement of curricula in terms of labour-market needs and relevance. But, in spite of some good examples, the overall implementation of systems for adapting curricula, teaching and learning methods to maximize developmental relevance of provided education seems to be still in infancy. In spite of the above and except for a few flagship projects, <u>resource limitations</u> are significantly keeping the quality of education and its labour market and developmental relevance below ambitions and potentials of JOOUST. However, feedback obtained from multiple stakeholders suggest that JOOUST's students/graduates on attachments/interns are already better, comparatively to those of other universities in the region.
2.2 Research	4-	Policies and incentives exist for encouraging academic staff to conduct research. The overall uptake of research by academic staff is still relatively low, but there is a positive trend. JOOUST organises some academic conferences and seminars and enables some staff participation in other conferences and seminars; but this remains insufficient, mainly due to the lack of funding. Enhanced distant participation might be a cost-effective solution to be pursued. The IA-team observed good multidisciplinary practices and an organisational culture that facilitates cross-cutting teamwork and synergy. The Upcoming Miyandhe Research Centre offers good future prospects. JOOUST focuses on well-chosen niche areas and appropriately prioritises its research around key focus areas, pertinent for development in the Lake Victoria Basin. JOOUST has several flagships and excelling research projects embedded in international partnerships and benefitting from external funding. Nonetheless, scarcity of financial resources is still significantly limiting research related initiatives and performance of JOOUST. There is a need to improve the monitoring and weighing of volume, quality and added value of research results and outcomes. JOOUST has put some systems in place to ensure cost-effectiveness of its research; but additional efforts need to go towards assessing dissemination approaches in order to determine more effective avenues. Overall, the University has prepared itself and is now ready for take-off towards more focused research around LVB.
2.3 Driver of Change	4-	Overall, JOOUST has made good progress towards being (perceived as) a real actor and driver of Change. Research dissemination is carried out in variety of ways; however, weighing dissemination outlets and methods is needed to determine those which are more effective. The University actively promotes contributions to public policy debates by academic staff and interacts actively with multiple county governments who would welcome more research-based policy drafting support by JOOUST. Further mainstreaming of academics' policy contribution is required. Some technologies and innovations have emerged from JOOUST-led research and have been transferred to the community. Stakeholder feedback is positive about JOOUST's contributions and even more appreciating JOOUST's growth path towards being a real actor and driver of Change in the Lake Victoria Basin. There is potential for further enhancing positive spill-over by the university and targeting addition societal value generated by JOOUST.

3. Capability to relate to external stakeholders		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
3.1 Conditions for networking	4-	Overall, JOOUST scores rather well for this domain 3.1 with respect to effective network development, partnerships and formal institutional alliances. There is still a lot of room for improvement, but progress achieved in the past 5 years and the maturity level already attained is impressive for such a young and rural University. The IA-team was really impressed by the levels of commitment, trust and even enthusiasm found across a diverse range of local, national, regional (LVB), national and international partners. Many internal factors for successful networking and partnerships already exist or are being created within JOOUST; there is important potential for further development and improvement.
3.2 Network use	4	In spite of being a young university, JOOUST already scores rather well for domain 3.2 with respect to having a vast network and actively using it. JOOUST is well regarded by its external stakeholders and partners who seem to be committed to contribute to the success of JOOUST. Further mainstreaming external networking across university staff and even better leveraging the network and partnerships are points of attention.
3.3 Additional funding	4+	Considering its characteristics as a young University, JOOUST succeeds very well in obtaining important external funding (for FY 2018/19 approximately € 959.480 or 6,79% of the recurrent revenue) and in meeting the expectations and commitments of its funding partners. However, as public funding by the GoK remains very low, the need for even more additional funding remains very high. Furthermore, it should be noted that JOOUST is already and shall continue to address some growth issues in its administration and governance.
4. Capability to act and commit		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
4.1 Effective organisation	5-	Overall, considering the structural constraints of insufficient funding, JOOUST performs remarkably well in making and implementing decisions. The IA found a good synergy and trust between the different governance organs and decision making and implementing processes; appropriately combining consultative and representative approaches with clear delegation of responsibilities, empowerment and accountability.
4.2. HR	4+	Overall, JOOUST scores rather well vis-à-vis this domain 4.2 with respect to having adequate and well managed Human Resources. It should however be noted that the performance varies significantly between the different aspects used for assessing this domain. The higher-level educational and research skills are still concentrated among a limited number of staff and a lot of efforts are needed to develop the high potential of less senior staff. Scarcity of funding is clearly constraining performance in this domain; but otherwise the IA-team commends the maturity level already achieved and sees a lot of potential and factors of success for further improvement.
4.3 Infrastructure	3	Today, JOOUST does not yet have adequate infrastructures. JOOUST already has many infrastructural assets and achieved impressive infrastructural improvements in the past 10 years. However, the infrastructural growth has not kept pace with the growth in academic activity (expressed in educational programmes, number of Schools and explosion in number of students). At the same time, the IA acknowledges that JOOUST has very important infrastructural works that are ongoing; these may provide a considerable level of (much needed) decongestion. Continued Government funding for the ongoing building works seems secured; but additional funding must be obtained for qualitative equipment and future recurrent costs. The development of Miyandhe Research Centre and other ambitious projects of JOOUST offer great potential and exciting prospects; but all of this still requires significant amounts of additional funding and many risks remain to be mitigated and managed. The (infrastructural) project management capacity that JOOUST has established is already a first step toward risk mitigation. Remaining challenges include ensuring financial sustainability related to equipping, operating and maintaining the new infrastructures; while avoiding further growth in student numbers beyond the enhanced infrastructural capacity.

4.4 Financial management	3 / 5-	<p>Score 3 with respect to adequate availability of financial resources / Score 5- with respect to well-managed financial resources.</p> <p>JOOUST, as other (public) universities in Kenya, is confronted with chronic insufficiency of funding. The recurrent funding provided by GoK remains far below the financial resources required to implement the mandate and mission of JOOUST. JOOUST does obtain significant amounts of additional funding from other sources, but still needs to obtain additional funding. JOOUST Enterprise is still in infancy; while the strategic option is commendable, it may not be expected to generate additional revenue on the short run. JOOUST financial management system seems to be robust, effective and reputable for both government funding and for external funding. The required conditions seem to be reunited for a successful implementation of the ongoing transition to a new ERP system. In spite of insufficient levels of funding, the financial continuity is ensured and there are no significant arrears in payments by JOOUST. Funders are satisfied with financial reporting provided; while unqualified financial audit statements are being obtained.</p>
4.5 Administration, procurement, logistics	5-	<p>Overall, JOOUST's systems and processes for administration, procurement and logistics are quite effective and the new ERP system that is being implemented will enhance this. The provision in the procurement practices that allows for specific donor procurement requirement enhances requisite efficiency for project operations. Some further improvements are needed, as well as mitigating bureaucratic pitfalls of excessive compliance focus, while promoting value for money procurement.</p>
4.6. Project management and quality assurance	4+	<p>Overall, JOOUST's systems and processes for project management and quality assurance are rather effective. Project management is adequate, results are demonstrated, and project partners and/or funders are satisfied of project implementation by JOOUST. JOOUST has rather mature quality management systems. However, except for donor-funded projects, resource limitations do not allow to strive for and attain ideal quality standards in education, service delivery or research.</p>
5. Capability to adapt and self-renew		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
5.1 Adaptive management	5-	<p>Overall, JOOUST is demonstrating (rather) good capacity and effectiveness in management in shifting contexts. The IA-team found that JOOUST's performance is consistently (rather) good across the different aspects of this domain 5.1. Having gone through and succeeded well in a fast growth as emerging young university within an evolving and competitive university landscape in Kenya, has clearly contributed to this capability of JOOUST. However, JOOUST should certainly not be complacent and further maintain and enhance its strengths and tackle its challenges related to this domain.</p>
5.2 Continuous improvement	5-	<p>Overall JOOUST scores well on most aspects of continuously adapting and renewing; but budget constraints are holding JOOUST down in implementing its innovation ambitions. Notwithstanding the mandatory complexity in the governance structure there is clear assignment of responsibilities and accountability. The consultation and collaboration culture, team spirit and mutual trust work well; there is a lot of real and strong empowerment embedded within a leadership mentoring culture and team spirit. Feedback and joint learning culture and practices are real and that they fit well in and are supported by the JOOUST organisational culture and by the leadership styles applied. To the extent possible research findings are being incorporated in curricula, courses, projects, business ideas, etc. JOOUST's ambition to significantly enhance its transformative capacity in rural innovation is a worthwhile endeavour that requires and merits support from and collaboration with different partners.</p>
5.3 Knowledge management	3 / 5	<p><i>Culture and ambition : level 5 - Resource limited status : level 3</i></p> <p>Overall JOOUST performs well with respect to valuing knowledge sharing and knowledge management. The IA-team observed evidence of good learning culture and a willingness to share knowledge, well-embedded in a genuine team spirit; even though further efforts are required to mainstream this across all teams and staff. Overall, JOOUST does ensure that periodic evaluation contributes to organizational learning, but further improvements are still needed.</p>

	As was found for other domains, the scarcity of funding is slowing JOOUST down in the implementation of its knowledge sharing and knowledge management ambitions.
--	---

The following figures visualise the findings of the self-assessment versus those of the externally facilitated joint institutional assessment exercises.



1.3 The match of the university with the IUC concept

The institutional assessment showed that JOOUST fully fits the IUC concept and completely meets all the characteristics expected of an IUC partner university. In ten (10) years, the University has established a reputation, systems and human capital that are now ready for further take-off. The IUC funding will contribute to this impetus for growth and transformative impact in the region.

Furthermore, it should be noted that JOOUST is an emerging mid-tier university with plenty potential waiting to be leveraged. Having its main campus in Bondo, in a rural area, JOOUST is easily accessible, strategically situated at the shores of Lake Victoria, approximately 60 km from Kisumu town. While having a mainly rural development and lake-based development focus, JOOUST’s developmental context also includes urban developmental challenges (such as pollution control, public health, urban/spatial planning, entrepreneurship and rural-urban value chains). All such elements fit very well within VLIR-UOS’s ambitions and preferences for the ongoing IUC call 2022.

1.4 Relevance and potential of the proposed IUC programme

JOOUST’s initial concept note is well-developed and coherent; the envisaged projects are all relevant and fit well into JOOUST’s vision and mission and into its ambition as significant actor in support of comprehensive and sustainable development in the Lake Victoria Basin. Their importance was unanimously affirmed by all the external stakeholders interviewed.

The IA-team fully supports the idea of a cross-cutting and supporting project geared *at strengthening JOOUST’s ICT infrastructure*. The IA-process highlighted the crucial need of significantly enhancing the access to e-learning, e-teaching, e-research, e-conferencing, distant e-collaboration, etc. This 4th project could be even more presented as a component of cross-cutting institutional capacity building.

The IA-team considers that further building the institutional and organisational foundations for JOOUST’s ambitions as University of Choice in the LVB, merits to be more explicit in the envisaged IUC programme. Therefore, it might be worthwhile to reserve a part of the envisaged IUC-support to flexible, cross-cutting, institutional and organisational development support to JOOUST. This also includes

sharing experiences and good practices on and providing mentoring and/or technical support with respect to multiple cross-cutting capabilities; including the following: (a) business-like and entrepreneurial strategies for and management of Schools / Faculties and/or research centres, (b) research-based entrepreneurial spin-offs, (c) partnership development, (d) financial sustainability, additional revenue generation of a university, etc., (d) change management, (e) risk management and coping with calamities, (f) research-based policy drafting and policy evaluation, etc.

While supporting the focus on the 5 proposed projects, with their specific topics, the IA-team would recommend envisaging also an additional and more flexible component. This would allow for innovative low threshold (seed) funding for educational, research and/or outreach (including social entrepreneurial) initiatives jointly proposed by teams of JOOUST and teams of Flemish universities (or University Colleges), potentially with additional south-south partnerships by JOOUST. The enhanced ICT infrastructure of JOOUST (project 4) would allow a platform for e-matchmaking and calls for proposals.

2. Introduction

2.1 Brief history of university in region

In 2009, Bondo University College (BUC) was established by the Government of Kenya as a Constituent College of Maseno University in Kisumu (Legal Order No. 56 of 11th May 2009). Subsequently BUC was transformed into the Jaramogi Oginga Odinga University of Science and Technology (JOOUST), which was granted a Charter on 13th February 2013.

The University College started with a small number of 200 students but has since significantly grown its student's body. In 2014, the number of students increased to 7,000 with 374 staff members; by the 2018/19 academic year, the student's population increased to 12,025, including diplomas and certificate enrolment. However, in the 2019/20 academic year, the general student population dropped to 9,291 (including approximately 1,200 diploma and certificate students). This drop was the result of major changes in Kenya's high school education system whereby fewer students are now eligible for direct entry to the University. The drop is mostly in undergraduate enrolment such that the undergraduate intakes are now significantly smaller than the graduating classes. In the coming academic years, the enrolment of undergraduate students is expected to rise significantly again, as the numbers of high school students directly qualifying, for type of education programmes offered by JOOUST, is on the rise again.

JOOUST's Vision is to be the beacon of excellence and global leader in university education for sustainable development. The University is currently implementing its second, five-year Strategic Plan (2016/17-2020/21), which is aligned to its core Mission of providing quality education that nurtures creativity and innovation through integrated training, research and community outreach for the advancement of humanity. This mission is anchored on the University's Philosophy of holistic approach to the service of humanity and other related areas of scholarship mediated through wisdom, science and technology, while keeping to its Core values of fairness, professionalism, equity, transparency and accountability, integrity and meritocracy.

The University programmes are tailored towards providing students with the relevant competencies, skills, knowledge and integrated understanding of different fields. To contribute to the realization of a knowledge-based economy as espoused in the Kenya Vision 2030, the University programmes are anchored on the pillars of scientific research, innovation, collaboration with the industry and technology transfer.

In its ten years of existence, the University has made key positive leaps including the rapid growth in programmes and student numbers. The University is a Centre of Excellence in Africa courtesy of its significant achievements in research and innovation. Equally, the University has experienced its fair share of challenges and setbacks such as limited resources and operating in a highly competitive and dynamic environment. However, in pursuit of excellence, growth and development, the University is focused on developing strategies that ensure it remains competitive in discharging its mandate.

2.2 Development context

Having its main campus in Bondo, in a rural area, at the shores of Lake Victoria, approximately 60 km from Kisumu town, JOOUST's developmental context is largely the one of the Lake Victoria Basin (LVB). While having a mainly rural development and lake-based development focus, JOOUST's developmental context also includes urban developmental challenges. Indeed, JOOUST also has a campus in Kisumu¹

¹ Kisumu is a Kenyan port city on Lake Victoria; it is the third largest city in Kenya after Nairobi and Mombasa, and the second largest city, after Kampala, Uganda, in the Lake Victoria Basin.

and is strongly connected to research partners and to public institutions in Kisumu. It is important to consider that health, environmental and also economic and entrepreneurial challenges and innovation opportunities require synergies between rural and urban development and that the development opportunities and challenges of the Lake Victoria Basin (including corresponding blue economy) are both rural and urban. Responding to the development challenges of its environment, JOOUST focusses on the following area of development: agricultural and rural innovation, including for fisheries & aquaculture; food insecurity and malnutrition/poverty alleviation; natural resources and environmental management, including curbing pollution and bio-diversity conservation; and public health.

Lake Victoria, with its watershed, is a transboundary natural asset of global importance. As the world's second largest freshwater lake, with a surface area of about 68,800 km², it presents the East Africa region with enormous aquatic resources and opportunities. Lake Victoria Basin (LVB) occupies an area of 194,000 km², which is jointly shared by Tanzania (44%), Kenya (22%), Uganda (16%), Rwanda (11%) and Burundi (7%) (World Bank 2018). The Basin's rich aquatic and terrestrial biodiversity supports and sustains much of the economy and livelihoods of its 55 million people, about 30% of the entire population of East Africa, settled at a density much higher than the Africa's average. The Basin has a great potential based on its human resource, rich biodiversity, rich agricultural soils, abundant water resources, minerals, fisheries, wetlands, diverse forest resources, wildlife and tourism. The Lake and its tributaries are the main sources of domestic, industrial and irrigation water and support a fishing industry for export and local consumption. The Lake is also a waterway transportation corridor and hydropower generation source.

However, **over 60%** of the population in the LVB is **poor**, living below the poverty line and earning less than US\$ 1.90 a day (United Nations 2017). The majority of the Basin's population depends directly on natural resources for their livelihoods, and hence there is immense pressure on these resources, a situation that has continued to undermine the sustainability of the natural resource base. Over 80% of the LVB's population relies on agricultural and livestock activities for their livelihoods and more than 60% of the population depends on rain fed agriculture. More than half a million fishermen and their families depend on daily fish catches for their basic living. The dense population, low capital investment, low levels of development and low numbers of trained manpower drive unsustainable use of natural resources and negatively impact the Basin (World Bank 21018).

LVB hosts many endemic aquatic and terrestrial species, but has experienced an alarming rate and magnitude of environmental degradation and biodiversity losses in the last four decades. There is increased water pollution due to unsustainable human activities, dense population and rural subsistence livelihoods within the Basin.

Food insecurity and malnutrition are a major challenge in the LVB, with more than 50 % of the population being food insecure (FAO, IFAD & WFP, 2015). Food insecurity here is largely due to extremely low levels of agricultural productivity caused by fluctuations in rainfall, inadequate (low) skills in agricultural value chain and slow uptake of technology. These challenges particularly affect women who constitute the majority in agricultural labour force in addition to barriers such as access to land, markets and finance (AGRA, 2014). Besides low productivity and chronic undernourishment, essential nutrients are lacking in the daily diets of most households, with irreversible consequences, especially for mental and physical development of children (Biesalki 2013). To remedy the food insecurity, production must increase more than 300 fold (Gabriel et al., 2009). This requires innovative thinking and strategic planning to exploit the hitherto non-conventional and underutilized sources of water and food, community-based seed multiplication and dissemination of more adapted seed systems, enhancing production, value addition and marketing among the small holder farmers.

Climate is a critical factor in the region's economy, since it affects all sectors of development including food security, biodiversity, water, health, energy and transport/communication. Studies show a general increase in temperature from the 1960s (Wandiga et al. 2006). The Basin has experienced increased intensities and frequencies of severe, climate change-related weather events, causing significant interruptions of economic activities, destruction and losses (UNEP 2004). Climate change will increase

the rate of environmental degradation, spread of disease vectors, frequency and severity of floods and droughts (will further drive erosion and increase sediment in runoff) and food insecurity. Despite the many climate related challenges, integrated weather forecasting (for adaptation) for the basin is non-existent.

The Lake water is often a human health hazard, as untreated municipal waste increases spread of disease vectors and untreated industrial waste is also a major risk for human health. The main water-borne diseases in the Basin, which are influenced by scarcity of clean water, include cholera, typhoid, dysentery, and certain intestinal parasites. Weather events, particularly El Niño-related flooding has been associated with sporadic higher incidences of water-borne diseases. Malaria is the most important and widespread vector-borne disease in the Basin. High concentrations of mercury in the lake and river waters resulting from gold mining activities in the Basin lead to risk of central nervous system diseases. Disease prevalence and the vulnerability of the inhabitants in the Basin hinge on ignorance, lack of trained manpower, poverty status and livelihood activities (UNEP 20106).

Considering its unique location and strategic position within the LVB, *JOOUST, in partnership with local, regional and international partners, intends to further enhance its role in finding solutions to the identified development challenges facing the Lake Victoria Basin.*

2.3 Implementation of the institutional assessment

2.3.1 Presentation of the institutional assessment approach

The institutional assessment consists of two stages: (a) a self-assessment by the university of its institutional capacity and (b) a joint assessment of the university's institutional capacity facilitated by external assessors. The same institutional assessment framework is used for both stages of the institutional assessment. The institutional assessment framework is based on the 5 capabilities model developed by ECDPM. For the purpose of the institutional assessment, each capability comprises several domains, in turn every domain is characterised by a set of complementary aspects.

The institutional assessment implies discussing, assessing and documenting every domain, including the identification and justification of its current maturity level, appreciated on a scale from 1 (absent or extremely weak) to 6 (a role model).

Each institutional assessment exercise facilitated by external assessors includes: a preparation phase, a field phase and a reporting phase. The field phase implies a 9 calendar day visit of the candidate IUC partner university by a lead assessor (international expert) who is accompanied by a 2nd assessor, a national/regional expert. The entire institutional assessment approach is described in the methodological guide for Institutional Assessment of candidate IUC universities.

2.3.2 Institutional self-assessment process

Being solicited to undertake an institutional self-assessment, the JOOUST Local Coordinator, the initial concept development team and the supporting secretariat jointly reviewed the three documents shared by C-lever.org². From this review a presentation was prepared and subsequently presented to an expanded team in a meeting held on 12th February 2020.

The presentation largely focused on the project background and the two stages of the institutional assessment. Team members were able to interact freely with the issues presented in the context of JOOUST. The meeting resolved to form an institutional self-assessment team composed of 25

² The documents shared in preparation of the institutional assessment of candidate IUC partner universities are: (i) the institutional assessment framework, (ii) the methodological guide for institutional assessment and (iii) the template for the institutional self-assessment report.

members, including the 5 team leaders of the projects proposed by JOOUST in initial concept note. The members of the self-assessment team were selected based on their knowledge and experience with the topics and issues to be assessed; while also ensuring sufficient gender balance in the team.

This team was further sub divided into five sub-teams; each assigned with the role to conduct the self-assessment of one of the five Capability areas; as developed in the methodological guide for the institutional assessment. Each Capability Area was assigned a team leader, two of which were led by female members. The composition of the sub-teams consisted of academic staff from both natural and social science; including staff from the different faculties and research centres. Both senior and junior academics; representatives of non-academic staff and a representative of non-permanent staff participated.

The self-assessment documents were shared with the members of the sub-teams to allow them to further familiarize themselves with the self-assessment tools and individually conduct a preparatory assessment exercise. Individual sub-teams then met at different dates to discuss and draft feedback for their respective capabilities. A full team meeting was thereafter held on 17th February 2020 to jointly discuss each sub-committee's progress. Remedial measures were agreed upon and partial reports from the sub teams were compiled into a full draft of the institutional self-assessment report; this draft was subsequently reviewed by the institutional self-assessment team from 19th till 20th February 2020. Gaps in the report were identified and advice given to responsible individuals on corrections and additions to be made. Final section drafts were then submitted to the Secretariat for compilation from 24th – 26th February 2020. Furthermore, on 25th February 2020, progress in the self-assessment process was discussed between the local coordinator, Prof. Benson B.A. Estambale MB - Deputy Vice Chancellor Research, Innovation & Outreach (RIO) and the C-lever.org team.

A one day self-assessment workshop was held, on 28th February 2020, to polish the document and look at maturity levels and justifications. A final version of the self-assessment report was submitted to C-lever.org on 1st March 2020.

The external assessors found that the team of JOOUST had provided a well-documented overview of the self-assessment process; this already demonstrates strong initiative, a sense of self-organisation and shared ownership. This validity and trustworthiness of the analysis and conclusions was confirmed throughout the field mission of the external assessors.

The table provided below comprises an overview of the participants of the self-assessment process.

Persons involved in the institutional self-assessment			
Nr	Name	Position	Gender
1	Prof. Benson Estambale	Deputy Vice-Chancellor- Research, Innovation and Outreach (Local Coordinator for the Project)	M
2	Ms. Rosemary Ngesa	Registrar -Research Innovation and Outreach (Head of the Secretariat)	F
3	Prof. Dennis Ochuodho	Director- Board of Post Graduate Studies (Team Leader Project 1)	M
4	Dr. Calleb Olweny	Chairman- Department of Plant, Animal and Food Sciences (Team Leader Project 2)	M
5	Ms. Damar Osok	Resource Mobilizer (Grant Writer) (Team Leader Project 3)	F
6	Dr. Silvance Abeka	Dean- School of Informatics and Innovation Systems (Team Leader Project 4)	M
7	Prof. Benard Muok	Director- Centre for Research, Innovation and Technology (Team Leader Project 5)	M
8	Dr. Lorna Grace Okotto	Coordinator Research and Outreach	F
9	Dr. Walter Akuno	Registrar- Academic Affairs	M
10	Dr. Pamela Raburu	Director- Quality Assurance and Enhancement	F
11	Dr. Festus Ng'etich	University Librarian	M

12	Dr. Paul Abuonji	Lecturer- School of Informatics and Innovative Systems	M
13	Dr. Elijah Museve	Director- JOOUST Enterprises	M
14	Mr. Naphtaly Osika	Senior Administrative Assistant -Division of Research Innovation and Outreach	M
15	Mr. Benard Ohanga	Senior Assistant Registrar- Planning	M
16	Ms. Marion Nyapola	Administrative Assistant- Planning	F
17	Mr. Henry Opondo	Assistant Registrar- Student Admissions	M
18	Ms. Keziah Ogada	University Corporate Communications Officer	F
19	Ms. Ivor Nyamita	University Legal Officer	F
20	Mr. Walter Othieno	Senior Administrative Assistant- Human Resource	M
21	Ms. S. W. Karagu	Senior Assistant Registrar- Human Resource	F
22	Mr. Edward Odhiambo	Deputy Finance Officer	M
23	Mr. Julius Gad Rogo	Senior Assistant Procurement Officer	M
24	Dr. Charles Akello	External Lecturer	M
25	Mr. Samuel Nyangweso	Tutorial Fellow School of Spatial Planning and Natural Resource Management	M

2.3.3 External institutional assessment process

The joint institutional assessment exercise was facilitated by 2 external assessors; Mr. Patrick Stoop – lead assessor and Dr. Levi Koyio – 2nd assessor. The external assessors prepared their field mission in consultation with the Professor Estambale, IUC local coordinator; an initial draft agenda was discussed, including the different types of internal and external stakeholders to be met. Subsequently the local coordinator and the external assessors exchanged on subsequent version of the calendar for the visit.

Before their departure, the external assessors studied the available documentation; such as: the initial IUC concept note developed by JOOUST and submitted to VLIR-UOS, as well as the corresponding annexes, including JOOUST's Strategic Plan 2016/17 -2020/21 and of course the IUC Institutional self-assessment report prepared by JOOUST and submitted on 1st March 2020. A peer-review exchange was also held between Patrick Stoop and Mr. Joris Elegeert, one of the other lead assessors for the institutional assessment of the 8 shortlisted candidate IUC.

The lead assessor travelled from Belgium to Kenya on Wednesday 4th March and started the work in JOOUST on Thursday 5th March 2020. The first day comprised: (a) initial consultations with the local coordinator; (b) an introductory lunch meeting with the self-assessment team; (c) a courtesy visit to the vice chancellor; (d) a meeting with the chairman and 3 members of the Council of JOOUST; (e) an extensive meeting with the self-assessment team, including the team leaders and key members of the envisaged project teams for the project proposed by JOOUST in its Initial Concept Note for an IUC partnership. The participants introduced themselves and the ambitions and approach for the institutional assessment process was discussed in sufficient detail. The agenda and calendar for the field visit was fine-tuned and finalised in consultation with the key people involved.

Friday 6th March 2020 was mainly used for a visit of the main campus and first meetings with internal stakeholders and key units of JOOUST, even though the lead assessor also had a work session with the Director of the Centre for global health research (KMRI - Kisumu Office).

Saturday 7th March 2020 was used to visit the main other campuses and sites of JOOUST: the Miyandhe Research Centre (under construction at the shore of the Lake Victoria); the Kapiyo biodiversity conservation and botanical site; the Achiego campus under construction (being the 2nd Bondo campus, only approximately 3 km. from the main campus); the School of Agriculture and Food Sciences at the (new but already operating) Siaya campus (at approximately 25 km. from Bondo Campus). The last visit included an exchange and focus group discussion with key academic and non-academic staff of the school.

On Sunday 8th March 2020, Dr. Levi Koyio (2nd assessor) joined the field mission. Learnings and points of attention from the first 3 days and from the desk review were discussed among both assessors and the activities for the coming week were prepared.

Monday 9th till Wednesday 11th March 2020 were used for meeting many internal and external stakeholders of JOOUST; alternating between individual interviews, grouped interviews and focus group discussions. Part of the meetings were facilitated jointly by both assessors, while often the external assessors operated separately in order to double their capacity to interact intensively (and confidentially) with key internal and external stakeholders of JOOUST. This allowed the external assessors to extensively consult with all types of internal stakeholders: students, non-academic staff, academic staff, JOOUST leadership, etc. This also included multiple visits to the different internal support departments of JOOUST (finance, Internal Audit, HR, IT, infrastructure-logistics, procurement, student administration, quality assurance, etc.).

Patrick Stoop and/or Levi Koyio also met with many external stakeholders and partner organisations of JOOUST; ranging between national and regional (LVB) research institutions, high level officials of 3 County Governments; banks and other enterprises, non-governmental organisations, representatives of the surrounding community, etc. The external assessors were impressed by JOOUST's capacity to mobilise external stakeholders to come and interact with the institutional assessment team and of the commitment of these external stakeholders in partnering with JOOUST and in actively supporting JOOUST's application for becoming an IUC partner university.

Every evening both assessors exchanged between them on the findings of the interviews and meetings conducted separately. A peer-review exchange call was also held between Patrick Stoop and Mr. Joris Elegeert, while preparing the debriefing. On Wednesday night 11th March 2020, the assessors further prepared for the joint institutional assessment workshop.

This workshop started in the morning of Thursday 12th March 2020, mirroring the process used by the JOOUST team for the self-assessment. The 5 sub-teams, established by JOOUST for the institutional assessment for each of the 5 capabilities, worked intensively with the external assessors. The similarities and differences between the findings and conclusions of the self-assessment and of those of the external assessors were thoroughly discussed while also clarifying what the differences between current and higher maturity levels are for particular capabilities and/or domains and exchanging on potential scenario's for improvement and/or further institutional development. The discussion and interactions being rich and in-depth, not all capabilities could be discussed on Thursday 12th March 2020; therefore, the workshop was continued on the morning of Friday 13th March.

A strategic debriefing and closing meeting, summarizing the conclusions for all capabilities and domains, was held Friday afternoon 13th March. All participants expressed their appreciation of the intensive institutional assessment exercise. JOOUST leadership and staff having participated intensively consider that the institutional assessment process, with first a self-assessment and subsequently an externally facilitated joint assessment, was a crucial learning process. They expressed their intention to continue to use the institutional assessment methodology and tool to track progress in their institutional and organisational development.

The external assessors commended JOOUST, in particular the local coordinator, his immediate grant writing support team / RIO secretariat and members of the self-assessment team for the exceptional level of good preparation, commitment, support and openness throughout the institutional assessment exercise. Also, the JOOUST leadership provided strong support, from the start till the end of the field mission of the external assessors. We can only conclude that this has been an inspiring and enriching experience for all involved.

After concluding the field work 13th March, the lead assessor continued to liaise with the local IUC-coordinator and his staff to obtain some updated data and documentation and information. Furthermore, several distant feedback interviews were held with international partners of JOOUST.

A draft of this report also went through peer review by Joris Elegeert and other members of the C-lever.org team in order to further ensure quality of the conclusions and drafting as well as consistency in the approach used for the institutional assessment and the report drafting.

3. Institutional assessment of the university

Preliminary remarks:

The format of the institutional assessment report implies copying the “Justification of selected maturity level - Description of the existing situation” from the self-assessment report in the left column of the table for the corresponding domain in the institutional assessment report. However, JOOUST provided **very detailed justifications and descriptions in its self-assessment report**. Fully copying such information in this report would make the document too lengthy. The IA-team therefore opted for summarizing the justification of the self-assessment to be used for the left part of the tables provided in this chapter 3 of the institutional assessment report. Nonetheless, the IA-team fully commends the JOOUST self-assessment team for the detailed justifications and descriptions that were found to be trustworthy and very useful for the joint institutional assessment process. The full institutional self-assessment report prepared by JOOUST shall thus be considered and used as an essential annexure to this report; it provides details that will be relevant as more comprehensive baseline information for the IUC support programme and as background information for staff of the Flemish universities who might be working with JOOUST in the coming years.

3.1 Capability to achieve coherence

3.1.1 There is a shared and coherent vision and strategy on university/faculty level

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	4-
<u>Justification of selected maturity level - Description of the existing situation</u> The University's vision statement “a beacon of excellence in university education” and mission statement “to provide quality education that nurtures creativity and innovation through integrated training, research and community outreach for sustainable development” are not only widely known to all key stakeholder but also cascaded to all schools, departments and units. The extent of communication is evident in many forms. The University has a well-articulated Revised Strategic Plan 2016/17-2020/21 consistent to its vision and mission statements. It is reviewed		<u>Justification of selected maturity level - Description of the existing situation</u> JOOUST has a clear vision and mission statement (P1); they are spelled out in the strategic Plan 2016/17 – 2020/21. The vision and mission are clearly communicated and cascaded at all level within the university and in its interaction with external stakeholders. This is done through sensitisation, newsletters, booklets, notice boards etc. The vision, mission and values of JOOUST are widely known by academic and non-academic staff; as well as by the students; this became apparent through many individual and grouped interviews and through focus group sessions. The vision, to be “a beacon of excellence in university education”, is good and perceived as inspiring by the internal stakeholders. Nonetheless, it should be observed that this vision is still inward looking at the university itself and does not relate to a vision for the Kenyan society and/or for the Lake Victoria Basin and does not relate to the role of JOOUST in achieving such wider vision. At maturity level 5 and 6, JOOUST’s vision might somehow express its ambition of being	

and implemented annually through Performance contracting – a results-based approach required of public entities in Kenya. The annual work plans are developed through, a bottom's up approach from schools to the corporate level.

The University's Strategic Plan is based on a systemic analysis of the University's context, capacities and potential roles. A comprehensive SWOT analysis was done and the standing committee on strategic plan is tasked to carry out environmental scanning on a continuous basis.

a top university with transformative effect in society. Enhanced further cascading of vision and mission towards the schools is also possible.

JOOUST has a clearly written strategic plan 2016/17 – 2020/21, which was thoroughly reviewed and revised recently (P2). The strategic plan is aligned to JOOUST's vision and mission; it is anchored on following five thematic areas: 1) Institutional capacity building; 2) Quality education and training; 3) Research and consultancy; 4) Community outreach and 5) Resource mobilization. The strategic plan is implemented through annual work plans that refer to the 5-year strategy. The university has established a Strategic Plan Implementation Committee (SPIC) whose mandate is to ensure effective implementation, monitoring and evaluation of the Strategic Plan.

Nonetheless, it should be noted that some strategic timelines seem rather optimistic while several topics might be further developed and thought-through; namely: the future increase in recurrent costs linked to the operationalisation of new infrastructure, sources of funding, partnership management, entrepreneurship, transformational capacity, etc. There is also a need for an overall (high level) multi-year financial plan with full costing of strategy implementation.

The strategic plan is based on prior analysis of the university's context and SWOT analysis, this is clearly documented and well-done (P3). But, part of evolving context of higher education and research in Kenya (e.g. equity and access, quality, relevance, the issues of specialization vs massification, rationalization of universities, etc.) was still lacking in the revised strategic plan. This somehow limits appropriate strategic alignment and choices, including with respect to partnership development. Nonetheless, more recently JOOUST has been reflecting on and developing its responses to such recent evolutions in the national higher education policy context in Kenya; this has been discussed in the Senate and new strategic choices have resulted.

There is also a need for more scenario thinking and analyses, when developing / reviewing JOOUST's strategy. The analysis of the University's' capacities and potential roles could still be better. For example, the existing internal situation is insufficiently described and analysed. The issues of chronic financial limitation (under funding) and the challenges of significant increases in funding requirements for the recurrent budget, when new infrastructure will become operational, are neither analysed nor documented.

None of the 10 schools has developed own business and or strategic/operational plans that are anchored on the University's corporate plan (P4). But, all schools draw their annual work plans from the overall JOOUST strategic plan. While this is good, it is difficult to see how annual work plans create unity of purpose or demonstrate the existence of both vertical and horizontal logics drawn from the JOOUST strategic plan and which enhance institutional coherence. In other words, we still lack a multi-level JOOUST strategic planning at both university and school/faculty level. Such strategy exists for the JOOUST's Centre of Excellence for insect foods and could be done for all schools and centres. A little more attention is needed for the challenges ahead.

	Overall within JOOUST, there is a reasonable level of coherence between the mission, the strategies, resources, processes, concrete actions, results and outcomes (R5).
Conclusion	
<p>JOOUST has a clear vision and mission statement; these are widely known and supported by academic and non-academic staff and by the students. However, the vision statement is still mainly inward looking (being a top university) and does not yet appropriately express JOOUST's ambition of generating transformative outcomes in society. JOOUST has a 5 year strategic plan, which is periodically reviewed and was revised recently. The strategy is based on prior analysis of the university's context; however, some strategic timelines seem rather optimistic while several topics might be further developed and thought-through. While the 10 school have annual work plans aligned to the University's strategy; they still lack own business and/or school-level strategic plans. Overall within JOOUST, there is a reasonable level of coherence between the mission, the strategies, resources, processes, concrete actions, results and outcomes. Thus, the strategic plan truly functions as both leadership and managerial instrument.</p>	

3.1.2 Existence of a set of simple principles which govern the university's/faculty's operations

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	4+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has institutionalized its core values of customer focus, impartiality, professionalism, integrity and meritocracy; as set out in its <i>Revised Strategic Plan 2016/17- 2020/21</i>. The core values are embedded in systems and processes of the University and are upheld in all programmes and projects undertaken by staff and students in collaboration with stakeholders. The core values and ethics are inculcated among members of staff and students, and disseminated during regular sensitizations on key instruments.</p> <p>The University has a robust policy framework that provides for a principle-based governance supporting the provision of quality education, training and research that nurtures a globally competitive workforce. The policies have been widely circulated for internalization through posting on the University website, and issuance to new</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The institutional assessment confirms that JOOUST has a set of clear values (customer focus, impartiality, professionalism, integrity and meritocracy) that are effectively shared among the leadership, management, staff and students of the university (P1). These values are explicitly mentioned in the JOOUST Strategic Plan and explained in several documents, including guidance on how they ought to influence the functioning of the university. Multiple consultations confirmed that these values are widely known and adhered to by hierarchy, academic & non-academic staff and students.</p> <p>Many crucial policies and procedures are already developed and used in JOOUST; they contribute to governance, both for more strategic oversight and for steering operations (P2). Some policies relate to values, integrity and ethics; these include: Code of Ethical Principles and Conduct Policy, 2014; Sexual Harassment Policy; Terms and Conditions of Service; Ethics and Integrity Policy, 2016; students' handbooks; etc.; providing more detailed guidance on the implementation of the University's values. As further detailed in JOOUST's self-assessment report, JOOUST has multiple policies and procedures regarding: (a) research and education and (b) crosscutting dimensions as gender, environmental sustainability, internationalisation, integrity (financial, physical, and scientific), etc. It should be noted that many of the policies and procedures are regulation and compliance driven (Commission for the University Education,</p>	

<p>members of staff during orientation and new students during admission respectively. The teaching and learning processes are guided by various standards, policies and procedures.</p> <p>The University has a robust policy framework that addresses other important cross-cutting issues. These policies and procedures include: (i) <i>Disability Mainstreaming Policy</i>; (ii) <i>Environmental Mainstreaming Policy, 2016</i>; (iii) <i>Draft Guidelines on International Partnerships and Linkages, Procedure for Partnerships and, Linkages and Community Outreach and Occupational Safety and Health Policy 2020</i>. All these policies are guiding functions and respective decision making.</p> <p>On integrity, the University has established and operationalized a Corruption Prevention Committee whose mandate is to ensure that integrity is upheld in all programmes and projects of the University at all times.</p>	<p>Kenyan Constitution) and apply to all (certainly the public) universities in Kenya. Positive efforts are being made to follow through; many interviewees testify to this effect. A few relevant policies are still under development, including the grants and repository policies. While policies and procedures are certainly needed; JOOUST ought to be aware of the risk that detailed codes/guidelines may overshadow the core values and the 'simple principles' that are to govern the University's and faculties' operations.</p> <p>Overall, the institutional assessment observed that JOOUST and its faculties (schools) benefit to a satisfactory extent from principle-based governance (R3). However, as stated elsewhere in this report, the joint assessment observed a risk that focus on compliance with many detailed policies, regulation and procedures comprises a risk of sliding into bureaucracy and losing the strength of value and principles driven governance that is still present in JOOUST. It thus remains essential for JOOUST to further develop and prioritise its results and outcome-based governance; while avoiding undue focus on compliance with detailed procedures or operational manuals (operational checklist paradigm). While operational guidance is certainly useful, it should be regarded as guidance and not as bureaucratic instructions. Throughout its further institutional and organisational development, JOOUST should allow and stimulate flexible operational innovation, with a focus on performance and outcome, while gradually installing value for money planning and accountability.</p>
Conclusion	
<p>JOOUST has a set of clear values that are effectively shared among and adhered to by leadership, management, staff and students of the university. Many crucial policies and procedures are already developed and used in JOOUST; they contribute to governance, both for more strategic oversight and for steering operations. Such policies and procedures are available regarding: (a) research and education and (b) crosscutting dimensions as gender, environmental sustainability, internationalisation, integrity, etc. Overall, JOOUST and its faculties (schools) benefit to a satisfactory extent from principle-based governance. However, the institutional assessment identified a clear risk that focus on compliance with many detailed policies, regulation and procedures might comprise the advantages of value driven, and principle-based governance. It is thus important for JOOUST to be aware of the risk of sliding into bureaucracy and of the need to prioritize more focus on performance and outcome, while gradually installing value for money planning and accountability.</p>	

3.1.3 University's/faculty's governance/management structures are effective

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5 -	<u>Selected maturity level</u>	4+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has a clear organogram depicting the governance and management structure which is updated regularly during strategic plan reviews in order to effectively deliver on the revised strategies of the University. The oversight governance organ of the University is the Council. The University leadership is exercised through the Senate and University Management Board. Each of these organs has various committees through which they exercise their mandate.</p> <p>The University Board (Council) composition is diverse as required and guided by government regulations and legal frameworks. The diversity considers various factors, the most important being relevant professional backgrounds, independence of members, representation from key stakeholders, gender and regional balance. The University Council and its Committees meet face to face, every quarter of the year, as per the annual Almanac.</p> <p>The University prepares and implements annual work plans drawn from current strategic plans from which strategies and budget are generated with measurable results, activities, timelines, responsibilities and performance indicators. The work plans are aligned to the University budget through a participatory work plan activities-based budgeting process.</p> <p>The work plans are developed collaboratively through a participatory process from the unit level and escalated to the department, division and finally to the University wide <i>Consolidated Work Plan</i>.</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>JOOUST has an adequate and publicly available organogram that is aligned to the strategic plan, in conformity with the legal and statutory requirements and regularly updated. The key governance organs of the University include: Council, Senate and University Management Board. Each of these organs has various committees through which they exercise their mandate. Executive and administrative management is being ensured by the office of the Vice-Chancellor and its three divisions, each headed by deputy Vice-Chancellors. JOOUST currently comprises 10 Schools. It should however be noted that in response to recent developments in Kenya's higher education sector, JOOUST has developed a well-thought-through plan for restructuring, envisaging a regrouping into 8 Schools. (P1)</p> <p>The University Council (i.e. the governance organ that corresponds to the Board), is well constituted. Its diversity is visible in different areas; such as relevant professional backgrounds, independence of members, representation from key stakeholders, gender and regional balance. The decision process at Council level is prepared through the work of several Council Committees. The Council exercises effective oversight and provides strategic guidance to the University. The University Council has <i>three standing committees</i> namely: (i) Finance, Administration and Human Resources Committee, (ii), Technical, Academic, Research and Projects Committee and (iii) Audit, Governance and Risk Committee. The Council has <i>ad hoc Committees</i> as well; such as (i) the Promotions and Appointments Committee, (ii) the Graduation and Sealing Committee and (iii) the Disciplinary Committee. The University Council Committees and the overall Council meet face to face, usually for several days, every quarter of the year. The meeting of the lead assessor with the Chairperson and with two members of the Council confirmed other information obtained with respect to the high level of commitment and good performance of the Council. Overall, the strategic direction, support and accountability of the Council seem to contribute to the university's performance and reputation. However, the Council could put greater emphasis on performance, outcome and value for money reporting by executive management to the Council. (P2 & R5)</p> <p>JOOUST prepares and implements annual work plans, linked to its strategies and budget. Such annual work plans are prepared by each School, drawn from the current strategic plan and cascading the implementation of the universities' ambitions at all levels (to a certain extent even up to teams and individuals). The work plans are being developed collaboratively through a participatory process from the unit level and escalated to the department, division and finally integrated into the University wide Consolidated Work Plan. The work plans are aligned to the University budget through a participatory activities-based budgeting process. While the annual work plan provides a basis for the annual</p>	

	<p>budgeting, the funding of the work plans remains only partially secured. Where under-achievement in the implementation of the annual plan exists, it is often linked to insufficient resource mobilization. There is, thus a need to improve on participatory approaches and effectiveness in decision making; while better distinguishing between those parts of the work plan for which funding is secured and those parts for which additional resource mobilisation is still required. It is important to note that the format and contents of these work plans are aligned with national requirements and constitute the basis of the annual performance contracting between JOOUST and the Government of Kenya (GoK). The implementation of the work plan is therefore monitored regularly, and performance reports prepared on quarterly basis from the Unit to Divisional levels. The reports inform decision-making through submission of Unit/Departments level reports to University Management Board (DVCs and VC) and quarterly Divisional reports are submitted to the Council and further consolidated and submitted to the Ministry of Education. (P3 and P4)</p> <p>The IA-team observed remarkable levels of coherence and alignment in ambitions and visions within and across the levels of management (Management at School level, University Management Board, etc.) and the governance organs (Senate and Council). While ensuring high levels of participation by students and staff and/or their representatives, by intermediate level of managers, etc.; JOOUST also demonstrates effectiveness and timeliness in decision making and (overall) a capacity to be proactive and responsive in decision making. There are good levels of trust and strategic preparedness, allowing management to act swiftly and to empower their unit managers and teams. (R6 and R7).</p>
Conclusion	
<p>The IA team commends JOOUST’s capacity and performance vis-à-vis the domain 1.3; overall the governance and management structures at both University and Faculty (School) level are rather effective. JOOUST consistently meets the requirements of maturity levels 4 to 5 for all aspects of this domain (organogram, composition and functioning of the Council, annual work plan linked to the strategy and budget, strategic direction, coherence among management and leadership, and balancing participatory approaches with effective decision-making). This is a remarkable achievement for a young university. Resource mobilisation is an issue to attend and there is a need to better distinguish in the planning and in the M&E between funded and still unfunded ambitions. JOOUST may also want to further improve its capacity in planning, monitoring and steering for performance, outcomes and value for money.</p>	

3.2 Capability to deliver on development relevant objectives and commitments

3.2.1 The university provides high quality, development relevant education

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	3+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has a system for curriculum development that adheres to learning outcomes and quality in compliance to the national regulation. Individual curriculum has to demonstrate the learning outcomes in each of the course units. These systems include: (i) Policy on Curriculum Development and Review, (ii) A standing Curriculum Review Committee reviews curricula developed by respective departments before submission to School Boards. The input of stakeholders is considered at the faculty level before submission to Deans Committee, the Senate and to Commission for University Education (CUE) for external peer review and ultimate accreditation.</p> <p>The University has clear quality assurance standards anchored on its <i>Quality Assurance Policy, 2017</i>, Commission for University Education (CUE) <i>Standards and Guidelines, 2014</i> and <i>Quality Management System Procedure for Teaching</i>. The University has a functional Directorate of Quality Enhancement and Assurance (QEA) that handles all quality related standards for teaching and learning.</p> <p>The University engages relevant stakeholders during curriculum development and review. These include regulatory bodies and professional associations, e.g.: Teacher Service Commission, Commission for University Education, Public Health Officers and Technician Council (PHOTC), Kenya National Examination Council (KNEC), Kenya Accountants and Secretaries National Examinations</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Overall, the university has adequate systems and processes for curriculum development and curriculum review every 5 years; thus, complying with all national regulatory standards, especially those of the Commission for University Education (CUE). The systems in place include: (i) Policy on Curriculum Development and Review, (ii) A standing Curriculum Review Committee, (iii) a Procedure for Curriculum Design and Review Quality Management System; etc. The IA team's observations confirmed information provided in the self-assessment report. Nonetheless, there is a need to further stimulate continuous improvement and inclusion of new developments in the curriculum and in the teaching practical learning practices. Risks of sliding into checklist approaches to curriculum review shall need to be mitigated and continuous solicitation and usage of stakeholder feedback and input to curriculum review could be further structured. (P1)</p> <p>JOOUST has clear quality assurance standards anchored in its Quality Assurance Policy, 2017. These are aligned to and enforced through the CUE Standards and guidelines and quality management system and procedures for teaching. There is a functional Directorate of Quality Enhancement and Assurance (QEA) that handles all quality related standards for teaching and learning. The IA found that the QEA processes (including annual pedagogical skills training, monitoring of teaching and learning – with systematic student feedback; complementing internal with external examination – as per national requirements, etc.) are clearly contributing to quality education but may still be improved; the already ongoing process towards online data collection (e.g. student feedback) provides opportunities to innovate and enhance efficiency. Risks of 'checklist' practices and bureaucratic tendencies in quality assurance may be mitigated. (P2)</p> <p>The IA confirmed the existence of efforts and mechanisms within JOOUST to enhance curricula in terms of labour-market needs and relevance. However, in spite of some good examples, the overall implementation seems to be still in infancy. Stakeholders consulted indicated that JOOUST demonstrates good intentions in this area, but that a lot of work is still ahead. Furthermore, the IA notes that JOOUST has not yet been able to implement systematic and effective tracer mechanisms as would be needed to appreciate the effectiveness of labour market oriented review of curricula. Nonetheless the IA-team also acknowledges that JOOUST has already planned for designing and implementing a</p>	

<p>Board (KASNEB) and The Kenya Private Sector Alliance (KEPSA) among others.</p> <p>The University has adequate systems for adapting curricula, teaching and learning. This is done through the laid down structures e.g. the empowerment of the academic departments, functioning school board meetings, Deans Committee, Senate and compliance to the required standards as outlined by CUE. Curricula delivery includes practical aspects facilitated by academic trips to industry, industrial attachment/ teaching practice and benchmarking exercises. The University holds annual pedagogical skills training for retooling lecturers to acquire new progressive teaching and learning methods.</p>	<p>systematic tracking of access to employment of its graduates; this could be linked to further enhancing its alumni-related processes. (P3 and R6)</p> <p>In its self-assessment report, JOOUST highlights several systems for adapting curricula, teaching and learning methods to maximize developmental relevance of provided education. These include the (mandatory) systematic 5 year reviews, involving key stakeholders, including industry. It is pointed out that all the academic programmes are accredited by CUE. Furthermore, mechanism and some good practices exists that allow emerging issues to be integrated in academic course units in-an-ongoing way. The joint IA process confirmed the above but also revealed and allowed discussion on a number of related challenges. Such challenges are for example: the need to beware of a ‘check-box’ approach in curricula improvement; the lack of explicit and clear description of developmental relevance of the different programmes; the need for further changing lecturers’ mind-set and pedagogy, from just imparting knowledge to skills as well, etc. (P4 and R5)</p> <p>In spite of all the above, the joint IA acknowledges that <u>resource limitations are significantly keeping the quality of education below ambitions and potentials</u>. Overall, in spite of appreciated good examples, adequate learning methods, tools and infrastructure to maximise labour market preparedness and developmental relevance of provided education are still to be designed, funded, operationalised and/or adopted. However, anecdotal evidence (stakeholder feedback) suggests that comparatively, JOOUST students/graduates on attachments/interns are better than those from other universities in the region. The consultations of many external stakeholders showed that, comparatively; students/graduates of JOOUST are generally well appreciated (by those stakeholders) in terms of attitude and performance. (R6 and overall outcomes related domain 2.1.)</p>
<p>Conclusion</p>	
<p>Overall, the university has adequate systems and processes for curriculum development and curriculum review. Nonetheless JOOUST needs to mitigate potential risks of sliding into checklist approaches; while continuous solicitation and usage of stakeholder feedback and input to curriculum review could be further structured. All the academic programmes are accredited by CUE. The QEA processes and other efforts and mechanisms are clearly contributing to quality education and enhancement of curricula in terms of labour-market needs and relevance. But, in spite of some good examples, the overall implementation of systems for adapting curricula, teaching and learning methods to maximize developmental relevance of provided education seems to be still in infancy. In spite of the above and except for a few flagship projects, <u>resource limitations</u> are significantly keeping the quality of education and its labour market and developmental relevance below ambitions and potentials of JOOUST. However, feedback obtained from multiple stakeholders suggest that JOOUST’s students/graduates on attachments/interns are already better, comparatively to those of other universities in the region.</p>	

3.2.2 The university is a multidisciplinary institution that produces major amounts of high-quality research

Findings of the self-assessment		Findings of external assessment	
<i>Selected maturity level</i>	4	<i>Selected maturity level</i>	4-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has provided for time to conduct research through <i>Research and Development Policy, 2013</i>. The research and teaching load is in the proportion of 60% Teaching, 30% Research and 10% Outreach. Besides, there are incentive schemes that promotes research which include: (a) allocation of annual research fund to staff that is awarded on a competitive basis, (b) facilitation of researchers to write-shops to develop new proposals for funding considerations, (c) giving individual researchers a financial reward corresponding to 10% of research funding retained for administration.</p> <p>So far the University has organized two (2) International Conferences. Other conferences have been hosted and organised with the support of the University. The University is represented in all periodic regional/national conferences.</p> <p>The university has received a number of grants relating to its niche areas that are multi-, inter or trans disciplinary. Examples include; (i) the African Centre of Excellence in Sustainable Use of Insects as Food and Feed (INSEFOODS), collaborating with regional institutions like Chinhoyi University of Technology in Zimbabwe and Makerere University of Uganda, (ii) Early warning systems for improved human health and resilience to climate-sensitive vector borne diseases in collaboration with the University of Nairobi; (iii) The Regents of the University of California and the Insect Research in Action (The GREEN Insect) implemented by JOOUST in collaboration with the University of Copenhagen and Jomo Kenyatta University of Agriculture and Technology (JKUAT); (iv) Enhancing production, value addition and marketing of indigenous vegetables, French beans</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Policies and incentives exist for encouraging academic staff to conduct research. There is a deliberate strategy to distinguish JOOUST as a teaching and a research institution. The existing incentives include: limiting the teaching workload to 60%, leaving 30% for research and 10% for outreach; building research skills and competences; grants proposals writing workshops and support; an annual research fund; allocating to the researchers involved, 10% of the part of research grants received as administrative cost; research performance taken into account for appointment and promotion. JOOUST promotes a research and academic discourse that brings together faculty staff and postgraduate students and aims at stimulating research culture among staff. <i>However</i>, the joint IA acknowledges that reserving 30% of academic staff's workload for research is still insufficient; while in different cases, the real teaching workload seems to exceed the 60%. In spite of some academic teams and/or individual staff excelling in research, the overall uptake of research by academic staff is still relatively low, even though the current trend is positive. JOOUST still needs to design and implement complementary pathways for academic career progression with a full focus or an enhanced focus on research. (P1 and R6)</p> <p>The University does organise academic conferences and seminars, including 2 international conferences held in 2015 and in 2019. JOOUST also organizes seminars and workshops targeting specific areas and supports a few academic staff to represent the University in conferences and seminars locally and internationally to disseminate their research findings. The IA observed a good trend in organizing conferences and in staff participation in conferences and seminars elsewhere. The Upcoming Miyandhe Research Centre offers good future prospects to host high-level conferences; potentially coupled to research and exchange retreats. Also, for this aspect, scarcity of financial resources is significantly limiting initiatives and performance of JOOUST. (P2)</p> <p>In line with JOOUST's Revised Strategic Plan 2016/17-2020/21, that defines the University's niche areas, the University and its Faculties do conduct research in a multi-, inter- or trans-disciplinary approach in collaboration with like-minded institutions at the national and international arena. JOOUST obtained several (research and education) grants relating to its niche areas that are multi-, inter- or transdisciplinary. A key example is the World Bank funded African Centre of Excellence in Sustainable Use of Insects as Food and Feed (INSEFOODS), hosted and managed by JOOUST. INSEFOODS is collaborating with regional institutions like Chinhoyi University of Technology in Zimbabwe and Makerere University of Uganda and with associate partners such as Taiga Food Processors in Tanzania and Bobo Eco-Farm in Uganda. The detailed self-assessment report lists other relevant transdisciplinary research projects and</p>	

and mushrooms among small holder farmers in Kenya; (v) Combating poverty and building democracy through the co-production of participatory waste management services- the case of Kisumu, Kenya; (vi) Resilience to Climate Change through Building Capacities in SDI for uptake by Selected County Governments in Lake Victoria Region in Kenya; and, (vii) Development of Decision Support System for Sustainable Participatory sub-catchment Water Resources Management in the Face of Deteriorating Climatic Conditions.

The university as an administrative structure - the Division of Research, Innovation and Outreach headed by a Deputy Vice-Chancellor that coordinates and prioritizes research work. To assure greater focus on research and dissemination in a more cost-effective manner, the University established Centre for Research and Technology Development (CRIT) with this specific mandate.

partnerships of JOOUST. The IA-team also observed that the organisational culture at JOOUST is characterized by a collaborative team spirit and a tendency towards multidisciplinary synergy; such own observations were also confirmed by stakeholder feedback. However, these strengths must still be mainstreamed and result into a larger number (%) of academic staff actively contributing to relevant and cost-effective research outcomes. (P3 and R7)

JOOUST was registered as a Science and Technology institution. To deliver on the research part of its mandate, JOOUST has a Division of Research, Innovation and Outreach (RIO), headed by a Deputy Vice-Chancellor. Several policies guide and support the research ambition of JOOUST: Research and Development Policy, 2013; Intellectual Property Rights Policy, 2016; Income Generation Policy, 2013; and, Copyright Policy, 2017. The University also established a Centre for Research, Innovation and Technology Development (CRIT) that piloted several projects listed in the self-assessment report. The IA-team observed that JOOUST has a good capacity of prioritising its research around key focus areas related to nutrition, rural innovation, natural resources management, climate change, fisheries and aqua culture, particular public health issues, etc. The choices made in the strategic plan, the focus areas of the initial concept note for the proposed IUC partnership, etc. are well aligned and all fit with the strategic positioning and ambition to be a research partner of excellence related to development in the Lake Victoria Basin. The IA-team commends the well-thought-through research focus towards natural resource management and food security around the Lake Victoria Basin and preventive health incorporating social sciences. However, the research capacity is still largely insufficient and not covering the targeted priority areas; while stakeholders (such as 3 surrounding County Governments) are looking at JOOUST also for research-based policy support in other areas as well; such as waste management and pollution control. (P4)

The University has put a number of systems in place that shall ensure cost-effectiveness of its research; these include the Division of Research (within RIO), CRIT, a Research Publications and Press Committee, a grant section within Finance Department, value for money auditing by the Internal Audit Department, etc. Significant publications have emanated from the research activities and a number of technologies and innovations emerging from the research, have been transferred to the community; as detailed in the self-assessment report. Thus, the IA-team concludes that, JOOUST has been and is conducting many interesting research projects and partnerships; with increasing levels of research output becoming available. As mentioned above, JOOUST has several flagship projects being conducted within regional and/or international partnerships (cf. self-assessment report). However, JOOUST still needs to significantly improve its capacity to monitor and measure (weigh) the quantity, relevance and cost-efficiency of the outputs and outcomes of its research. Research findings dissemination has been done to some degree, but efforts need to go towards weighing dissemination approaches in order to determine more effective avenues (such as interesting examples of immediate dissemination of projects that combine action-research with community outreach). (P5, R6, R7 and R8)

Conclusion

Policies and incentives exist for encouraging academic staff to conduct research. The overall uptake of research by academic staff is still relatively low, but there is a positive trend. JOOUST organises some academic conferences and seminars and enables some staff participation in other conferences and seminars; but this remains insufficient, mainly due to the lack of funding. Enhanced distant participation might be a cost-effective solution to be pursued. The IA-team observed good multidisciplinary practices and an organisational culture that facilitates cross-cutting teamwork and synergy. The Upcoming Miyandhe Research Centre offers good future prospects. JOOUST focuses on well-chosen niche areas and appropriately prioritises its research around key focus areas, pertinent for development in the Lake Victoria Basin. JOOUST has several flagships and excelling research projects embedded in international partnerships and benefitting from external funding. Nonetheless, scarcity of financial resources is still significantly limiting research related initiatives and performance of JOOUST. There is a need to improve the monitoring and weighing of volume, quality and added value of research results and outcomes. JOOUST has put some systems in place to ensure cost-effectiveness of its research; but additional efforts need to go towards assessing dissemination approaches in order to determine more effective avenues.

Overall, the University has prepared itself and is now ready for take-off towards more focused research around LVB.

3.2.3 The university is perceived as a real actor and driver of Change

Findings of the self-assessment		Findings of external assessment	
<i>Selected maturity level</i>	4	<i>Selected maturity level</i>	4-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University's <i>Research and Development Policy, 2013</i> provide for 30% of academic staff time dedicated to research while 10% for outreach. This is not always followed due to overload in teaching. The University also provides a budget line to support participation in conferences, workshops and seminars.</p> <p>The University has contributed to policy formulation on health at the local, national and international levels a good example being the development of Malaria Policy brief (EHCD/B20278/MAL/01/2017) which complements the Kenya National Strategy 2009-2018; and Rift Valley Fever policy brief (EHCD/ B20278/RVF01/2017) which</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Research dissemination is carried out in variety of ways; exhibitions, open days, agricultural shows, radio talk, eye clinics, etc. There is clear evidence of efforts and results in translating research findings into societal solutions. Evaluation and promotion of staff does consider performance in dissemination of research results and extension services; in addition, technological transfer to the community is a commitment in the University's performance contract. However, in spite of different incentives and a 30% + 10% part of workload assigned to research and outreach, availability of academic staff (e.g. teaching workload) is still a hurdle for dissemination of research outcomes and related outreach. There is also a need for weighing dissemination outlets and methods to determine those which are more effective. (P1 and P4)</p> <p>The University actively promotes contributions to public policy debates by academic staff and interacts actively with multiple county governments who would welcome more research-based policy drafting support by JOOUST. Some research findings may also inform policy formulation in Kenya and the international arena. Examples are provided in the self-assessment report. In spite of some good examples (e.g. lessons learned from a research project on persons living with disabilities picked up by parliamentarians), there is a need to further mainstream academics' policy contribution</p>	

complements the Kenya's Rift Valley Fever Contingency Plan (2014) and Rift Valley Fever Decision Support Tools (2010).

Some technologies and innovations have emerged from JOOUST-led research and have been transferred to the community such as sorghum drier and thrasher machine transferred to sorghum farmers in Siaya County and a solar powered milk cooling system technology transferred to community in Nalgonda and Sam Malanga in Siaya County.

The University's *Research and Development Policy, 2013* provides for and guides dissemination of research findings. Modes of dissemination of research findings promoted by the University include; technological transfer to the community, conferences, workshops, shows, exhibition, publications and open days among others.

across all schools and teams of the University. For example, during the IA workshop the ideas was discussed of developing policy assessment and policy writing as a cross-cutting competence for academic staff and providing by a specialised "policy writer"; while further leveraging the good collaborations that already exist with several county governments. (P2, R6 and R7)

Some technologies and innovations have emerged from JOOUST-led research and have been transferred to the community. A few examples discussed are: a sorghum drier and thrasher machine; a solar powered milk cooling system; cricket enhanced biscuits; all- purpose washing liquid detergent made from local herbs; etc. JOOUST established a Technology and Innovation Support Centre (TISC) to facilitate the emergence of innovative solutions and the transfer of innovations available in the public domain to providing solutions to societal problems. JOOUST is also in the process of establishing a Business Incubation Centre. However, such good examples still need to be mainstreamed across the University. There is a clear need and internal demand for enhancing the transformational capacity and the leverages towards rural innovation. Also, the capacity for promoting and implementing fair, cost-effective and sustainable value chains needs to be developed. (P3, R6 and R8)

There are some examples of efforts and success in influencing policies through research findings and research-based policy drafting; but overall, outcomes are just beginning; albeit increasing demand. Stakeholder feedback is positive about JOOUST's contributions and even more appreciating JOOUST's growth path towards being a real actor and driver of Change in the Lake Victoria Basin. There is potential for further enhancing positive spill-over by the university and targeting addition societal value. Impact is emerging and needs to be enhanced; examples include INSEFOODS, sorghum processing, climate change, preventive public health to the community around the University, etc. Several opportunities created by JOOUST's research still lack entrepreneurial leveraging for enhanced uptake by society. The recent creation of JOOUST Enterprises generates new potential for the coming years. JOOUST should enhance its capacity of planning, steering and demonstrating its societal value addition and its contribution as driver of change.

Conclusion

Overall, JOOUST has made good progress towards being (perceived as) a real actor and driver of Change. Research dissemination is carried out in variety of ways; however, weighing dissemination outlets and methods is needed to determine those which are more effective. The University actively promotes contributions to public policy debates by academic staff and interacts actively with multiple county governments who would welcome more research-based policy drafting support by JOOUST. Further mainstreaming of academics' policy contribution is required. Some technologies and innovations have emerged from JOOUST-led research and have been transferred to the community. Stakeholder feedback is positive about JOOUST's contributions and even more appreciating JOOUST's growth path towards being a real actor and driver of Change in the Lake Victoria Basin. There is potential for further enhancing positive spill-over by the university and targeting addition societal value generated by JOOUST.

3.3 Capability to relate to external stakeholders

3.3.1 The university creates the condition for effective network development and is aware of the importance of formal institutional alliances

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The <i>Communication Policy, 2016</i>, prescribes activities undertaken by the university to communicate with its internal and external stakeholders and the general public. The University uses various media channels through which information is conveyed and responded to without delay. Clarity, openness and accountability, timely, equity and confidentiality are areas for continual improvement. The university encourages open door policy in all its operations.</p> <p>The university has made efforts to enable communication capacity through providing requisite personnel, infrastructure and equipment. There is however need for more resources to optimize both institutional capacity and individual communication capacity.</p> <p>The University established the Directorate for Partnerships and Linkages to promote linkages, partnerships and collaborations with industry, institutions of higher learning, research institutions to advance mutual interest, shared goals, ideas and information.</p> <p>The University has established a Directorate for Enterprise Services that among others, will provide advisory and/or consultancy services to external stakeholders. A clear strategy for networking and relating with other stakeholders is yet to be formulated</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>JOOUST has a communication policy and plans to adopt and operationalise a more elaborated communication strategy. Multiple communication processes, channels and media are used. The IA-team found enough indicators that confirm the existence of a culture of transparency and 'open door' practices, contributing to effective communication. Anecdotal evidence suggests effective communication with many stakeholders; the IA-team observed that several stakeholders responded at very short notice and provided positive feedback. However, there is need for modern ICT to upgrade existing communication infrastructure like conferencing facilities. There are already some practices of soliciting and using feedback on customer and stakeholder satisfaction; but these may be enhanced and further mainstreamed. (P1)</p> <p>JOOUST does invest in enhancing its communication capacity. This is already evident through the establishment of the Corporate Communications Office and the appointment of an information access officer. The IA-team observed that media is relatively well managed and coordinated. Some of the scarce funding is allocated to communication-related equipment and infrastructure and to branding and publicity. Efforts do exist to improve communication skills of staff and students such as coaching and contests in public speaking. However, more resources are needed to optimize communication capacity at institutional, school and individual levels. Also access to ICT and internet for effective communications is insufficient for students and sometimes also for staff. (P2)</p> <p>The University has developed relevant policies and structures to facilitate the establishment of partnerships. CRIT coordinates research, innovation and technology transfer and thus contributes to partnerships. Furthermore, JOOUST has recently established a Directorate for Partnerships and Linkages but the Directorate is yet to be fully operationalized. There is clear evidence of effective partnerships with national, regional and international partnerships; these involve diverse partners such as research institutes, county governments, other universities, companies, etc. Some MoUs exist; while several other partners mention the need to further deepen and institutionalise their partnership with JOOUST, through partnership agreements or MoUs. Policies and practices exist within JOOUST to align individual and organization performance. Team spirit and paradigms of partnership and synergy (within JOOUST and with external partners) are rather common and are somehow embedded in the organisational culture; event though further mainstreaming efforts</p>	

<p>The University spreads its resources to assure funding for conferences, workshops, seminars, trade fairs/shows, and exhibitions which provide single point of common ground and/or a setting for networking. More resources would still be needed to enhance networking.</p>	<p>remain needed. The IA was able to interview many local, regional (LVB), national and international partners of (different Departments, Schools and/or teams within) JOOUST; all of them were (very) satisfied with their partnership; many indicated their ambition to continue, extend or even deepen and enlarge their partnership with JOOUST. Several (local, national and regional) partner organisations of JOOUST are looking forward to a structural partnership between JOOUST and Flemish Universities and hope to be implied in some form of indirect partnering with such Flemish universities. However, the IA-team also observed a need for more sensitivity towards the local community. The frustration of and impact on the Bondo community related to the transfer to Siaya of the School of Agriculture had not been sufficiently anticipated and managed. The community liaison function needs to be more proactive / anticipatory / effective to maintain mutual harmony with the immediate community. (P3)</p> <p>JOOUST has established a Directorate for Enterprise Services and a Technology Innovation and Support Centre (TISC). A specific and clear strategy for networking and relating with other stakeholders is yet to be formulated. The yield from networks and consultancy is still in infancy; JOOUSTE (JOOUST Enterprises) is still in gestation period. A lot is envisaged but still to be implemented; however, given the life (hardly 10 years) of the University, the current status may be considered as a success. (P4)</p> <p>The University budgets for conferences, workshops, seminars, trade fairs/shows, and exhibitions which provide single point of common ground and/or a setting for networking. The resources of JOOUST being very limited, the allocation of resources to networking seems reasonable; but this is certainly not yet sufficient nor adequate. (P5)</p> <p>The partnerships and networking of JOOUST already generate strategic strengths and provides information for JOOUST's strategic review processes. But JOOUST is still to improve on acknowledging and leveraging the potential of partners and developing and implementing joint strategies. (R6)</p>
Conclusion	
<p>Overall, JOOUST scores rather well for this domain 3.1 with respect to effective network development, partnerships and formal institutional alliances. There is still a lot of room for improvement, but progress achieved in the past 5 years and the maturity level already attained is impressive for such a young and rural University. The IA-team was really impressed by the levels of commitment, trust and even enthusiasm found across a diverse range of local, national, regional (LVB), national and international partners. Many internal factors for successful networking and partnerships already exist or are being created within JOOUST; there is important potential for further development and improvement.</p>	

3.3.2 The university has a vast network which is actively used

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has a vast network composing of local, regional and international institutions. The networks include county and national government agencies, universities, research institutions, private sector, civil society as well as community-based organizations (CBOs). Examples of partnerships include: i) Swedish Agricultural College and Norwegian University of Life Sciences (ii) University of Hohenheim, Germany (iii) North West A& F University; and, (iv) the Swedish International Centre for Local Democracy. At the regional and national level, the University is partnering with for example University of Makerere (Uganda), Chinhoyi University (Zambia), Jomo Kenyatta University of Agriculture and Technology (JKUAT). At the local scene, the University is collaborating with private sector industry such as SIGMA FEEDS, Kenya Commercial Bank and active involvement with local CBOs at the community level</p> <p>The University encourages and supports network building by individual staff members through provision of funds for staff to participate in meetings, conference, workshops, trade fairs/shows, exhibitions etc. Academic staff are supported to participate in joint proposal development with collaborators from within the region and internationally</p> <p>Whenever there is development of new or review of an existing programme, the University has developed a structured mechanism to get input from the stakeholders.</p> <p>Through the Directorate of Partnership and Linkages, the University draws from its broad pool of experts from different academic fields</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p><i>Remarks: the below justification is kept condensed as a lot of relevant information is provided above as justification for the scoring of domain 3.1.</i></p> <p>JOOUST has important, effective and cross cutting networks with research institutions, other universities, county and national government agencies, NGOs, civil society and private sector and some. Some of these are ready to enhance depth of relationship through MoUs. At the international level JOOUST has partnership with the Swedish Agricultural College, the Norwegian University of Life Sciences, the University of Hohenheim in Germany, the North West A& F University, the Swedish International Centre for Local Democracy, the University of Copenhagen, WHO, the Commonwealth of Learning, the World Bank, etc. At the regional and national level, the University is partnering with the University of Makerere (Uganda), Chinhoyi University (Zambia), Jomo Kenyatta University of Agriculture and Technology (JKUAT - Kenya), etc. JOOUST also has a functioning Alumni Association office although just in the infancy stage given its brief history. (P1 and R5)</p> <p>Within limited resources, JOOUST somehow encourages and supports network building and participation in professional bodies by individual staff. Also, the organisational culture is supportive to internal and external collaboration. But we must acknowledge that intensive external networking remains limited to few staff; still the habit is growing and being nurtured through some incentives (with significant funding constraints however). (P2 and R5)</p> <p>The University involves stakeholders in curriculum development, in compliance with the corresponding regulatory requirements. Some good practices exist such as structurally liaising with professional associations and peer review processes involving both internal and external reviewers, but more proactiveness is needed with special links to industry. (P3)</p> <p>A Directorate of partnership and linkages has been established, but it is still in infancy. JOOUST also has a Corporate Communications Office and a Community Liaison Officer, etc.; but JOOUST also acknowledges its need for more adequately trained personnel to do networking and communication. Other challenges relate to improved corporate communication and to (the need for) proactive monitoring of stakeholders' expectations, worries and levels of (dis)satisfaction and proactively communicating in response to such understanding. (P4)</p> <p>About 30% of academic staff are (actively) involved in research; while incentives have been put in place to motivate many more. JOOUST is actively engaged in community outreach and in some consultancies (for example for county</p>	

<p>and research interests to initiate and nurture partnership at local, regional and international levels.</p>	<p>governments); but this still remains below JOOUST’s ambition and potential. The stakeholder and partner feedback obtained confirms that JOOUST is already known and viewed as a constructive and empowering actor; the appreciation and trust of partners and stakeholders is an important asset of JOOUST. The fact that local communities donate important parts of community land to the University (Bondo main campus, the Achiego campus, the Miyandhe Research Centre, the Kapiyo biodiversity conservation and botanical site; ..) clearly shows that they trust JOOUST and that they expect significant developmental return from JOOUST activities in their community. Nonetheless the recent tension with the immediate surrounding community in Bondo shall be addressed urgently. Overall, there is a need and significant potential for further leveraging JOOUST’s partnerships through MoUs or/and jointly generating win-win synergies. (R5, R6 and R7).</p>
Conclusion	
<p>In spite of being a young university, JOOUST already scores rather well for domain 3.2 with respect to having a vast network and actively using it. JOOUST is well regarded by its external stakeholders and partners who seem to be committed to contribute to the success of JOOUST. Further mainstreaming external networking across university staff and even better leveraging the network and partnerships are points of attention.</p>	

3.3.3 The university obtains additional project funding

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has adopted various strategies for scanning local and international funding environment. The strategies include active participation in local and international meetings where such opportunities are discussed, subscription to funding information portals such as funds for NGOs (https://www2.fundsformgos.org/), Beeline (https://www.fundsbeeline.com/), etc. In addition, the University has established a Grant Writing Office under CRIT to support researchers. The University sets annual targets on funds mobilization from both local and international funding sources.</p> <p>The University constantly provides training to its staff in the area of</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>JOOUST has a deliberate strategy for scanning the local and international environment for resource mobilization. Grant writing support is provided, and grants management is sound (as reported through the self-assessment, observed by the IA-team and confirmed through donor feedback obtained after the field mission). Some workshop participation support is given to staff, however very limited within budgetary constraints. HR incentives are in place for staff having secured additional research grants / project funding. The University sets annual targets on funds to be raised; these are part of the Performance Contracting at the University level and are further cascaded down; with in the end all teams and individual staff required to generate funds and corresponding performance being considered for appointment and promotion. Based on multiple staff consultations, it is estimated that approximately 30% of academic staff are somehow involved in research proposal writing / resource mobilisation; however, JOOUST intends to increase this %. (P1 and P2)</p> <p>The IA observed that JOOUST has capacity and systems to monitor external funding. A grants administration policy exists, its implementation is complemented with a sound internal control / M&E system. The justification provided in the</p>	

<p>grant writing, project management as well as monitoring and evaluation.</p> <p>Administratively, the University has established an office of Project Accountant who helps the project leaders in management of funds. In addition, the Office of Internal Auditor ensures that the funds are used for the intended purposes as per the contract signed with the donor. Content wise, the Division of Research, Innovation and Outreach (RIO) is responsible for monitoring the technical implementation of projects with clear Standard Operating Procedures. All projects prepare and forward quarterly and annual reports to the Director CRIT who is charged with the responsibility of ensuring the quality and accuracy of the reports before forwarding to Deputy Vice Chancellor (RIO) for approval.</p>	<p>self-assessment was confirmed by both the observations and consultations of the IA-team during the field mission and by the consistent positive donor/partners feedback obtained from multiple international development and research partners consulted after the field mission. Project team leaders are empowered to ensure that funds are used effectively as per the project budget. Project teams prepare and submit regular/periodic reporting to the office of Research, Innovation and Outreach (RIO). The Office of Internal Auditor also verifies whether the funds are used for the intended purposes as per the contract signed with the donor. Nonetheless, already in its self-assessment report and further during the joint IA workshop, JOOUST acknowledges the need to further strengthen monitoring and evaluation of research projects and other external funding. (P3 and R5)</p> <p>Considering its characteristics as a young University, JOOUST performs very well in obtaining external funding. <i>(For the fiscal year 2018/19, JOOUST obtained external research grants totalling € 959.480 or 6,79% of the recurrent revenue.)</i> However, the need for additional funding remains very high, and additional efforts and successes are required. This implies the need to further enhance quantity and success of grant/proposal writing. The IA exercise also revealed the need of developing a full costing capacity and the need for monitoring and including depreciation costs of teaching and research. While the concept prospects of the Miyandhe Research Centre offer great potential, the IA team found that the a fully developed and financially sustainable business planning with full costing and elaborated self-funding approaches are still lacking. Some infrastructural choices of the Miyandhe Research Centre may need to be reconsidered in view of enhancing operational and accommodation capacity without increasing investment costs; less spacious or luxury options may result in still attractive options and more economic accommodation; thus, improving prospects of financial sustainability of the Miyandhe Research Centre. Synergies with a public-private-partnership for eco-tourism and adjacent land of JOOUST might generate synergies that further improve sustainability prospects of the whole Miyandhe project. (R4)</p> <p>International research partners and donors contacted by the IA-team systematically confirmed that they consider reporting by JOOUST to be trustworthy and they explicitly appreciate the cost-effectiveness of funding provided to and used by JOOUST. (R5)</p>
<p>Conclusion</p>	
<p>Considering its characteristics as a young University, JOOUST succeeds very well in obtaining important external funding <i>(for FY 2018/19 approximately € 959.480 or 6,79% of the recurrent revenue)</i> and in meeting the expectations and commitments of its funding partners. However, as public funding by the GoK remains very low, the need for even more additional funding remains very high. Furthermore, it should be noted that JOOUST is already and shall continue to address some growth issues in its administration and governance (as further discussed under capability 4).</p>	

3.4 Capability to act and commit

3.4.1 The university is able to make and implement decisions

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	5-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The governance structure of the University which as provided for in the <i>University Statutes, 2013</i> is established. The Chancellor is the titular head while the Vice Chancellor is the Chief Executive Officer with the responsibility of providing the day-to-day leadership as the academic and administrative head and spearheads the institution in the realization of its mandate, objectives and functions.</p> <p>The Vice Chancellor is guided at policy level by the University Council while at management level he is assisted by three deputies in charge of three divisions of Academic Affairs; Research, Innovation and Community Outreach; and Planning Administration and Finance. Below these levels are the Committees of Senate, University Management Board and the Deans.</p> <p>The various levels of the decision making hierarchy are as provided for in the University Organogram as outlined in the <i>Revised Strategic Plan 2016/17-2020/21</i>. To ensure that the system works efficiently, the University Management regularly monitors and reviews its performance and objectives for improvement through implementation of the quality management system based on <i>ISO 9001: 2015 Standard</i> and best practices.</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has competent authorities and adequate lines of command. The organisational structure and decision making processes are established according to the legal requirements and roles and responsibilities are well-defined (as described in the self-assessment report). Multiple sources of information used throughout the IA process concur and indicate that decision making authority is adequately delegated to the units along the hierarchy and horizontally; with appropriate consultation mechanisms. Overall within JOOUST there is a lot of delegation of responsibilities and empowerment of teams and staff. Individual duties and responsibilities are set in appointment letters. The budget implementation decision power is delegated in line with the work plan. Interviewees state that they are empowered, but also act in consultation with their peers and their managers. The empowerment is implemented within a clear leadership guidance and a concept of teamwork. (P1)</p> <p>The University has well-functioning governance and management systems and processes with requisite oversight and guidance (as described in the self-assessment report). The Council is composed of members with mixed skill-sets and performs well in providing adequate strategic guidance and trust, as needed for adequate and timely engaging and committing by management. Considering the drawbacks related to structural lack of resources, the IA considers that JOOUST performs well in making and implementing decisions. The various levels of the decision making perform well and there are good levels of trust between the representative decision making in the Senate and day to day management under the responsibility of the VC, the DVCs and the Deans. The quality management system, applying ISO 9001 - 2015 standard and best practices, is well embedded, attempts to avoid bureaucratic pitfalls and contributes to timely decision making and timely achievement of planned deliverables. JOOUST's Management thus regularly monitors and reviews its performance; objectives for improvement are set and implemented. However, as stated also for other domains, the strategic and operational plans are only partly funded; thus, strategic and operational target set can only partly be achieved. This however seems not to endanger commitments made within partnerships that benefit from secured and specific external funding. (P2 and R3)</p>	

Conclusion

Overall, considering the structural constraints of insufficient funding, JOOUST performs remarkably well in making and implementing decisions. The IA found a good synergy and trust between the different governance organs and decision making and implementing processes; appropriately combining consultative and representative approaches with clear delegation of responsibilities, empowerment and accountability.

3.4.2 The university has adequate and well managed Human Resources

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The recruitment process at the University is guided by the <i>recruitment procedure, JOOUST HR Policy Manual, JOOUST Schemes of Service, JOOUST Criteria for Appointments and Promotions</i> and adheres to the <i>Constitution of Kenya, 2010</i> which provides for affirmative action where the University is required to take legislative and other measures to ensure that no more than two-thirds of the members of elective or appointive bodies are of the same gender.</p> <p>The current academic staffing level is not adequate as per recommended Staff Establishment. In addition, the existing members of staff require additional training to upscale their skills to modern pedagogical approaches.</p> <p>The University is making effort to attract and engage research fellows to exclusively undertake research activities and to train and motivate existing staff.</p> <p>The University has established a <i>Staff Training Policy, 2013</i> to ensure that staff access training and development in a fair and equitable manner. This policy provides for: (a) formal structured</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>JOOUST has functional HR practices, guided by policies and procedures; in compliance with the University's statutes, Kenyan Constitution and other legal, institutional and/or professional requirements. As detailed in the self-assessment report, multiple mechanisms exist to ensure that the university's hiring process is inclusive across gender, race and religion; the current HR practices already go beyond just legal compliance. However, in spite of clear efforts, JOOUST still has a significant way to go to achieve relative gender balance at all levels of the university (<i>0 females out of 4 - VC and DVC positions, 1 female out of 10 Deans, 55 or approximately 25% females out of 216 full-time academic staff, 34% of PhD students, 35% of master students and 37% of undergraduate students</i>). While indicating that additional efforts are still needed, most female interviewees consider that the trend is positive and that, comparatively to other organisations, JOOUST already creates an environment that is somehow conducive to improving the gender balance. (P1 and R8)</p> <p>JOOUST has qualified academic staff (professors, associate professors, senior lecturers, lecturers, tutorial fellows and graduate assistants) to conduct training and/or research in various academic programmes. Compared to the official staff establishment, the number of academic staff in post are not sufficient. Financial constraint remains a key challenge that keeps the number of academic (teaching and research) staff below real needs. The current academic staff to student ratio (combining full time and part time academic staff) is 1/24, which is a very good ratio; comparatively to other public universities in Kenya where this ratio is often much lower. A significant part of existing members of staff still require additional training to upscale their skills to modern pedagogical approaches. Also the more advanced research skills remain thinly spread; efforts are ongoing and must be enhanced to develop the research competencies of more junior academic staff. Many lower level academic staff are already involved in education programmes to obtain higher level degrees. Overall, JOOUST performs well in HR retainment, the staff turnover is rather low. Academic staff interviewed</p>	

<p>training such as studying towards qualifications, short courses on proposal writing, research management or attending conferences both internal and external and (b) coaching, mentoring and in-house pedagogical skill development.</p> <p>The University has qualified administrative staff who are competent to handle all administrative functions</p> <p>The University has developed and is implementing well-structured, clear and transparent policies for staff recruitment, promotion and maintenance. The University carries out staff performance appraisal for all staff at the end of every financial year.</p> <p>The University has Grievance Redress and Feedback Mechanism (GRM) that is guided by the <i>Customer Complaints and Complements Handling Policy 2017</i> and <i>QMS Procedures for management of Corporate Communications Services 2018</i> on handling of customer complaints which lays down the procedures for handling complaints. The <i>Human Resource Policy and Procedure Manual</i> provides guidance on the resolution of conflicts and labour-related disputes.</p>	<p>consider JOOUST to be a good employer who provides interesting opportunities for professional development; they appreciate the organisational culture and team spirit and demonstrate high levels of commitment to JOOUST. (P2, P3, P4 and R9)</p> <p>As already mentioned above, a lot of efforts are ongoing to strengthen staff competencies in education and research. In line with the 2013 Staff Training Policy, staff is involved in (a) formal structured training/education and (b) coaching, mentoring and in-house pedagogical and/or research skills development. As government funding is very scarce, JOOUST is leveraging research grants, partnerships and other externally funded projects to enable staff competency enhancement. But such additional funding is still largely insufficient, furthermore there is a need (and significant potential) for increased usage of e-collaboration and e-learning to expose a significant larger number of staff (and also students) to the benefits of JOOUST's (ongoing and future) international partnerships. Furthermore, the HR policies, the annual staff performance appraisal and the staff appointment and promotion practices seem to be appropriate and are appreciate by both staff and management. (P4 and P6)</p> <p>The proportion between academic and non-academic staff is deemed to be reasonable, considering traditional management practices. However, there is a need and potential to shift to a higher % for academic staff. There is need to offer and use more study-work initiatives on campus; this could limit the need for additional non-academic staff when operationalizing the extended infrastructure (new campuses, additional buildings, new research centre ...). (P5)</p> <p>As detailed in the self-assessment report, JOOUST has several mechanisms for conflict resolution, complaint management, whistle-blowing, etc. The IA-team found these to be operational; the feedback obtained from students and unions gave positive feedback on the performance of direct and indirect (via student or staff representatives) feedback and/or complaint mechanisms. Internal stakeholders seem to trust and appreciate these mechanisms. Still, during focus group discussions as part of the IA process, new interesting ideas and recommendations popped up (such as keeping the congested library open 24h/day with student empowerment; a low cost roof-covered sports facility / rudimentary gym that can also be used in rainy days and evenings; etc.) – this is indicating that there is still untapped potential for (intermediary) solutions to existing shortcomings. Also, as mentioned above, the community-university-liaison function might be more proactive in stakeholder expectations management. (P7)</p>
Conclusion	
<p>Overall, JOOUST scores rather well vis-à-vis this domain 4.2 with respect to having adequate and well managed Human Resources. It should however be noted that the performance varies significantly between the different aspects used for assessing this domain. The higher-level educational and research skills are still concentrated among a limited number of staff and a lot of efforts are needed to develop the high potential of less senior staff. Scarcity of funding is clearly constraining performance in this domain; but otherwise the IA-team commends the maturity level already achieved and sees a lot of potential and factors of success for further improvement.</p>	

3.4.3 The university has an adequate infrastructure

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	3	<u>Selected maturity level</u>	3
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University allocates seed funding annually to facilitate research, development and outreach activities. This can only support early stage researchers with minimal budget allocations.</p> <p>The university has a structured Local Area Network (LAN) with internet connection done in load balanced mode via two (2) internet service providers (ISPs), supplying a total 250 mbps. A separate link of 8 mbps is dedicated to wireless access by students.</p> <p>The University has also an ERP system used for processing and storing financial, staff and students' data. Additionally, the University has library managements systems - KOHA- for managing circulation, EZ Proxy for enabling remote access to e-journals and an institutional repository (D-Space) for storing and disseminating University research output such as theses or dissertations and other forms of publications. Furthermore, the University also has an e-Learning system based on Moodle platform that supports on-campus and off-campus technology enabled learning.</p> <p>The University uses computer based data collection tools such as survey monkey, Cyberoam Unified Threat Management tools (for cyber security research); N-map, Nessus, Kali Linux tools, GPS software, etc. for researches and practical classes that require such tools.</p> <p>The university has availed teaching and learning facilities including lecture halls, lecture theatres, seminar rooms, computer laboratories and studios which are accessible for education and research. These are spread out across its three campuses (Main campus in Bondo, Siaya and Kisumu).</p> <p>The University is currently constructing a modern research complex complete with hostels and conference facilities at its 37-acre (14.8ha) piece of land at</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>In spite of budgetary constraints, the university allocates annually some (seed) funds to enhance research facilities and motivate research. This is certainly insufficient but may be a step-up towards securing external grants or partnerships (P1).</p> <p>JOOUST has and/or is implementing adequate ICT systems and services for its student administration, financial management EPRP, e-learning, etc. However, overall, ICT infrastructure still requires significant overhaul to facilitate e-resource, automation, fast internet and sufficient computer labs per school. For example, there is a strong need to enhance internet capacity and develop e-conferencing and e-teaching capacity. The latter would imply connecting JOOUST's different campuses (Main Campus, Siaya campus - School of Agriculture and Food Security, the upcoming Achiego Campus and the Miyandhe Research Centre), allowing distant participation. Student access is limited because of weak bandwidth of internet and Wi-Fi on campus and because many students do not have their own laptops and the number of computers available in the library and/or e-learning centre is totally insufficient. The IA-team did find a good vision and management capacity with respect to ICT development for JOOUST; but funding remains a major bottleneck. (R2 and R3)</p> <p>Quality (and quantity) of education and research in JOOUST is constrained because of limited physical infrastructure and insufficient or outdated equipment. Congestion and capacity or quality constraints apply to lecture rooms; lecturers' office space; library space and e-infrastructure (congestion); laboratories (infrastructure and equipment) – all schools & research centres; administration; student hostels; extracurricular activities; etc. However, the University is currently expanding its infrastructure and facilities to accommodate its increased student and staff population. The upcoming Achiego campus (2nd campus in Bondo at 3km. of main campus) with tuition blocks and laboratories for 2 Schools, an additional library and a grand auditorium; as well as the administration block under construction at the main campus will significantly enhance the capacity in Bondo. The new research complex being built in Miyandhe offers very interesting high-end perspectives. While central Government has committed on the investment funding for the ongoing infrastructure building, JOOUST still needs to secure the funding for qualitative equipment and for recurrent costs for operationalising these new infrastructures. The recent moving of the School of Agriculture and Food Security to Siaya offers many strategic advantages (sufficient and appropriate agricultural land; increased partnership with Siaya County Government; opportunities for enhanced and structural agricultural outreach; etc.). But currently the Siaya campus is still at</p>	

<p>Miyandhe Campus which is at the shores of Lake Victoria a distance of 20km away from the main campus. The Centre will support water research and related environmental challenges described in the proposed research project.</p> <p>To strengthen teaching and research in agriculture, the University has established the School of Agricultural and Food Sciences located on a 38-acre (15.2ha) piece of land in Siaya township which is 22km away from the main campus.</p> <p>The upcoming Tuition Block Complex on the 42-acre (16.8ha) piece of land at Achiego Campus, a distance of 3km away from the main Campus will house teaching and learning spaces and laboratories for the schools of Engineering and Technology and School of Spatial Planning and Natural Resource Management.</p> <p>At Kapiyo, 20 km away from the main Campus in and also on the shores of Lake Victoria, the University has acquired a 19-acre (7.6ha) pristine piece of land, with relatively intact native forest species. The land has been earmarked for the development of a Botanical Garden.</p> <p>The University has functional chemistry, physics, botany, zoology, entomology and agriculture research laboratories with modern equipment. These infrastructures and their equipment are manned by qualified laboratory technicians and teaching/research staff.</p>	<p>the initial phase of transforming a farmers training centre into a real university campus, with annexed farmer training capacity. (R4)</p> <p>In the past, infrastructure building was less controlled by the university and this did not always result in the best possible value for money. Now, JOOUST has been empowered to manage its infrastructural projects and established a project management team to monitor and control progress and value for money. The IA-team found decent infrastructure project management capacity and a clear desire to ensure success of ongoing projects; nonetheless, capacity of the team may need to be enhanced slightly (in view of upcoming additional projects at Siaya etc.) and risk management might be further developed. (R4 and R5)</p> <p>JOOUST has some advanced research capacities and succeeded rather well in leveraging external funding (research grants, partnerships, externally funded projects (such as INSEFOODS, WHO, partnerships with research institutes, European universities, etc.) to obtain these. Also, existing partnerships with national and regional research institutes (e.g. KEMRI, KEFRI, LVBC, etc.) provide opportunities to access research facilities of these institutions and conduct joint research. Recent developments provides JOOUST with areas and projects that allow for very significant increase in unique research capacity : the 15.2ha site in Siaya, a former farmer training centre, with ample agricultural research and farmer training land; the Kapiyo site with (7.6ha) pristine land on the border of the lake, comprising both wet land and dry land and unique opportunities for biodiversity research and conservation; the (14.8ha) piece of land in Miyandhe at the shores of Lake Victoria, donated to JOOUST by the community, and used for establishing a top-level research (and conference) centre focussing on water research and related environmental challenges. All of this offers great potential and exciting prospects, but still requires significant amounts of funding to be obtained and many risks to be mitigated and managed. (R5 and R6)</p>
---	---

Conclusion

Today, JOOUST does not yet have adequate infrastructures. JOOUST already has many infrastructural assets and achieved impressive infrastructural improvements in the past 10 years. However, the infrastructural growth has not kept pace with the growth in academic activity (expressed in educational programmes, number of Schools and explosion in number of students). At the same time, the IA acknowledges that JOOUST has very important infrastructural works that are ongoing; these may provide a considerable level of (much needed) decongestion. Continued Government funding for the ongoing building works seems secured; but additional funding must be obtained for qualitative equipment and future recurrent costs. The development of Miyandhe Research Centre and other ambitious projects of JOOUST offer great potential and exciting prospects; but all of this still requires significant amounts of additional funding and many risks remain to be mitigated and managed. The (infrastructural) project management capacity that JOOUST has established is already a first step toward risk mitigation. Remaining challenges include ensuring financial sustainability related to equipping, operating and maintaining the new infrastructures; while avoiding further growth in student numbers beyond the enhanced infrastructural capacity.

3.4.4 The university has adequate and well managed financial resources

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	3 / 5- Score 3 with respect to adequate availability of financial resources / Score 5- with respect to well-managed financial resources.
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has robust financial management system anchored on a comprehensive <i>Financial Management Policy, 2015</i>, approved by the University Council and updated to conform to current trends in Financial Management. The University has in place two Enterprise Resource Planning (ERP) Systems i.e. Sage-Accpac and Uni-Plus, that are integrated for central reporting. To improve on efficiency, the University is in the process of acquiring an upgraded ERP-Navision which will handle all the aspects currently being handled by the two ERPs. The financial management process have robust checks and balances. The effectiveness of these checks and balances has been promoted and ensured primarily by the integrity of Management of the University.</p> <p>The University being a public institution receives funding primarily from the National Government to fund its operations. Other sources include internally generated revenue mainly from tuition fees and research grants. The University has diversified its resource mobilization strategies to supplement budget funding including the establishment of a limited company, JOOUST Enterprise Ltd to spearhead alternative income generation streams, but this is still at the investment stage.</p> <p>The university manages several donor funds sourced externally and has been appreciated for its management of the same.</p> <p>Clean audit reports from independent auditors have been issued for those funds whose donors have requested for</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Overall, JOOUST's financial management seems rather robust, in compliance with rules and regulations of GoK and with international financial management standards. There is a sound internal control system with checks and balances. The segregation of roles and responsibilities is appropriate. The information obtained indicates that JOOUST is financially compliant to statutory and legal regulation. The satisfactory performance of JOOUST's financial management system is being confirmed by internal and external audit; with these audit mechanisms being part of JOOUST governance and internal control setup. JOOUST is in the process of migrating to a single ERP system, Navision, applied in order to overcome the shortcomings of the current situation with 2 different systems being combined. This is expected to further strengthen JOOUST's financial management system. In spite of limited government funding and difficult to predict delays and even cuts in approved funding by the GoK, JOOUST remarkably manages to avoid incurring debts or payment arrears. However, the IA-team did observe some challenges in strategic financial controlling and a need to enhance the capacity with respect to financial strategic planning and monitoring; areas for capacity strengthening would include monitoring financial resource mobilisation, conducting financial sustainability analysis and assurance of projects / centres / JOOUSTE business proposals and financial scenario development. (P1 and R4)</p> <p>In spite of rather sound budget management systems, JOOUST is being held down by insufficient recurrent government funding being approved annually and by unplanned delays or cuts in releasing funds by GoK. Thus, JOOUST is not able to ensure availability of adequate financial resources at department /faculty level and at university level. JOOUST's recurrent revenue (actuals) for the fiscal year 2018/19 amounted to only KSh 1.643.570.697 or approximately € 14,13 million Euros; of which 60,33% funded by the GoK (recurrent grants) and 30,01% funded from tuition fees. It should be noted that JOOUST is not allowed to increase tuition fees for Government funded students. Even though JOOUST succeeds rather well in mobilising some additional funding from different sources, this is certainly not sufficient. The strategic ambition of generating additional income streams through business initiatives that leverage JOOUST's assets and innovative offspring is a good option; but JOOUST Enterprise Ltd is still in infancy and shall go through its own learning end business development process before being able to generate additional sources of funding for the University. On the other hand, JOOUST is succeeding rather well in ensuring financial continuity of its core business; that is already a commendable achievement. Also, JOOUST succeeds in obtaining GoK funding for its infrastructural expansion, at least for the building part. To a certain extent GoK seems to regard</p>	

<p>independent audit e.g. DANIDA Greeinsect Project, and World Bank funded INSEFOODS project.</p> <p>The financial system surpasses the statutory and legal requirement - <i>Public Finance Management Act 2012 (PFMA)</i> and the <i>Public Finance Management (PFM) Regulations 2015 - governing the financial management in public organizations in Kenya</i>.</p>	<p>such infrastructural investment as a kind of ‘seed funding’; while expecting the University to mobilise additional sources of funding for qualitative equipment and for complementing the recurrent costs of academic education and research. (R2)</p> <p>Overall, JOOUST seems to perform well in the management of external funding. For every donor funded project, a comprehensive financial plan and corresponding reporting requirements are agreed upon at the start of the project. The financial management and accounting system allow for tracking the source of funding with each accounting transaction; while separate bank accounts are maintained per source of funding (WB, DANIDA, NRF, WHO, ..). The financial management system allows JOOUST to produce distinct financial reporting, complying with specific donor requirements. Clean audit reports from independent auditors are obtained for those funds whose donors have requested for independent audit (e.g. DANIDA Greeinsect Project, and World Bank funded INSEFOODS project). JOOUST demonstrates continuity in its external funding partners who approve next phases or new collaborations with JOOUST upon completion of earlier projects. For the fiscal year 2018/19, JOOUST obtained external research grants totalling € 959.480 or 6,79% of the recurrent revenue. All of the donors consulted by the IA team, including research partners who manage or supervise external funding of research activities implemented by JOOUST, indicated that they are satisfied with financial management and reporting by JOOUST and that they consider such reporting to be trustworthy. (R3)</p>
Conclusion	
<p>JOOUST, as other (public) universities in Kenya, is confronted with chronic insufficiency of funding. The recurrent funding provided by GoK remains far below the financial resources required to implement the mandate and mission of JOOUST. JOOUST does obtain significant amounts of additional funding from other sources, but still needs to obtain additional funding. JOOUST Enterprise is still in infancy; while the strategic option is commendable, it may not be expected to generate additional revenue on the short run. JOOUST financial management system seems to be robust, effective and reputable for both government funding and for external funding. The required conditions seem to be reunited for a successful implementation of the ongoing transition to a new ERP system. In spite of insufficient levels of funding, the financial continuity is ensured and there are no significant arrears in payments by JOOUST. Funders are satisfied with financial reporting provided; while unqualified financial audit statements are being obtained.</p>	

3.4.5 The university has effective systems and processes for administration and procurement and logistics

Findings of the self-assessment		Findings of external assessment	
<i>Selected maturity level</i>	5	<i>Selected maturity level</i>	5-
<p><i>Justification of selected maturity level - Description of the existing situation</i></p> <p>The <i>University Statutes, 2013</i> and the <i>Revised Strategic Plan 2016/17-2020/21</i></p>		<p><i>Justification of selected maturity level - Description of the existing situation</i></p> <p>Overall, the IA found JOOUST’s administrative systems, structures and processes to be effective. As discussed above, the governance system comprising the Council and the Senate as key organs and a</p>	

<p>outline the Committee based structures on which the implementation of the University's strategies are anchored. The governance structure comprises of the Chancellor, who is the titular head of the Institution, the University Council chaired by the Chairman of Council and its committees, University Management Board, Senate and its committees and the Deans' Committee.</p> <p>The University Council approves policies for implementation to ensure sound governance and management of the University and also allocates resources for implementation of strategies outlined in the Plan. The Vice-Chancellor is the Chairperson of the University Management Board and ensures the provision of key services including governance and management, resource mobilization, communication to ensure compliance and conformity to customer as well as relevant statutory and regulatory requirements.</p> <p>The overall mission of the University has been cascaded to three main Divisions for implementation: 1) Academic Affairs, 2) Planning, Administration and Finance; and 3) Research, Innovation and Outreach.</p> <p>The Procurement Department has the mandate of timely sourcing and acquisition of quality and cost-effective goods, services and works in compliance with the <i>Public Procurement and Asset Disposal Act 2015</i> to ensure smooth operations of the University.</p> <p>The University procurement process begins with the procurement planning, a step closely linked with the budget process. The University effectively organizes its procurement and logistics services through its ERP (Enterprise Resource Planning) that aids in enhancing efficiency.</p>	<p>management system presided by the Vice Chancellor, second by the 3 DVC each heading one of the 3 main divisions. This governance system and administrative structure, further detailed in the self-assessment report, is adequate and appropriate for JOOUST. The IA found sufficient levels of synergy, effectiveness, efficiency, etc. Considering the scarcity of resources, the IA assesses the performance of administrative systems, structures and processes to be (almost) good and aligned to the vision, mission and strategy of JOOUST. (P1 and R3)</p> <p>Overall, the systems and processes for procurement & logistics are rather good. The procurement system functions according to sound public procurement regulations of Kenya; the standard requirements are adhered to. Where required the project team and the procurement department are ensuring that donor-funded procurement complies with specific donor procurement processes as defined in the funding agreements or donor's funding requirements. The new ERP system, that is currently being implemented, is expected to improve efficiency and documentation of procurement processes; including integration between procurement management and registration of commitments as part of budget execution control. Framework contracts are now encouraged as a means of enhancing efficiency, obtaining better prices and generating other economies of scale in the procurement process; but such practise is just beginning, following provisions in recent changes in the Country's public procurement regulation. However, the IA observed some risks for the procurement process to become too bureaucratic; with an excessive focus on compliance. It is essential for the procurement department to remain adopting an internal support service paradigm and proactively work with user departments to ensure efficient, timely and cost-effective procurement solutions in response to the divisions, departments, schools and projects of JOOUST. User department / project management and procurement department ought to jointly apply and maintain a mind-set targeting value for money procurement (and potentially life cycle costing) in support of efficiency and qualitative service-delivery and performance of JOOUST. (P2 and R4)</p>
Conclusion	
<p>Overall, JOOUST's systems and processes for administration, procurement and logistics are quite effective and the new ERP system that is being implemented will enhance this. The provision in the procurement practices that allows for specific donor procurement requirement enhances requisite efficiency for project operations. Some further improvements are needed, as well as mitigating bureaucratic pitfalls of excessive compliance focus, while promoting value for money procurement.</p>	

3.4.6 The university has effective systems and processes for project management and quality assurance

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4+
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University projects are anchored on the University's Strategic Plan and Work Plans. Project milestones and outputs are monitored and evaluated through regular reporting to the management and funding institutions where applicable. Donor funded projects are managed and executed according to donor grant agreements and contracts.</p> <p>The University has established <i>Quality Assurance Policy</i> and procedures and regulations on teaching and examinations that are aligned to <i>Commission for University Education (CUE) Standards and Guidelines 2014</i> and other statutory and regulatory requirements. The CUE standards and statutory regulatory requirements are cascaded to relevant academic sections or staff for necessary action.</p> <p>The Directorate of Quality Enhancement and Assurance undertakes course evaluation to monitor teaching and learning every semester. Once evaluated and analyzed a report is submitted at the Deans Committee for consideration and approval (feedback) within one month after completion of semester examination. The report is then forwarded to the University Senate for adoption. The University has established and is implementing a Quality Management System based on <i>ISO 9001:2015 Standard</i>.</p> <p>The University standards are well documented in the <i>Quality Assurance Policy, 2017</i> which is widely communicated and shared with stakeholders through several channels including the University website and copies circulated to respective academic departments and communicated at the Senate, Deans Committees, Schools and Departmental Boards.</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Project management seems to be rather well performed. Decent project management processes and procedures are in place. Donor funded projects are managed and executed according to donor grant agreements and contracts. The implementation, monitoring and evaluation of projects are undertaken by Project Implementation Committees and user departments empowered to ensure effectiveness and efficiency in delivering the project objectives. Effective oversight is being ensured by RIO to whom departments and their project teams are accountable. Anecdotal information obtained suggests that project teams often achieve impressive results with limited resources. Donor feedback highlights appreciation of quality and cost-efficiency of project implementation by JOOUST teams. However, as stated above for other domains, such strengths still need to be further mainstreamed to other teams and staff. (P1 and R4)</p> <p>JOOUST has elaborate quality assurance systems that are also applied to projects. The following are some of the components of the quality system: Quality Assurance Policy, the Directorate of Quality Enhancement and Assurance, bi-annual quality status reports to the Senate, the Quality Policy Statement, Quality Objectives, service level agreements and contracts, the 2020 Customer Service Delivery Charter, etc. The University is ISO certified (ISO 9001-2015); all components mentioned are embedded in the ISO approach, which is implemented in a flexible, non-bureaucratic, manner and used to streamline processes and procedures. However, there are still opportunities to further innovate and fine-tune quality standards, performance indicators and corresponding communication and reporting (internally and to stakeholders). Overall external stakeholders and partners are (rather) happy with the quality of services provided and project implementation done by JOOUST. But often resource limitations still limit feasible quality levels. (P2, P3 and R5)</p>	
Conclusion			
<p>Overall, JOOUST's systems and processes for project management and quality assurance are rather effective. Project management is adequate, results are demonstrated, and project partners and/or funders are satisfied of project implementation by JOOUST. JOOUST has rather mature quality management systems. However, except for donor-funded projects, resource limitations do not allow to strive for and attain ideal quality standards in education, service delivery or research.</p>			

3.5 Capability to adapt and self-renew

3.5.1 Effective management in shifting contexts

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	5-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University Management Board meets on a weekly basis to consider shifting context among other managerial issues. There is a provision for review of instruments of governance policies and procedures on a regular basis to ensure adaptability of the University to changing contexts. However, the University needs to invest additional resources in risk mitigation for faculty members.</p> <p>Over the years the institution has gone through various change processes which have strengthened its experience in adapting to changing contexts. Key examples in the recent past includes: (i) transiting from a University College to a fully-fledged University in 2013, (ii) adapting to new government policies and directives such as the student leadership structure and election processes; (iii) introduction of an integrated Enterprise Resource Planning (ERP) system in 2014 and (iv) adaptation to a highly competitive environment due to establishment of several Universities across the Country.</p> <p>The University has structures, mechanisms and processes that respond to emerging scenarios. The main ones being Committees and team based approaches to addressing the changes. For example, the University embarked on aggressive marketing and review of its programmes in response to the competition from other</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Overall, management has a rather good understanding of shifting contexts. Committee-based management at different levels within the university is in place to consider, deliberate, and make decisions on and (where relevant) escalate emerging issues. The University Management Board meets on a weekly basis and discusses emerging issues and shifting contexts brought to their attention. Periodically emerging issues and changes in the context are discussed as part of strategic review and oversight exercises. Overall management acts upon such understanding and timely decisions are usually taken, as required. Even though these systems and mechanisms work relatively well, there is need to invest in further improvements. Areas for enhancement include proactive stakeholder consultations, stakeholder impact assessments with respect to relevant decisions or occurrences (within the University and in its context), early warning and risk mitigation at different levels and related capacity building of key staff. There is also interesting potential for leveraging existing and future partnerships of JOOUST that offer potential synergies towards improved and shared understanding of shifting contexts. MoUs with different types of partners of JOOUST could include mutual support in enhancing early warning with respect to opportunities or threats. (P1 and R5)</p> <p>JOOUST's management has extensive experience in adapting to change. The past 10 years have been characterized by constant growth and change; JOOUST management can draw on lessons of transforming JOOUST from a university college to a fully-fledged university. The IA-team observed responsiveness to emerging opportunities or to the need for a new ERP there is willingness to address emerging operational challenges, to reassign capacity, etc. JOOUST demonstrates being responsive to changes in the highly competitive university subsector in Kenya. Some examples: (a) successfully positioning JOOUST as preferred research partner in multiple development topics relevant for the LVB; (b) responsiveness to emerging changes in education sector (albeit not yet in last update Strategic Plan) - the concept of moving to 8 Schools with room for innovative programmes, including cross-cutting programmes between the schools; (c) using the opportunities offered by the County Government of Siaya for relocating the School for Agriculture and Food</p>	

<p>Kenyan universities.</p> <p>The University has developed and is implementing a <i>Risk Management Policy, 2016</i>. Risk-based approach is implicit in all the University processes and management has adopted a faculty/unit level approach for implementation.</p> <p>The Council and University Management members have been trained on financial and risk management. The University has determined and analysed risks which are inherent in its forty eight (48) QMS unit based processes –to build resilience and ensure effectiveness of actions taken to address risks and opportunities within its systems.</p>	<p>Sciences to Siaya (albeit without proactive stakeholder impact management for the immediate community in Bondo); etc. (P2 and P)</p> <p>However, there is a need to further enhance strategic scenario thinking and systemic design of responses to interwoven opportunities and threats. This would for example allow to better demonstrate the importance of keeping the School of Business and Economics in the main campus, enhancing its synergy with all other Schools; while further developing the Kisumu campus as an e-learning and e-conferencing hub for working students based in Kisumu and offering the facilities to participate in educational programs of all Schools of JOOUST; while also providing facilities and support to projects in partnerships between schools / departments / teams of JOOUST and research institutions or other partner based in Kisumu. Also, there is still a need to further mainstream change management capacity across the University, targeting less experienced managers, team leaders and other key staff. (P2, P3 and R5)</p> <p>All requisite risk management policies and systems exist and are also partly embedded in the ISO 9001-2015 quality management approach (discussed above. The key elements include a Risk Management Policy (2016), the Directorate of Risk Management, the Council Committee on risk mitigation, the overall University Risk Management Plan, the Business Continuity Policy (2020), the Business Continuity Management (BCM) plans at unit/faculty level, etc. Risk management culture is emerging at all levels.) JOOUST intends to further implement the Information security management systems approach according to the ISO 27001-2013 standards. However, the IA would caution for checklist approaches and guard against focus on compliance with detailed risk management procedures. There is a need to adopt and implement proportional and innovative approaches to risk mitigation that explicitly opt for integrating risk mitigation measures in efforts contributing to efficiency, quality and effectiveness of JOOUST. In addition, there is also a need to strengthen capacity for strategic and systemic anticipation and scenario thinking. (P4 and R5)</p>
Conclusion	
<p>Overall, JOOUST is demonstrating (rather) good capacity and effectiveness in management in shifting contexts. The IA-team found that JOOUST’s performance is consistently (rather) good across the different aspects of this domain 5.1. Having gone through and succeeded well in a fast growth as emerging young university within an evolving and competitive university landscape in Kenya, has clearly contributed to this capability of JOOUST. However, JOOUST should certainly not be complacent and further maintain and enhance its strengths and tackle its challenges related to this domain.</p>	

3.5.2 The university is continuously adapting and renewing

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	5-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University's governance organogram provides for a functional, committee and administrative structures that support delegation of authority and decentralization for easy of decision making and for effectiveness in management and change adaptation</p> <p>The university has a strong feedback mechanism and system. The processes and modes used by the University to collect and receive feedback information are such that they can be triangulated.</p> <p>The University has a strong incentive system to foster innovation, creativity and changes as provided for in the <i>Intellectual Property Rights Policy, 2016</i> and <i>Reward and Sanctions Management Policy, 2020</i>. Some of these incentives include: (a) allocation of annual internal research fund to staff that is awarded on a competitive basis to support upcoming researchers with their innovative ideas; (b) the University facilitates researchers to write-shops to develop new proposals for funding considerations; (c) The <i>Income Generation Policy, 2013</i> provides incentives to academic staff involved in research</p> <p>The University supports continuous learning and exchange by providing a funding for participation in University sponsored or work related training and development.</p> <p>The review of curricula for both new and existing courses is initiated at departmental level by academic staff who are also subject experts and researchers. Once approved, the curriculum is subjected to stakeholders' forum and then forwarded to the School Board. The School Board reviews and enriches the curriculum, and forwards to the University's Curriculum Review Committee (CRC). The Curriculum</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The formal structures of JOOUST are in accordance to the national and statutory requirements applicable to public universities in Kenya; these do imply several levels and layers of organizational hierarchy. The IA-team found evidence of a smooth consultative and supportive culture that adequately combines representative governance with efficiency, delegation and effective decision making. The concept of committee-based management works well; it brings the advantages of multidisciplinary contribution (matrix approach), while still allowing for clear assignment of responsibilities and accountability. The consultation and collaboration culture, team spirit and mutual trust within JOOUST is very important and works well. The (top managers) including the DVCs apply an open-door policy; notwithstanding the apparent complexity and heaviness of the governance structures and processes, there is a lot of real and strong empowerment embedded within a leadership mentoring culture and team spirit. (P1)</p> <p>The University has and further enhances systems and a culture that promotes feedback and joint learning. Many instruments including policies and tools exist to promote feedback, assessment and joint learning; this is detailed in JOOUST's self-assessment report and sufficiently confirmed during the joint IA-exercise. The many interviewees and members of focus group discussions, consulted by the IA-team confirmed that these systems work and that the feedback and joint learning culture and practices are real and that they fit well in and are supported by the JOOUST organisational culture and by the leadership styles applied. (P2)</p> <p>JOOUST promotes and provides multiple incentives for innovation, creativity and change. Some of the key leverages are: Intellectual Property Rights Policy (2016); Reward and Sanctions Management Policy (2020) – with the 10% of administration revenue allocation practise; grant writing support; specific incentive for e-learning for module writing; assignment and promotion of staff practices; etc. Also, innovation in learning and outreach and in entrepreneurship (new incubation initiative) are being promoted. However, the effectiveness of these incentives still needs to be enhanced and the capacity to cope with change and to be innovative and creative shall be further mainstreamed. The IA-team commends JOOUST's ambition to significantly enhance its transformative capacity in rural innovation; this is a worthwhile, medium and long term, endeavour that requires and merits support from and collaboration with different (local, regional, national and international) partners. (P3)</p> <p>Staff training is encouraged in a variety of ways (as detailed in the self-assessment report submitted by JOOUST and discussed above for other domains. But the implementation of these intentions is strongly constrained by budget limitations; as explained under domain 3.4.2 JOOUST leverages external funding to do, but this is still insufficient.</p>	

<p>is then forwarded for adoption at the Deans' Committee and Senate. At all the all levels relevant research findings are incorporate in the curriculum.</p> <p>The University has established the Directorate for Partnerships and International Affairs whose key functions include, establishing binding collaborations, linking mutual interests and creating synergies.</p>	<p>Additional funding is required and more intensive use of (distant) e-participation should allow to significantly increase the % of staff benefitting from professional development opportunities generated by JOOUST's international partnerships. (P4)</p> <p>As already described above for domain 2.1, JOOUST has adequate processes in place to incorporate new research findings into curricula or courses. While such practice is not anymore limited to pockets of innovation, there is still a need to mainstream such innovative practices across all schools and education programmes of JOOUST. (P5)</p> <p>The IA found many evidences that JOOUST is responsive to research requests and proactive in preparing for and reacting on opportunities (calls) for research grants and other partnerships. Several (national, regional and international) stakeholders, interviewed by the IA-team, praised JOOUST's responsiveness compared to other universities in Kenya. (P6)</p> <p>Overall, JOOUST succeeds rather well in balancing stability, as needed for operational effectiveness and continuity in service delivery, with innovation and renewal. Nevertheless, the IA workshop concluded that further capacity building in change facilitation is needed to enhance, most of all mainstream, JOOUST's capacity for continuous innovation and renewal, internally and in its external collaboration, partnerships and community outreach. Also, it must be acknowledged that lack of financial resources is significantly holding JOOUST down in its innovation and renewal processes. (R7)</p>
Conclusion	
<p>Overall JOOUST scores well on most aspects of continuously adapting and renewing; but budget constraints are holding JOOUST down in implementing its innovation ambitions. Notwithstanding the mandatory complexity in the governance structure there is clear assignment of responsibilities and accountability. The consultation and collaboration culture, team spirit and mutual trust work well; there is a lot of real and strong empowerment embedded within a leadership mentoring culture and team spirit. Feedback and joint learning culture and practices are real and that they fit well in and are supported by the JOOUST organisational culture and by the leadership styles applied. To the extent possible research findings are being incorporated in curricula, courses, projects, business ideas, etc. JOOUST's ambition to significantly enhance its transformative capacity in rural innovation is a worthwhile endeavour that requires and merits support from and collaboration with different partners.</p>	

3.5.3 The university has an adequate knowledge management system

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	3	<u>Selected maturity level</u>	3 / 5 Culture and ambition : level 5 Resource limited status : level 3
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The University has a blend of traditional and modern (IT)-based knowledge management systems for discovering, mining, capturing, creating, organizing, storing, retrieving and sharing knowledge resources. Traditionally, the University has in its governance structure, established offices and committees that aid in knowledge management activities which involve active management of expertise (tacit knowledge) as well as capturing (collecting), organizing (categorizing) and dissemination (sharing) of explicit or codified knowledge.</p> <p>IT-based knowledge management systems provide tools for discovering, capturing, and storing, mining, retrieving and sharing knowledge. These systems are widely distributed and shared across all areas of the University. They include: The University Repository which collects, preserves, and distributes knowledge to its stakeholders internally and externally through the University website. (www.ir.jooust.ac.ke) and Content Management System which is used for creating, managing, and distributing knowledge content on JOOUST intranet, extranet, and/or website (www.jooust.ac.ke).</p> <p>To facilitate knowledge exchange processes, the University uses a range of appropriate mechanisms or approaches which include the following: Meetings to review ongoing projects aimed at improving results; subscriptions to over 65,000 electronic resources (e-journals) and access to over 100 million free electronic books and journals all of which are accessible through the JOOUST website (https://www.jooust.ac.ke/index.php/ejournals-and-ebooks);</p> <p>The university has a repository and a system to capture, document, and disseminate knowledge for program improvement, organizational learning and sharing with external stakeholders: The University has a library system with a total collection of</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>In its self-assessment report, JOOUST describes a blend of analogue and IT-based knowledge management systems for discovering, mining, capturing, creating, organizing, storing, retrieving and sharing knowledge resources. Many actors are responsible and contribute to knowledge management. The strengths of the existing feedback and joint learning culture, described above for domain 5.2, contribute to knowledge sharing and management. Several existing IT-based knowledge management systems are listed in the self-assessment report. JOOUST recently established a Knowledge and Data Management Committee to address knowledge management issues, in line with the University's performance contracting commitments. The IA-team observed a clear desire, good ideas and initial efforts to move towards a full e-platform for knowledge sharing; but its implementation is significantly constrained by lack of financial resources. (P1)</p> <p>As reported in the self-assessment report, JOOUST has a series of mechanisms to promote and support knowledge exchange. The university also has a repository and system to capture, document, and disseminate knowledge. The IA found these mechanisms to exist, but of course the resource constraints mentioned above and the limited IT access (discussed under domain 4.3) still apply here. The IA-team appreciates the progress made with respect to installing a knowledge exchange and sharing culture. A culture of openness to share and contribute to knowledge transfer is gaining root encouraged by policy, incentives and practice. This may be further extended to external stakeholders and partnerships. (P2, P3 and R4)</p> <p>Overall, JOOUST does ensure that periodic evaluation contributes to organizational learning. Educational programs are evaluated and improved through the curriculum review process discussed under other domains. Feedback is obtained from the industrial attachments, but collecting and using feedback form the attachment hosts is yet to be improved and good practices to be mainstreamed. JOOUST recently launched an effort to redevelop and improve its alumni system and to conduct</p>	

<p>over 50,000 books spread across its four campuses. The Library is equipped with over 40 desktop computers which are connected to the Internet and has a seating capacity of over 600 users at a time.</p>	<p>regular tracer studies. Projects and partnerships are also periodically reviewed under guidance of RIO. Performance for this aspect is rated as rather good, moving to good. (R5)</p> <p>In addition, the IA-team strongly commends the openness of the whole self-assessment team, over 20 key persons within JOOUST, and their eagerness to participate and benefit from the institutional assessment as a joint learning process.</p>
<p>Conclusion</p>	
<p>Overall JOOUST performs well with respect to valuing knowledge sharing and knowledge management. The IA-team observed evidence of good learning culture and a willingness to share knowledge, well-embedded in a genuine team spirit; even though further efforts are required to mainstream this across all teams and staff. Overall, JOOUST does ensure that periodic evaluation contributes to organizational learning, but further improvements are still needed.</p> <p>As was found for other domains, the scarcity of funding is slowing JOOUST down in the implementation of its knowledge sharing and knowledge management ambitions.</p>	

4. Assessment of the match of the university with the IUC concept

Expected characteristics	Observations
4.1 Institutional characteristics	
<p>Track record or potential of playing a role as driver for change in its surrounding environment, national sub-region and country.</p>	<p>In spite of being a young university, JOOUST has already gained an important position as contributor to change and development in its surrounding environment. By now JOOUST is being appreciated in this perspective by its external stakeholders and partners who consider it a university of choice in the Lake Victoria Basin.</p> <p>The IA team consider that JOOUST offers great potential for significantly enhancing its role as driver of change and commends JOOUST's ambitions in the following areas:</p> <ul style="list-style-type: none"> ✓ Strategic focus (in teaching and research) on enhancing JOOUST's relevance (becoming the partner of choice) on selected topics that are key for development in the Lake Victoria Basin (LVB) – also priority targets in JOOUST's IUC concept note. ✓ A strategic focus on enhancing JOOUST's transformational capacity in rural innovation. ✓ Focus on complementary partnerships with universities, research institutions, county governments, private sector and NGOs. ✓ The recent complementary effort on impact-oriented entrepreneurship through JOOUST Enterprise with the aim of leveraging research outcomes in support of rural innovation and sustainable development in the LVB and offering entrepreneurial experience for JOOUST students; while generating additional streams of funding for the University; albeit still in infancy.
<p>Partner institutions are expected to pursue an active policy of cultural, ethnic, social and philosophical non-discrimination.</p>	<p>The IA-team found sufficient evidence that JOOUST's formal policy and mechanics of cultural, ethnic, social and philosophical non-discrimination are also actively pursued and materialise in non-discriminatory practices. This is also being supported by some of JOOUST's core values (namely fairness, equity, integrity and meritocracy) and inclusive culture, as confirmed through many interviews with staff, students and external stakeholders.</p> <p>Indeed, the IA-team observed deliberate efforts being made to assure ethnic diversity that characterize the Country; while it no indications of particular risks in this area were found.</p>
<p>Preference is given to those universities that are active in south-south networking such that possible outputs and results may be spread and/or shared with a wider group of institutions in the partner country or in the Global South.</p>	<p>Even though JOOUST is still a young and a fast-growing university, it already has a rather well-developed south-south network and (considering the given resource constraints) is actively and strategically investing in further developing such networking.</p> <p>A few particular corresponding strengths have already been mentioned above.</p>

Expected characteristics	Observations
	<p>✓ JOOUST already has significant strengths and offers great additional potential for succeeding its strategic focus on the LVB³. JOOUST has an ongoing partnership with the LVBC; both partners intend further deepening and institutionalising that partnership. The focus on the LVB implies automatically very active south-south networking with academic, public, regional and private actors.</p> <p>✓ JOOUST focus on complementary partnerships with universities, research institutions, county governments, private sector and NGOs. The geographic focus is on Siaya county, the surrounding counties, and the surrounding countries (in particular in the LVB).</p> <p>JOOUST's culture of knowledge sharing and joint learning extends also to its stakeholders and partner organisations and institutions. Several of those partners intuitions, including the LVBC and key national research institutes, when interviewed by the IA-team, have expressed their expectation to benefit from and even contribute to the envisaged partnership between JOOUST and the Flemish Universities. Likewise, JOOUST itself has expressed its ambition to ensure that the IUC partnership also benefits to JOOUST's own partners in Kenya and in the surrounding LVB countries. This would even further enhance JOOUST's position and credit in these south-south partnerships.</p> <p>JOOUST has several ongoing international partnerships that imply south-south networking. This applies for example to: (a) the INSEFOODS African Centre of Excellence project (in partnership with; University of Makerere, Uganda, Chinhoyi University, Zambia, Jomo Kenyatta University of Agriculture and Technology, Kenya, etc.); (b) previous and new to start Nutrition research projects with support by the University of Copenhagen; (c) the partnership on e-learning with the Commonwealth, where JOOUST will now act as a hub in further transferring to other universities in Kenya; etc.</p> <p>There are opportunities for JOOUST to further enhance the strategic research partnership with national / research institutes, namely those based in Kisumu, to jointly plan for investment in expensive research facilities, thus avoiding both overlaps and gaps in high-end research lab capacity, in and around Kisumu.</p> <p>The upcoming Miyandhe Research Centre offers great prospects for hosting academic conferences / research-related initiatives (including high-level research and know-how sharing events), combining Flemish universities and JOOUST's expanding south-south network. However additional efforts (including genuine business-like strategizing, planning and management) are needed to ensure the financial feasibility and sustainability of that thrilling and ambitious endeavour.</p>
<p style="text-align: center;">4.2 A basic institutional capacity is required</p> <p><i>VLIR-UOS is not a funding agency. Therefore, an IUC partner programme based on academic collaboration, does not cater for: (a) major investments in terms of facilities and infrastructure, (b) institutional funding</i></p>	

³ Lake Victoria Basin (LVB) occupies an area of 194,000 km², which is jointly shared by Tanzania (44%), Kenya (22%), Uganda (16%), Rwanda (11%) and Burundi (7%) (World Bank 2018). The Basin's rich aquatic and terrestrial biodiversity supports and sustains much of the economy and livelihoods of its 55 million people, about 30% of the entire population of East Africa, settled at a density much higher than the Africa's average.

Expected characteristics	Observations
<i>(salaries or other recurrent costs), and (c) basic institutional functioning.</i>	
<p>An IUC partner university is expected to be able to function adequately at all levels, and be able to direct its own institutional destiny in a coherent manner. This assumes an adequate level of institutional planning and management, and an institutional environment that is transparent.</p>	<p>As observed throughout the institutional assessment and documented in chapter 3 of this report, JOOUST performs rather well for governance related capabilities. Within sever budget constraints, JOOUST is directing its institutional and organisation destiny and its day-to-day performance in a coherent manner at university, school, department and unit levels. Overall, strategic and operational planning and management are rather good at institutional (university), school and departments levels.</p> <p>Of course, as also reported in chapter 3, JOOUST still has many challenges to address in the above mentioned areas. Key stakeholders at all levels in JOOUST acknowledge such challenges and demonstrate potential and willingness for improvement.</p> <p>With respect to this characteristic, the IA-team found no particular main risks to highlight here.</p>
<p>A sufficient exposure to research as well as the availability of trained human resources: there is need for institutional stability, and a minimum of own financial means.</p>	<p>As documented in this report, JOOUST has multiple better performing research teams that match the required characteristics and JOOUST has well-trained human resources. Comparatively to other universities in Kenya / the sub-region, JOOUST is being appreciated by national/regional/international research partners. However, JOOUST acknowledges the efforts required to extend such strengths to many other teams and staff within the University. Efforts to do so, which includes career progression towards research, are ongoing, but additional financial resources and more high-end international research partnerships are needed for JOOUST to succeed in this ambition. But JOOUST has bright young staff and graduate students with potential and JOOUST is being appreciated as an attractive environment and employer for competent Kenyan scholars.</p> <p>JOOUST does have a minimum of own financial means and, considering the limited public funding availed by the GoK, develops and implements strategies to generate additional sources of funding. Overall cost-effectiveness within JOOUST is rather well and efforts are undertaken to maintain and further improve this. But it must be acknowledged that financial resources are and will continue to be an essential limiting factor; additional funding is required to even better leverage JOOUST's ambition and potential.</p>
<p>A readiness to engage in a process of change management.</p>	<p>The IA-team was really impressed by the shared eagerness, commitment and readiness to and engage in the further institutional and organisational capacity building and performance enhancement of JOOUST, its Schools, departments, teams and staff. This shared ambition covers academic education, research and contribution to development in the whole LVB. The IA-team found a well-balance ambition covering professional growth at individual, team, school and institutional levels.</p> <p>Furthermore, the IA found that such eagerness is well-informed, pervasive in the entire institution and strategic. JOOUST has invested and continues to invest in creating the conditions of success for its ambitions on medium, short and long term. The joint institutional</p>

Expected characteristics	Observations
	<p>assessment exercise acknowledged that there is still significant room for improvements within JOOUST's own spheres of control and direct influence. The IA-team was impressed by the openness to reflect, learn, change and adapt that was widely shared by the approximately 25 key persons of JOOUST who participated actively to the institutional assessment process.</p>
<p>An IUC partner university is expected to have or work on a gender policy, as well as an integrity policy.</p>	<p>JOOUST has a gender policy and explicitly strives towards enhanced gender balance. The IA-team found such ambition to be genuine, but still many more efforts are required to improve and maintain gender balance in management positions, academic staffing, student representation, etc.</p> <p>It must be acknowledged though that gender balance is far from achieved in the Kenyan society and people (students and staff alike) join the university with pre-existing paradigms. During the IA workshop such challenges were discussed, including the need for more additional positive, transformative and supporting action targeting the empowerment of female students and staff and further paradigm shifts among male students and staff; starting from the onset when fresh students and staff join JOOUST. The existing role models of female leadership within JOOUST may be further leveraged and targeted support provided to candidate female leaders / managers / researchers.</p> <p>Policies and practices to foster and maintain integrity exist within JOOUST. Integrity is one of the 6 core values of JOOUST that are known, embedded in the organisational culture and effectively supported by leadership, management, staff and students alike. The University's internal audit unit remains vigilant on improper practices; periodically conducts audits and reports directly to the Council, the highest governing body. The IA-team found evidence that such reports are effectively acted upon. However, it must be acknowledged that corruption is still widespread in the Kenyan public sector and society. It remains a constant challenge to further enhance JOOUST's integrity culture while consciously maintaining, reinforcing and innovating firewalls to keep corruption practices out and adequately addressing and curbing any occurrences.</p>
<p>English is the IUC working language. Consequently, potential IUC partner universities will be required to demonstrate a sufficient ability to use English as a working language. However, at the level of local programme implementation, other languages can be used (e.g. French in DR Congo, Spanish in Latin America,).</p>	<p>English is the working language at JOOUST. Leadership, management, staff and students all demonstrate a good ability to use English as a working language.</p> <p>Indeed English is a language of instruction right from upper primary school level in the Country.</p>

Expected characteristics	Observations
4.3 Institutional characteristics <i>Irrespective of size and development stage, a fixed annual budget is availed to IUC partner universities through the VLIR-UOS IUC programme. At the same time a situation of over-funding (risk of over-dependence) or under-funding (no impact) has to be avoided.</i>	
<p>'Reasonable but meaningful': Preference to collaboration with partner universities whereby VLIR-UOS is one of the more important donors ensuring impact and a genuine institutional dialogue, but where on the other hand funding is not disproportionate with the absorption capacity and thus where the IUC funding will not create a single donor-dependency that could jeopardize sustainability.</p>	<p>The IA-team considers that JOOUST perfectly matches this expected characteristic.</p> <p>Without prior IUC support, JOOUST has managed to succeed in an impressive growth path from a small University College to a well-performing medium tier university strategically positioned as (potential) partner of choice in the Lake Victoria Basin. JOOUST already manages to attract important additional sources of funding, complementing the GoK funding and the students' own contributions.</p> <p>However, the envisaged IUC-partnership with VLIR-UOS and with the Flemish universities will make a huge difference and contribute further propelling JOOUST on its development path. Obtaining a continued support, potentially for the coming 10+2 years will be crucial in leveraging the many potentials that is already existing within JOOUST.</p> <p>Presuming an annual additional external funding of € 600.000 per year through the IUC partnership, the IUC funding would be very significant, but still not create undue single donor-dependency. Presuming other external funding remains the same, the IUC funding would not exceed 40% of cumulated external donor funding and would not exceed 5% of recurrent funding of JOOUST.</p> <p>It may be expected that the IUC-partnership will further enhance JOOUST's capacity and thus attractiveness for additional partnerships and sources of international funding. This would further eliminate any risks of single donor-dependency.</p> <p>JOOUST's participants to the institutional assessment demonstrated their ambition to reflect and work, from the onset, towards ensuring sustainability of capacities and improvements to be achieved with support of the IUC-partnership. Efforts towards ensuring the sustainability of externally funded projects / centres teams already exist; but JOOUST certainly needs to further enhance its capacity in planning for and ensuring financial suitability of its centres, schools, initiatives, etc. Such challenges are also discussed in chapter 3 of this report.</p>
4.4 History of cooperation	
<p>Preference might be given to a partnership that could build up on existing links with one or more Flemish universities and university colleges, but only if it adds on to the quality of the proposal.</p>	<p>There have not been formal partnerships at university level between JOOUST and Flemish universities.</p> <p>However, there have been significant collaborations and exchanges between key staff of JOOUST and Flemish universities. The Deputy Vice Chancellor in charge of research, innovation and outreach, also the local coordinator for the proposed IUC partnership, has been the local Component Leader of the Reproductive Health Component of the VLIR-IUC Programme with the University of Nairobi (1999-2008).</p> <p>Also, other academic staff of JOOUST have been or are currently working on joint research projects or calls with Flemish Universities or</p>

Expected characteristics	Observations
	with Flemish Institutes (such as the Institute of Tropical Medicine Antwerp).
4.4 Partnership and ownership	
<p>In order to achieve institutional impact at level of a partner programme should be sufficiently broad based and provide multi-disciplinary opportunities, i.e. not be limited to one department or be very discipline specific. IUC partner programmes have a need for and generate interdisciplinary cooperation. At the level of the selected partner universities this could imply a preference for so-called 'complete' universities. However, exceptions can occur (e.g. in countries where universities are organised by discipline) taking into account the extent to which the concerned partner university is meeting other criteria or considerations.</p>	<p>With its 10 Schools, probably being restructured and partly concentrated into 8 Schools, JOOUST fully meets the requirement of being a 'complete' university. JOOUST's Schools and Centres already cover a wide range of complementary disciplines, appropriately aligned on JOOUST's vision and mission and on its ambition of being a significant actor in support to comprehensive and sustainable development in the Lake Victoria Basin.</p> <p>The concept (under development) of concentrating the current 10 Schools into 8 Schools; while allowing for innovative programmes, cross-cutting between several Schools, fits in the ambition of further fostering multidisciplinary capabilities and practices at JOOUST.</p> <p>The IA-team observed and were impressed by the overall enthusiasm with which the staff and students across all the schools and departments engaged in the assessment exercise, a real demonstration of a desire for institutional impact.</p> <p>Therefore, the IA-team considers that JOOUST fully fits this characteristic expected of IUC partner universities.</p>

Conclusion on the match with the IUC-concept

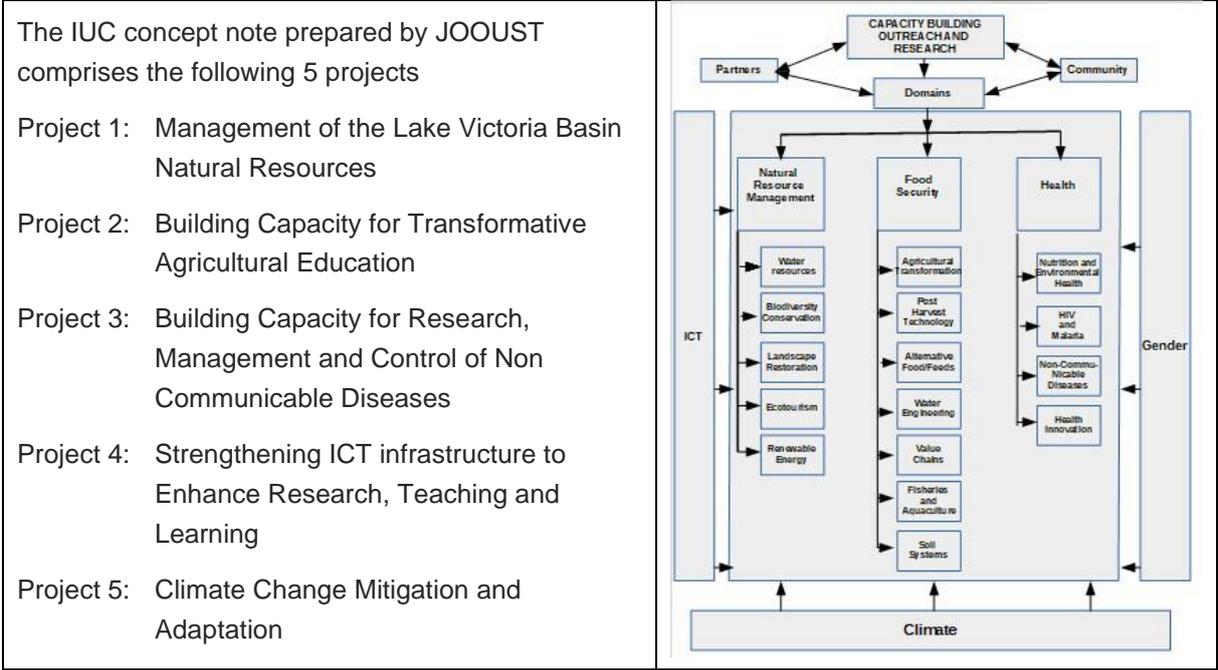
The institutional assessment showed that JOOUST fully fits the IUC concept and completely meets all the characteristics expected of an IUC partner university. In ten (10) years, the University has established a reputation, systems and human capital that are now ready for further take-off. The IUC funding will contribute to this impetus for growth and transformative impact in the region.

Furthermore, it should be noted that JOOUST is an emerging mid-tier university with plenty potential waiting to be leveraged. Having its main campus in Bondo, in a rural area, JOOUST is easily accessible, strategically situated at the shores of Lake Victoria, approximately 60 km from Kisumu town. While having a mainly rural development and lake-based development focus, JOOUST's developmental context also includes urban developmental challenges (such as pollution control, public health, urban/spatial planning, entrepreneurship and rural-urban value chains). All such elements fit very well within VLIR-UOS's ambitions and preferences for the ongoing IUC call 2022.

5. Relevance and potential of the proposed IUC programme

What is the match between the university's actual capacities and strategic views and the proposed IUC programme?
 Based on the IA, does the proposed programme demonstrate relevance and potential in the choice of domains of change?

JOOUST identifies its niche areas for research and training as: natural resources management, food security; health; freshwater science and engineering; cultural heritage and renewable energy. These are key mainstream areas in Kenya's developmental agenda. JOOUST is strategically working with partners to realize its long-term, desired objectives to become the University of Choice.



The concept note is well-developed and coherent; the envisaged projects are all relevant and fit well into JOOUST's vision and mission and into its ambition as significant actor in support of comprehensive and sustainable development in the Lake Victoria Basin. Their importance was unanimously affirmed by all the external stakeholders interviewed.

The IA-team fully supports the idea of a cross-cutting and supporting project geared at *strengthening JOOUST's ICT infrastructure*. As explained in chapter 3, the IA-process highlighted the crucial need of significantly enhancing the access to e-learning, e-teaching, e-research, e-conferencing, distant e-collaboration, etc. This is needed to allow the benefits of international partnerships, such as envisaged with Flemish universities and ongoing with other partners, may extend to larger numbers of staff and students at JOOUST, for example in interaction with staff and students in Flemish universities. The same ICT tools and e-connectivity should also allow for synergy between the different campuses of JOOUST and allow developing the Kisumu campus as an e-hub for working students of Kisumu participating in education programmes of JOOUST Schools mainly hosted in the other campuses; etc. This 4th project could be even more presented as a supporting project, supporting to the success of the other projects and to the performance all Schools and of JOOUST as a whole; thus more explicitly positioning this 4th project as a component of cross-cutting organisational and institutional capacity building.

It should be noted here that JOOUST, in its initial concept note, focussed more on research, in connection to outreach and education, and less on institutional and organizational development. The IA-team however considers that further building the institutional and organisational foundations for JOOUST's ambitions as University of Choice in the LVB, merits to be more explicit in the envisaged IUC programme.

Therefore, it might be worthwhile to reserve a part of the envisaged IUC-support to ***flexible***, cross-cutting, ***institutional and organisational development support*** to JOOUST. The IA exercise did not only show that JOOUST meets the prerequisite institutional capabilities for becoming an IUC partner university, it also revealed a series of institutional and organisational challenges to address. While the IA-team found willingness to address these, financial support and external technical expertise will be needed. This also includes sharing experiences and good practices on and providing mentoring and/or technical support with respect to multiple cross-cutting capabilities; including the following: (a) business-like and entrepreneurial strategies for and management of Schools / Faculties and/or research centres, (b) research-based entrepreneurial spin-offs, (c) partnership development, (d) financial sustainability, additional revenue generation of a university, etc., (e) change management, (f) risk management and coping with calamities, (g) research-based policy drafting and policy evaluation, etc.

While supporting the focus on the 5 proposed projects, with their specific topics, the IA-team would recommend envisaging also ***an additional and more flexible component***. This would allow for innovative low threshold (seed) funding for educational, research and/or outreach (including social entrepreneurial) initiatives jointly proposed by teams of JOOUST and teams of Flemish universities (or University Colleges), potentially with additional south-south partnerships by JOOUST. The enhanced ICT infrastructure of JOOUST (project 4) would allow a platform for e-matchmaking and calls for proposals.

6. Overall conclusions

The lessons learned of the institutional assessment process

The self-assessment exercise has been conducted in a very consistent and thorough manner by a well-selected group of 25 key persons appropriately representing different components of the JOOUST organisation. The self-assessment report is well-developed, complete and detailed (covering the different aspects for each of the 5 capabilities and their domains). The IA-team found that all the information provided in the self-assessment report is trustworthy. Also, the selection of maturity levels was generally rather realistic; there are relatively few differences between the scores selected during the preparatory self-assessment and the ones of the externally facilitated assessment; several times the external assessors even proposed higher scores. Nonetheless it could be remarked that the identification of challenges, and their documentation in the self-assessment report, was not systematically done for all capabilities and domains; such analysis and insights have however been added through the joint institutional assessment exercise, as facilitated by the external assessors.

The good organisation of the self-assessment process, the quality of the self-assessment report and of the preparation by JOOUST of the external assessors' mission, already demonstrated high level commitment and confirmed the quality of the initial concept note submitted by JOOUST for its IUC-partnership application.

The externally facilitated institutional assessment process, its preparation and organisations, was excellent. The programme was really packed, intensive and demanding; with parallel meetings by the 2 external assessors, often meeting different internal or external stakeholders at the same time, last minute changes in availability and/or requests to meet additional external stakeholders. All of this was beautifully organised and supported by JOOUST. The external assessors (the IA-team) strongly appreciated the level of good preparation, commitment, hospitality, logistic support and openness throughout the institutional assessment exercise. Also, the JOOUST leadership provided strong support, from the start till the end of the field mission of the external assessors. The IA-team found no resistance in raising and discussing institutional and organisational challenges found, but rather eagerness of JOOUST staff and leadership in obtaining external feedback on their strengths and challenges, willingness to reflect on how to address the latter and shared commitment for further improvement.

The IA-team was also impressed by the availability, support and commitment to JOOUST of the many local, sub-regional, national and international stakeholders and partners of JOOUST, as interviewed by the external assessors.

The leadership and staff of JOOUST, +25 persons, having participated intensively, concluded jointly that the institutional assessment process, with first a self-assessment and subsequently an externally facilitated joint assessment, was a crucial learning process. They expressed their intention to continue to use the institutional assessment methodology and tools to track progress in their institutional and organisational development.

Relevance and potential of the JOOUST for the IUC program cooperation

As explained in chapter 4, JOOUST is fully meeting all expected characteristics of an IUC partner university. JOOUST is an emerging mid-tier university with plenty potential in further (qualitative) growth as academic institution and in enhancing its added value to sustainable development in the Lake Victoria Basin. An IUC partnership extended over potentially 10+2 years would be crucial in leveraging JOOUST's potential.

The high level commitment of leadership and many key people within JOOUST and a further embedment of the IUC-partnership ambition in an enabling organisational culture and adequate governance environment are all factors of success. Having Professor Benson Estambale as local IUC coordinator is a great additional asset, but the IA-team does not consider that this implies a significant continuity risk, because within JOOUST there is sufficient potential for an adequate replacement when

the need to do so arises and also the proposed team leaders of the projects seem fully capable and trustworthy.

In addition to being able to contribute to leveraging JOOUST's own potential, developing a structural partnership with JOOUST will also provide access for Flemish universities and their teams and individual scholars to JOOUST's existing and emerging south-south network and its strategic position within the Lake Victoria Basin. Already many research partners and other external stakeholders of JOOUST (including three County Governments met) indicated that they would look forward to interacting, through JOOUST, with Flemish universities and to develop win-win partnerships with Flemish scholars.

While having its main campus in Bondo, in a rural area. JOOUST is easily accessible, strategically situated at the shores of Lake Victoria, approximately 60 km (1 hour drive) from Kisumu airport. While having a mainly rural development and lake-based development focus, JOOUST's developmental context also includes urban developmental challenges (such as pollution control, public health, urban/spatial planning, entrepreneurship and rural-urban value chains). All such elements fit very well within VLIR-UOS's ambitions and preferences for the ongoing IUC call 2022.

7. Annexures

7.1 Checklist collection of additional data and documentation

Name of the university	Jaramogi Oginga Odinga University of Science and Technology
Status – date:	13 / 03 / 2020

Data	Available	Partially available	Not available	Where to find (institutional factsheet, self-assessment report, other,)
Overview of all educational programmes	√			Institutional Factsheet Actual data provided in soft copy - document ✓ “1.0 Overview JO-OUST educational programmes.xlsx”
Number of students enrolled for each educational programme and for each level (Bachelor, master, PhD)	√			Actual data provided in soft copy - document ✓ “2.0 Numb students enrolled.xls”
Employment data of graduates			√	No tracer studies have been conducted.
Overview of academic research production per relevant unit (faculty, department, other)	√			Provided in soft copy. ✓ Publication Summary @ Dec 2019.docx ✓ RESEARCH PRODUCTS AND INNOVATION SUMMARY.pdf
Overview of recent external funding	√			Provided in soft copy. ✓ 5.0 Overview of recent external funding.xlsx
Data on e-learning use, use of libraries, IT support systems, etc.	√			Provided in soft copy. ✓ E-Learning Summary Report.xlsx
Total annual budget	√			Provided in soft copy. ✓ Budgetary Allocations_JO-OUST_20200423.xlsx

Data	Available	Partially available	Not available	Where to find (institutional factsheet, self-assessment report, other,)
% of annual budget government funded	√			Annex 7.2 below
% of annual budget from tuition fees	√			Annex 7.2 below
Total number of staff (M/F ⁴)	√			Annex 7.2 below
Total number of academic staff (M/F)	√			Annex 7.2 below
Number of Master degree holders in academic staff (M/F)	√			Annex 7.2 below
Number of PhD holders in academic staff (M/F)	√			Annex 7.2 below
Teaching load (percentage of time of academic staff spent on teaching)	√			Policy requirement for 60% time to be spent teaching. Maximum of 4 courses per semester for fulltime academic staff. Annex 7.2 below
Academic staff / student ratio	√			Annex 7.2 below

7.2 Overview of key additional data collected

Data field	Data	Comments (if any)
Diploma and certificate students	1200	2019/20 Academic Year
Total number of students enrolled		Undergraduate and graduate students
• Bachelor - female	2491	2019/20 Academic Year
• Bachelor - male	4167	2019/20 Academic Year
• Master - female	354	2019/20 Academic Year
• Master - male	668	2019/20 Academic Year
• PhD - female	143	2019/20 Academic Year
• PhD - male	268	2019/20 Academic Year
% of graduates employed within 12 months after graduation	-	Not available

⁴ MF: please disaggregate data (numbers) by gender (males / females)

Data field	Data	Comments (if any)
% of graduates employed within 24 months after graduation	-	Not available
Total annual recurrent budget	KSh 1.643.570.697	2018/19 FY (actuals)
% of annual budget government funded	60,33%	2018/19 FY (actuals)
% of annual budget from tuition fees	30,01%	2018/19 FY (actuals)
% of annual budget from external funding (Research Grants Only)	6,79%	2018/19 FY (actuals)
% of annual budget from rental and other revenue	2,86%	2018/19 FY (actuals)
Total Government Grants-Development (investment / infrastructural grants GoK	KSh 191.090.469	2018/19 FY (actuals)
Total number of staff	525	HR Data (fulltime staff only)
• # female staff	190	HR Data (fulltime staff only)
• # male staff	335	HR Data (fulltime staff only)
Total number of academic staff	FT 216/ PT 182	Division of Academic Affairs Data
• # female academic staff	FT 55/ PT 46	Division of Academic Affairs Data
• # male academic staff	FT 161/ PT 136	Division of Academic Affairs Data
Number of Master degree holders in academic staff	FT 42/ PT 129	Division of Academic Affairs Data
• # female of Master degree holders in academic staff	FT 11/ PT 32	Division of Academic Affairs Data
• # male of Master degree holders in academic staff	FT 31/ PT 97	Division of Academic Affairs Data
Number of PhD holders in academic staff	FT 143/ PT 53	Division of Academic Affairs Data
• # female of PhD holders in academic staff	FT 36/ PT 14	Division of Academic Affairs Data
• # male of PhD holders in academic staff	FT 107/ PT 39	Division of Academic Affairs Data
Teaching load (percentage of time of academic staff spent on teaching)	FT staff spend 60% time teaching with a maximum course load of 4 per semester.	In the process of calculating FTSE but difficult to accurately ascertain owing to lower number of fulltime academic staff than is required.

Data field	Data	Comments (if any)
Academic staff / student ratio	1:24	Computable from data provided Note: Academic staff denominator includes both fulltime and part-time staff currently teaching in the ongoing semester.

7.3 Overview of internal and external stakeholders met by the external assessment team

Date	Type of meeting	Stakeholders met
04/03/2020	International travel from Flanders - Arrival of Patrick Stoop	
05/03/2020	Introductory exchanges	Prof. Benson B.A. Estambale MB - Deputy Vice Chancellor Research, Innovation & Outreach (RIO) and Local IUC Coordinator
	Courtesy Meeting by Patrick Stoop	Visit to the Vice-Chancellor Meeting with the Ag. Chair of University Council and 2 members of the Council
	Introductory by Patrick Stoop	Meeting – Work session with the JOOUST team for the IUC proposal (project leaders/teams) and for the institutional self-assessment <ul style="list-style-type: none"> • Introduction of Team members – refer to full list provided in §2.3.2 <ul style="list-style-type: none"> ○ Technical ○ Self-assessment • Presentation (Overview of the University) • Final planning • Sharing of additional data/information that has not been provided to the assessment team
06/03/2020	Individual Interview Facilitated by Patrick Stoop	Dr. Stephen Munga, Director Centre for Global Health Research Kenya Medical Research Institute (KEMRI)
	Individual Interview Facilitated by Patrick Stoop	Quality Assurance: Dr. Pamela Raburu and Engosi Emboba
	Individual Interview Facilitated by Patrick Stoop	ICT: Dr. Paul Abwuonji
	Visit of main Campus by Patrick Stoop	Visit facilitated by several members of the self-assessment team Meetings / short exchanges with academic staff, no-academic staff and students in laboratories, library, etc.
	Focus group discussion Facilitated by Patrick Stoop	Post-graduate students (6 participants)
	Focus group discussion Facilitated by Patrick Stoop	Staff Union Officials (UASU/KUSU KUDHEIHA) – 10 participants
07/03/2020	Campus Tour By Patrick Stoop	Visit of the University Campus/Sites, facilitated by 2 DVCs, deans and key members of the self-assessment team <ul style="list-style-type: none"> ✓ Miyandhe Research Centre ✓ Kapiyo Biodiversity conservation and Botanical Site ✓ Achiego Campus
	Focus Group + Campus Tour By Patrick Stoop	School of Agricultural and Food Sciences (Siaya) <ul style="list-style-type: none"> ✓ Focus group discussion with the team and the key academic and non-academic staff of the School of Agricultural and Food Sciences ✓ Visit of the Campus

Date	Type of meeting	Stakeholders met
09/03/2020	Focus group discussion Facilitated by Levi Koyio	Deans <ol style="list-style-type: none"> i. Dr. Silvanice Abeka: School of Informatics and Innovative Systems ii. Prof. Fred Anangwe Amimo: School of Health Sciences iii. Prof. Regina Nyunja School of Biological and Physical Sciences iv. Prof. Omolo N. Ongati: School of Mathematics and Actuarial Science v. Dr. Michael Oloko: School of Engineering and Technology
	Focus group discussion; Facilitated by Patrick Stoop	Deans <ol style="list-style-type: none"> i. Prof. Reuben Oyoo Mosi: School of Agricultural and Food Sciences ii. Dr. Michael Nyagol: School of Business and Economics iii. Dr. Jack Odongo Ajowi: School of Education iv. Dr. Samwel Ong'wen Okuro: School of Humanities and Social Sciences v. Prof. Patrick O. Hayombe: School of Spatial Planning and Natural Resource Management
	Grouped Interview Facilitated by Patrick Stoop and Levi Koyio	Procurement Department: Mr. Dickson Seda; Procurement Manager and Gad Rogo: Senior Procurement Manager
	Grouped Interview Facilitated by Patrick Stoop and Levi Koyio	Internal Audit: CPA. Nelly Ako (Chief Internal Auditor) and CPA Francis Ngati
	Grouped Interview Facilitated by Patrick Stoop	Department Planning, Administration and Finance (PAF): ✓ Infrastructure, logistics and project management Prof. F. Anga'wa (DVC,PAF), Eric Waroui – Project manager – civil engineer; Mme Etha Galo – acting deputy registrar of central services – maintenance – unit; ...
	Grouped Interview Facilitated by Patrick Stoop and Levi Koyio	Department Planning, Administration and Finance (PAF) : ✓ Human Resources management Prof. F. Anga'wa (DVC,PAF), Dr. Patrick Akhaukwa (Reg. PA), S.W. Karagu (SAR), and W. Othieno (SAA)
	Grouped Interview Facilitated by Patrick Stoop and Levi Koyio	Finance: CPA Nancy Muchai and CPA Edward Mosi
10/03/2020	Focus group discussion Facilitated by Patrick Stoop and Levi Koyio	Undergraduate students & SAJOUST (student leaders + 10 participants)
	Focus group discussion Facilitated by Levi Koyio	Representatives of teaching staff (Total of nine (9) in attendance; 2 each from Schools of Education, Mathematics and Actuarial Sciences, 1 each from Schools of Business and Economics, and Agriculture and Food Sciences; 3 from School of Humanities and Social Sciences (Four female and five male)
	Grouped Interview Facilitated by Levi Koyio	Mr. Willis Atie Officer in Charge, Kenya Forestry Research Institute (KEFRI) Kakamega Station Christine Etiengni; Fisheries Manager, Kisumu

Date	Type of meeting	Stakeholders met
		Kenya Fisheries Services, Kisumu
	Focus group discussion Facilitated by Levi Koyio	Representatives of non-teaching staff (total six (6) in attendance; 1 senior assistant Dean of students, 1 clerk from student registration office, 1 from Estates Department (Student Hostels), 2 from Catering Services and 1 from Registry Department. (3 each male and female).
	Grouped Interview Facilitated by Levi Koyio	Lake Victoria Basin Development Authority (LBDA) Representatives; Mr. Philip Elias Oloo Oriaro, Chief Manager Agriculture & Natural Resources Mr. Zephaniah Otieno, Fisheries Manager
	Individual Interview Facilitated by Levi Koyio	Ally Matano Chief Executive Officer Lake Victoria Basin Commission (LVBC)
	Individual Interview Facilitated by Patrick Stoop	Dr. Christopher Mulanda Aura – Deputy Director of the Fresh Water Systems Research Department of the Kenyan Marine and Fisheries Research Institute (KEMFRI)
	Individual Interview Facilitated by Patrick Stoop	Mr. Limo Regional Director of Education (Nyanza)
	Individual Interview Facilitated by Patrick Stoop	Mr. Otieno, fisheries manager, Lake Basin Development Authority (with head office in Kisumu)
	Grouped interview Facilitated by Patrick Stoop	Hon. George Rubiik – CEC Water, Environment and Natural Resource (Siaya county government) Dr. Obiero Ogone – CEC Education & Ag. Finance (Kisumu county government)
11/03/2020	Individual Interview Facilitated by Levi Koyio	Mr. William Hamisi Regional Sub-Catchment Manager Water Resources Authority (WRA)
	Group Interviews Facilitated by Patrick Stoop	Representatives from Equity Bank and Kenya Commercial Bank (KCB)
	Individual Interview Facilitated by Patrick Stoop and Levi Koyio	Prof. Donald Ogweno, Chief Officer Department of Water, Environment and Natural Resource, County Government of Homabay
	Individual Interview Facilitated by Levi Koyio	Mr. Moses Kamayo Plan International
	Individual Interview Facilitated by Levi Koyio	Mr. Peter Mitenge I Choose Life, Kisumu Office
	Individual Interview Facilitated by Levi Koyio	Coca Cola Representative
	Focus group discussion Facilitated by Patrick Stoop	Meeting with the community representatives (Mr. Walter, the Area chief; Mr. Johab Martin Amolo - Church elder and opinion leader and retired civil servant; Mr. Morris Osewe, Member of Council Assemble and former area chief)
12/03/2020	Workshop (4x) Facilitated by Patrick Stoop and Levi Koyio	Institutional Assessment Workshop with sub teams (per capability) of the Technical and Self-assessment Team

Date	Type of meeting	Stakeholders met
13/03/2020	Workshop Facilitated by Patrick Stoop and Levi Koyio	Workshop with Technical and Self-assessment Team
	Debriefing by the External assessors Patrick Stoop and Levi Koyio	Vice Chancellor; 3 Vice Chancellors Other members of JOOUST team for the IUC proposal (project leaders/teams) and for the institutional self-assessment +25 participants
13/03/2020	Distant Individual Interview Facilitated by Patrick Stoop	Ms. Noëmi Ral, First Secretary, Embassy of Belgium in Nairobi
20/03/2020	Distant Individual Interview Facilitated by Patrick Stoop	Dr Bernadette Ramirez, Scientist, Unit on Research for Implementation (IMP) - The Special Programme for Research and Training in Tropical Diseases - World Health Organization
09/04/2020	Distant international partner / donor feedback interview Facilitated by Patrick Stoop	Mr. Sanjaya Mishra, Education Specialist, eLearning, Commonwealth of Learning - Promoting Learning for Sustainable Development
14/04/2020	Distant international partner / donor feedback interview Facilitated by Patrick Stoop	Ms. Nanna Roos, Associate Professor, University of Copenhagen, Department of Nutrition, Exercise and Sports, Paediatric and International Nutrition
17/04/2020	Distant international partner / donor feedback interview Facilitated by Patrick Stoop	Professor Robert Musundire, Chinhoy University of Technology in Zimbabwe, Zimbabwe

7.4 Detailed scoring card – maturity levels per domain and aspect

<i>Capability – Domain - Aspect</i>	<i>Score</i>
<u>1. Capability to achieve coherence</u>	
Domain 1.1 There is a shared and coherent vision and strategy on university/faculty level	4-
P1 - The university has a clear written vision and a mission statement which are widely known.	4-
P2 - The university has a clearly written strategic plan in line with the vision and mission statement which guides work and is reviewed annually.	4
P3 - The University's strategic plan is based on a systemic analysis of the university's context, capacities and potential roles.	4-
P4 - The faculties have developed a faculty-level strategy in coherence with the vision and mission statement of the university.	3+
R5 - There is coherence between the mission, the strategies, resources, processes, concrete actions and results of the university.	4-
Domain 1.2. Existence of a set of simple principles which govern the university's / faculty's operations	4+
P1 - Existence of a set of clear values shared among board/ management, staff and students of the university	5
P2 - Existence of a set of policies and processes/procedures which govern the university's operations and are widely known in the university	4
R3 - The university and faculty's operations benefit from principle-based governance.	4+
Domain 1.3. University's/faculty's governance/management structures are effective	4+
P1 - Existence of an organigram at university/faculty level	5
P2 - Board composition and functioning: the university has a diverse and functional Board that meets quarterly (either face-to-face or virtually)	5
P3 - The university has an annual work plan linked to the strategy and budget, with measurable results, activities, timelines, responsibilities and indicators	4
P4 - The work plan has been developed collaboratively, is monitored and informs decision-making	4+
R5 - The strategic direction, support and accountability of the Board contributes to the university's performance and reputation	4+
R6 - There is coherence, thus absence of conflicting visions, in the management, which contributes to the university's performance and reputation	4+
R7 - The university adequately balances participatory approaches with effective decision-making	4+
<u>2. Capability to deliver on development relevant objectives and commitments</u>	
Domain 2.1. The university provides high quality, development relevant education	3+
P1 - The university has adequate systems for curriculum development with due attention for learning outcomes and quality	4

<u>Capability – Domain - Aspect</u>	<u>Score</u>
P2 - The university has clear quality assurance standards for teaching which are adhered to	4
P3 - The university makes clear efforts to evaluate curricula in terms of labour-market needs and relevance	3+
P4 - The university has adequate systems for adapting curricula, teaching and learning methods to maximise developmental relevance of provided education	3+
R5 - The university's educational programmes are accredited	4+
R6 - The education provided by the university is perceived by key stakeholders to be of high quality and relevant for development	3+
Domain 2.2 The university is a multidisciplinary institution that produces cost-effective significant amounts of high-quality research	4
P1 - Academic staff have the time, capacity and incentives to conduct research	3+
P2 - The university organises academic conferences and seminars and/or is sufficiently represented at external conferences and seminars.	3+
P3 - University's/faculty's research is conducted in a multi-, inter or transdisciplinary approach	4
P4 - The university has adequate systems to prioritise research projects based on their potential to generate added societal and developmental value	4
P5 - The university has adequate systems to assure cost-effectiveness of its research	4-
R6 - The university has produced an adequate number of high-quality and appreciated academic publications.	4-
R7 - The research conducted by the university provides cost-effective research outcomes that are relevant for development.	4-
R8 - The university has and uses a number of flagship research centres	4+
Domain 2.3 The university is perceived as a real actor and driver of Change	4-
P1 - Academic staff have the time, capacity and incentives to disseminate results of their research	4-
P2 - The university actively contributes to public policy debates (local, district, national and/or international level)	4-
P3 - The university's research and education processes facilitate the emergence of innovative solutions (relevant for communities, private sector, etc.)	4
P4 - The university supports the dissemination of new ideas, concepts and research results (by setting up processes, extension service, by incl. it in staff performance reviews, etc.)	4
R5 - Research results are used by external stakeholders (incl. spin-offs)	4-
R6 - Innovative solutions that emerge from the university are adopted and used by relevant stakeholders (uptake)	3+
R7 - The university is effective in contributing to public policy changes (e.g. in higher education, public health, etc.)	3+
R8 - The university's research and education generates clear added societal value	4

<i>Capability – Domain - Aspect</i>	<i>Score</i>
<u>3. Capability to relate to external stakeholders</u>	
Domain 3.1. The university creates the condition for effective network development and is aware of the importance of formal institutional alliances	4-
P1 - An external communication strategy exists and is used to communicate effectively with key stakeholders (government, community, private sector, funders, ...)	4
P2 - The university invests in communication capacity at individual and organisational level	4-
P3 – The university creates the conditions for effective partnerships in its vision and strategy. The board and management is able to balance individual incentives with organisational performance	4
P4 - The university has a strategy to network and relate to other relevant stakeholders (incl. on extension services to external stakeholders (extension workers, TTO, communication, etc.); on advisory and/or consultancy services to external stakeholders; on (inter-institutional) networks)	4-
P5 - The university allocates adequate resources for networking	3+
R6 - The university is knowledgeable about and adequately uses the strategies and work of other organizations; consults and collaborates with partners when planning/ implementing	4-
Domain 3.2. The university has a vast network which is actively used	4
P1 - Networking activities are of good quality (e.g. frequency & depth of contacts)	4
P2 - Habit of networking is adopted by academic staff of the university	3+
P3 - The university systematically involves external stakeholders when curricula or courses are developed	4
P4 - The university possesses adequately trained personnel to do networking and communication	4-
R5 - The university has extensive and effective networks with a) Private stakeholders b) Bi- and multi-lateral donors, foundations, etc. c) Political stakeholders d) Actors within civil society e) Policy makers f) Alumni g) Universities/faculties and training institutes/research institutions in different countries h) Other relevant stakeholders in private/public sector i) Employers (to know their needs)	4
R6 - The university uses its network to provide extension services (as intermediary), advisory and/or consultancy services	4-
R7 - The university is well known and viewed as a constructive and empowering presence by the community	5-
Domain 3.3 The university obtains additional project funding	4+
P1 - The university has strategies for internationalisation, understands the local and international funding environment and has a resource mobilization strategy	4+
P2 - The university staff are adequately supported in raising and managing external funds (proposal writing, grant management, etc.)	4+
P3 - The university actively monitors externally funded projects (both administratively and content-wise)	4
R4 - The university successfully raises significant and diverse external funds on a regular basis	4
R5 - The university delivers on the results agreed upon in the funding agreements	5

<i>Capability – Domain - Aspect</i>	<i>Score</i>
<u>4. Capability to act and commit</u>	
Domain 4.1. The university is able to make and implement decisions	5-
P1 - Delegation of responsibilities: persons with a hierarchic role are empowered to make decisions and are able to implement decisions in time.	5
P2 - The university has effective systems, structures and processes (with a proper legal basis) to engage and commit in a timely manner	4+
R3 - The leadership of the university is effective in timely and appropriate decision-making	5-
Domain 4.2. The university has adequate and well managed Human Resources	4+
P1 - The university's hiring process is inclusive across gender, race and religion	4+
P2 - The university possesses enough adequately trained personnel for conducting educational programmes (BA, MA and PhD) using state-of-the-art pedagogic approaches	3+
P3 - The university possesses enough adequately trained personnel for doing state-of-the-art research.	3+
P4 - Further training for local staff to strengthen competencies in terms of education and research are available (incl. proposal writing, research management, curriculum development, laboratory maintenance, etc.)	4
P5 - There is sufficient administrative staff in relation to university's needs	5
P6 - The university has a clear, transparent system for staff development, staff promotion, mobility, performance reviews, etc.	4+
P7 - The university has mechanisms for conflict resolution, complaint management, etc.	5-
R8 - There is a relative gender balance at all levels of the university	4+
R9 - The university succeeds in attracting and retaining motivated and skilled staff	5-
Domain 4.3 The university has an adequate infrastructure	3
P1 - Availability of flexible research funds (e.g. for setting up small experiments)	3+
R2 - The university has well performing ICT systems and services (e.g. access to internet for its staff and students, IT systems support for the core processes of the university - (e.g. student administration, library services, etc.) - functional distance education systems).	3
R3 - Technological facilities are available to staff and students (e.g. technology to collect data, data analysis, libraries, specialised software, communication platform, intranet, etc.)	3
R4 - Availability of adequate and accessible space (classrooms, labs, etc.) to conduct research and deliver classes	3-
R5 - The laboratories at the university are adequate to conduct state-of-the art research	3
R6 - Infrastructure and equipment is adequate with regard to staff's technical expertise	3
Domain 4.4 The university has adequate and well managed financial resources	3 / 5-
P1 - The university has performant, smooth financial management systems, with sufficient checks and balances	4
R2 - Availability of adequate financial resources at department /faculty level and at university level	3

<u>Capability – Domain - Aspect</u>	<u>Score</u>
R3 - The university is appreciated for its management of external funding	5
R4 - The university is financially compliant to statutory and legal regulation	5
Domain 4.5. The university has effective systems and processes for administration; and procurement and logistics	5-
P1 - The university has effective administrative systems, structures and processes	5
P2 – The university has effective systems, structures and processes for procurement and logistics	4
R3 – The administration of the university is adequate with regard to its mission and strategy	5
R4 – The university effectively organises procurement and logistics	4+
Domain 4.6 The university has effective systems and processes for project management and quality assurance	4+
P1 - The university has adequate systems, structures and processes for project management	4+
P2 - Clear quality standards and expectations are formulated for service delivery	4+
P3 - Quality standards and quality performance are communicated to the stakeholders involved and to the public at large	4+
R4 - The university ensures the efficient use of its resources to maximize the achievement of its outputs and results	5-
R5 - The internal and external service delivery of the university is of high quality <ul style="list-style-type: none"> ✓ A score 3+ is applicable if service delivery is compared to more ideal quality standards. ✓ A score 5- is applicable if we consider resource constraints and apply a quality to cost perspective 	3+ / 5-
<u>5. Capability to adapt and self-renew</u>	
Domain 5.1. effective management in shifting contexts	5-
P1 - The management has an understanding of shifting contexts.	4+
P2 - The management has experience in adapting to changed contexts	5-
P3 - The management has experience in facilitating change	5-
P4 - The university and the faculties have developed scenarios for risk mitigation and insuring resilience in case of major setbacks	5-
R5 - The university adequately assesses trends or changes and effectively anticipates or adapts to major changes.	5-
Domain 5.2. The university is continuously adapting and renewing	5-
P1 - The university has limited levels of hierarchy (too many levels of hierarchy as a possible constraint to adopt changes quickly)	5
P2 - The university has a healthy feedback culture which allows to learn out of past mistakes and successes.	5
P3 - The university has an incentive system which fosters innovation, creativity and change	4+

<u>Capability – Domain - Aspect</u>	<u>Score</u>
P4 - The university has a training protocol and a HR development plan which encourages learning and exchange.	4+
P5 - The university has adequate processes in place to incorporate new research findings on a continuous basis into curricula or courses.	4+
P6 - The university's research processes allow easy accommodation of external research requests.	5-
R7 - The university effectively balances stability with innovation and renewal <ul style="list-style-type: none"> ✓ A score 3+ is applicable if actual renewal and innovation are compared to the needs. ✓ A score 5- is applicable if we consider resource constraints and apply a actual innovation to cost perspective 	3+ / 5-
Domain 5.3 The university has an adequate knowledge management system	3 / 5
P1 - The university has an active knowledge management system to learn from past mistakes and successes <ul style="list-style-type: none"> ✓ A score 5 is applicable for the ambition level and good ideas ✓ A score 3 is applicable for the (resource constrained) implementation 	3 / 5
P2 - Knowledge exchange is valued, and a range of appropriate mechanisms exist and are used for knowledge exchange	5
P3 - The university has a repository and system to capture, document, and disseminate knowledge for program improvement, organizational learning and sharing with external stakeholders (shared folders, library and publication outlets-print, electronic or face-to- face- workshops, seminars etc.).	3+
R4 - Staff generate, learn, share, and use relevant knowledge for the benefit of individuals, units and the organization.	5
R5 - Evaluation contributes to organizational learning: Programs are evaluated, and evaluation findings are discussed, disseminated and inform organizational learning	4+

