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Institutional assessment IUC Call 2022

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List of abbreviations

ARES	Académie de Recherche et d'Enseignement Supérieur
BMD	Bachelor - Master - Doctorate
FEC	Federation des entreprises du Congo (private companies congolese federation)
GCM	Générale des carrières et des mines
IA	Institutional Assessment
KCA	Katangese Copperbelt Area
OCU	Observatoire des Changements Urbains Faculty of Medicine
PFS	Projet de Formation Sud
PRD	Projet de Recherche et Développement
QA	Quality Insurance
UNILU	University of Lubumbashi
USAID	United States development agency
VLIR-UOS	Flemish Interuniversity Council – University Development Cooperation

1. Executive summary

1.1 The institutional assessment process

This institutional assessment report is the product of a two-stage assessment process:

- (a) a self-assessment by UNILU of its institutional capacity, conducted by a mixed (gender, background) team of university staff members in early February 2020
- (b) a joint assessment of the university's institutional capacity facilitated by external assessors during a field visited conducted between February 20th and February 28th, 2020.

The institutional assessment framework used, is based on the 5 capabilities model developed by EC-DPM. For the purpose of the institutional assessment, each capability comprises several domains, in turn every domain is characterized by a set of complementary aspects.

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	3	A general vision and mission of UNILU have been developed, but significant improvements are needed to assess (and learn from) the implementation of existing strategies, to develop and precise UNILU specific own vision and mission at University and faculty level and to systematize these processes. UNILU's third and current strategic plan covers the period from 2013 to 2022; without any in-depth mid-term review. Each faculty has developed or is in the process of developing its own strategic plan. It is time to evaluate progress and begin preliminary work on the next strategic plan, at both University and Faculty levels.
1.2 Principles	4-	UNILU's operations at both institutional and faculty levels are government by a set of policies and procedures. Because most general regulation comes from the national level, the University does not have the flexibility to modify or adapt most of them to its context or situation. UNILU neither simplifies nor summarizes regulations that appear complex. Some improvements are likely to occur in the following years, as UNILU is in the process of defining and formalizing some procedures. Despite having many largely central government imposed, detailed policies and procedures, UNILU is lacking a condensed set of simple principles and explicit values. The IA also found little evidence of principle-based governance.

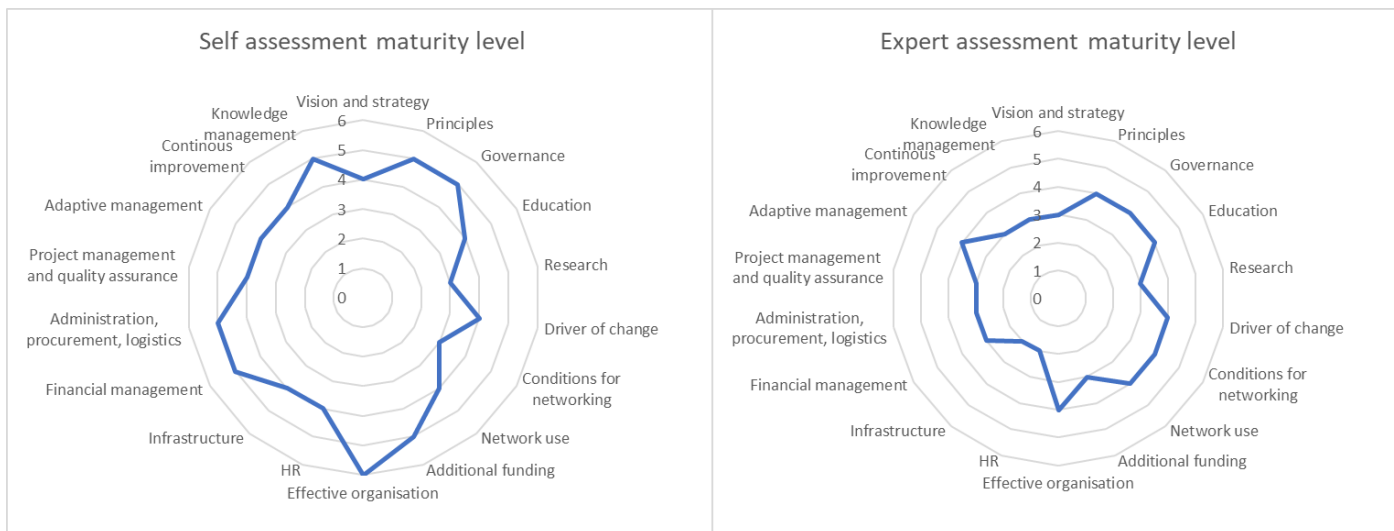
1.3 Governance	4-	UNILU has an organigram both at the central administration and at faculty levels. UNILU's management/governance structure is hierarchical and it spans across different levels ranging from the departmental council to the Administrative Council at the national level. This structure creates several challenges for effective and timely decision-making. As UNILU noted in its concept note, governance is still weak. However, UNILU demonstrates flexibility and proactiveness in initiating new faculties, programs, and activities.
2. Capability to deliver on development relevant objectives and commitments		
<u>Domain</u>	<u>Score</u>	<u>Conclusions</u>
2.1 Education	4-	UNILU appears clearly as a leading public university in the DRC. The programs and curricula are developed at a national level and have not been revised since 2004. Some faculties / department developed many initiatives to adapt, modernize and improve UNILU education portfolio. Those processes should be mainstreamed among all faculties and services.
2.2 Research	3-	The University has a few externally funded flagship research centers/faculties and produces some top-quality academic publications in specific fields. In many other fields, high quality research and publication are lacking (R6). The absence of internal or national research funding opportunities increases the gap in the research capacity of faculties and research units. Overall, UNILU still lacks the processes (P1-P5), funding and support mechanisms that lead to high-quality research. But research resources available seem to be used in a cost-effective manner.
2.3 Driver of Change	4	At individual level, research unit level or faculty level, UNILU sometimes appears as a major driver of change. However, those initiatives and role models are not mainstreamed nor institutionalized at the University level. The little availability of funding, even for experimental / small scale innovative initiatives, hinders the existing potential for improving the role of UNILU as driver of change of change.
3. Capability to relate to external stakeholders		
<u>Domain</u>	<u>Score</u>	<u>Conclusions</u>
3.1 Conditions for networking	4-	UNILU values the importance of institutional alliances and succeeds relatively well in creating the conditions for effective network development at local and national levels. The capacity and effectiveness of networking at regional and international levels require further improvements.
3.2. Network use	4	UNILU has and actively uses a vast and diverse network: private companies, civil society, international organizations, and academic institutions. In recent years, external stakeholders are being more involved in internal processes. UNILU is to a certain extend seen by the community as a "constructive" actor.

		However, this is still insufficiently streamlined, in some units/faculties, the network is still weak and needs to be developed.
3.3. Additional funding	3+	The situation is far different from one faculty to another. Some few flagship faculties are able to obtain additional funding that is critical to develop tremendously their research and education capacities. The others get very little additional funding or receive no additional funding. The score (3+) given for domain 3.3 is an average score between flagship faculties (5) and other faculties and units (2).
4. Capability to act and commit		
<u>Domain</u>	<u>Score</u>	<u>Conclusions</u>
4.1 Effective organization	4	Public universities in the DRC are very heavily regulated by the Ministry of Higher Education, even though the government provides extremely inadequate financial support to its academic institutions. The combination of these two factors (strong regulation and inadequate financial support) hampers, both in theory and practice, UNILU' capacity to make and implement decisions. The decision-making model in DRC higher education is clearly in need of improvement, as institutions have very little autonomy. Despite such hampering national context, the UNILU Rector and his cabinet demonstrate commitment and leadership and a capacity at university level to make and implement decisions within the given resource limitations. However, empowerment of faculties, departments or units remains weak. When it comes to implementing new projects and programs supported by external stakeholders, UNILU has demonstrated its ability to act and commit, as the university is searching for opportunities to improve and advance teaching, research, and public service.
4.2. HR	2	This domain is an area where there was a significant disparity between the self-assessment team and the external evaluation team and one that was the subject of significant discussions. Considering the institution as a whole, the external evaluators conclude that human resource management is still very weak at UNILU, due to 3 main factors. There is not enough academic and administrative staff in relation to the University's need for teaching, research, and administrative support. The existing personnel include a substantial proportion that is either past or nearing retirement ages. UNILU has a very poor incentive system. This weakness is to a large extent due to the challenging environment, particularly the lack of government funding for and the centralization of decision making at the national level. Notwithstanding such huge overall challenges, UNILU has some highly qualified and capable staff for teaching, research, and administration and is able to implement several flagship projects and initiatives.

4.3 Infrastructure	2	Infrastructure is one of the top weaknesses and challenges at UNILU. The general infrastructures (classrooms, labs, administrative offices) are very old and not adapted. Libraries are old and not adapted to modern international standards. IT infrastructures and internet network access are improving since a couple of years, but huge efforts should be done to reach international standards. As many actors told us: <i>"UNILU has been built for 3.000 students... Now how many are they? More than 25.000, and the infrastructures are the same!"</i>
4.4 Financial management	3	The availability of financial resources is extremely inadequate at UNILU. Other than covering employee salaries (which are also inadequate), the government of the DRC provides no additional funding. This situation presents a serious limitation to UNILU to carry out its teaching, research, and public service functions. However, actual management of existing scarce resources appear to be acceptable or good. Thus, the score given (3) is an average between availability of funding (1 to 2) and management of funding (3 to 4).
4.5 Administration, procurement, logistics	3	In general, this domain appears to be still weak and in need of improvement. Its weakness reflects the broader context in which the university operates, a context that is characterized by a scarcity of sources and lack empowerment combining decentralization and accountability.
4.6. Project management and quality assurance	3+	Project management occurs on a case by case basis. Each external partner appears to have its rules and regulation. There is not a formalized set of quality standards developed at UNILU, even if project managers involved seem to be aware and master quality project management. The assessors choose a score of "3+" because they acknowledged that the commitment and capacity to maximize resources and use them efficiently is high at UNILU. There is potential to build on existing strengths (of a limited number of projects) to ensure good project management and quality implementation of new projects and partnerships.
5. Capability to adapt and self-renew		
<i>Domain</i>	<i>Score</i>	<i>Conclusions</i>
5.1 Adaptive management	4	UNILU demonstrated some understanding of shifting contexts and experience adapting to and facilitating change. UNILU has made some good progress in this respect; however, there is still room for improvement (R4). The question is whether this understanding or experience is institutionalized or limited to several individuals, units, or areas. As a limitation, we highlight the limited change management capacity of faculties – while this is required to cope with the LMD reform.

5.2 Continuous improvement	3	<p>UNILU has demonstrated some capacity for adaptation and renewal. However, this capacity is still weak and requires major improvements and further mainstreaming across the faculties and departments. The greatest constraints are the scarcity of resources (particularly financial) and a lack of strong drive and motivation for continuous adaptation and renewal. Some worthy efforts have taken place (initial progress in the shift to BMD system, set up of a quality assurance office, improvement of new academic programs through quality insurance initiative or academic English blended training supported by VLIR-UOS, etc.... The reality is that innovation and renewal are needed much more than stability, if DRC higher education is to be transformed drastically and respond to modern challenges. It is also clear that, despite the constraining environment in which it operates, UNILU is making some effort to innovate and renew itself. As noted earlier, lack of enough resources is a major challenge.</p>
5.3 Knowledge management	3	<p>Apparently, UNILU overestimates the comprehensiveness and effectiveness of its knowledge management system (as one can judge from the self-evaluation score and comments). The university has some form of knowledge management system; however, this is still a weak area that requires major improvement. Most of the data gathered and compiled are not used yet to question practices and routine of processes; while a feedback culture still needs to be developed.</p>

The following figures visualize 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

UNILU faces many external and internal challenges, such as the lack of public funding, the overall economic situation in DRC, the extensive role of the National Ministry level and the important gap between flagship faculties and the others.

Nonetheless, the external assessors believe that UNILU's current situation matches well with the IUC partnership concept. The following factors justify such a conclusion:

- UNILU is a major driver of change and a key development partner at a local and national level. It is also a top University in DRC and in the region. It would be a great asset for the IUC programme, in terms of (potential) impact on development and knowledge production and dissemination, to include UNILU in the programme.
- UNILU has a great potential for improvement in many fields, as well as highly motivated human resources; but the current low levels of funding strongly limit UNILU's capacity to leverage such potential. Benefiting from IUC support could be a unique opportunity for UNILU and result in a big push forward. VLIR UOS would be one of the major UNILU partners, and thus IUC would be a substantial and influential cooperation program for UNILU.
- While VLIR-UOS should be aware of a risk of creating a "dependency" of UNILU to the IUC program, the assessors consider that this risk could be mitigated, as UNILU already benefitted from large scale institutional supports from other donors.
- UNILU has demonstrated its capacity to manage funds and external programmes.

1.4 Relevance and potential of the proposed IUC programme

The external IA team appreciated UNILU's proposed IUC programme as highly relevant with regard to (i) development context at a national and local level; (ii) strengths, opportunities and room for improvement within UNILU; (iii) Common Strategic Targets (CSTs) and other development frameworks. This programme could have positive outcome on an individual and department/faculty level (i.e. the development of involved faculties and services, improvement of academic staff skills, increase of PhD candidates and doctors, etc.). Moreover, this programme could improve UNILU's capacity of leveraging on-going support to obtain additional funding, to develop further partnerships, etc.

However, one of the main aims of the IUC programme is to contribute to a change process within the university, leading to improved performance at institutional level. The external assessors consider that this dimension has not yet been taken sufficiently into account in the initial concept note. Additional attention is required, especially for: the implementation of strategic documents, decisions, rules and regulations; the human resource management and incentives mechanisms; curricula development; organization of faculties and reform.

2. Introduction

2.1 Brief history of university in region

This brief overview of the University of Lubumbashi (UNILU) is based on a report (*Le Rôle Social de Université de Lubumbashi - The Social Role of the University of Lubumbashi*) produced by Professor Dibwedia Mwembu and published by UNILU and on Felly Chiteng Kot's doctoral dissertation (*Factors Associated with Partnership Experiences, Attitudes, and Perceptions: A Comparative Case Study of Two African Universities*). UNILU was created in 1955 as a regional university and had close ties with Belgian universities (Liege and Ghent). Originally called the "Official University of Belgian Congo and Rwanda-Urundi", this institution was meant first and foremost to train European students, and, to a limited extent, a small fraction of local students (who could then be employed in certain services). This university was the second university to be established in the Congo (after the University of Kinshasa). It was, however, the first university to be established by the State (as the University of Kinshasa was established by the Catholic Church). During the colonial period, the University was administered by an "Administrative Council" located in Brussels and composed of representatives of Belgian universities.

After the country earned its independence in 1960 and particularly following cession by Katanga province, the University was renamed State University at Elizabethville and was in close collaboration with the Katanga government and the local business sector (while also retaining its academic ties with Belgian universities). After the end of Katanga's secession (in 1963), as the province reintegrated the Congo, the University was renamed the Official University of Congo. In 1971, the University was merged, by presidential decree and for political reasons, with the universities of Kinshasa and Kisangani to form the National University of Zaire (with campuses in Lubumbashi, Kinshasa, and Kisangani). This reform, however, resulted in management and bureaucratic issues. In 1981, by another presidential decree, the National University of Zaire was disbanded and split into three "autonomous" universities: Kinshasa, Lubumbashi, and Kisangani. Each university had its own managing council; however, they were all governed by a single Administrative Council at the national level. This is still the governance/management structure used today.

UNILU was impacted by political and economic crises that characterized the country since the 1970s. Its financial crisis particularly deepened in the 1980s, as the university received very little financial support from the government. In the first half of 1990, UNILU was victim of a violent incident, namely, the so-called student massacre in the night of May 11 to 12, 1990. Different sources reported that several dozens of students were assassinated by members of President Mobutu's security guard. Following this violent incident (and other political and security incidents in the country), many countries and international organizations suspended technical and financial support to the country (including its academic institutions). All forms of international cooperation between UNILU (as well as other institutions) and foreign institutions and organizations were paralyzed and, consequently, UNILU was isolated from the international community. It was only in the 2000s (particularly) that UNILU began to emerge from this isolation, as international cooperation with foreign institutions and organizations began to be reinstated.

2.2 Development context

DRC is the 11th largest country in the World (2 345 410 km²). With 80 million hectares of arable land and over 1,100 listed minerals and precious metals, the DRC has the potential to become one of the richest economies on the continent. However, DRC is still one of the poorest countries in the world (174th country on HDI 2018), and is simultaneously facing major security, ecological, demographic, social and economic challenges. The DRC is still recovering from a series of conflicts that broke out in the 1990s, creating a protracted economic and social collapse. Since the 2000's, progress has been made in rebuilding the Congolese State, including the holding of national elections, the passing of key legal

reforms, and the establishment of new institutions such as provincial assemblies. Although some advances have been made in the security sector, there is continued instability in some parts of country (North Kivu, South Kivu, Kasai Central) and the situation remains fragile.

The DRC state is extremely fragile: public institutions are weak, and their capacity of action is very limited. The provision of public goods and public services is dramatically low, especially outside the main cities. Therefore, the education system is not able to provide basic nor higher education that meet minimum standards. The funding of public education institutions is not sufficient to cover daily costs and staff salaries.

Lubumbashi is located in the south east of the country, in the Haut Katanga province (previously Katanga province). This area is endowed, with many natural resources that should constitute a beneficial strategic capital for growth and income. The Copperbelt, a mining region shared by Zambia and DR Congo (Upper Katanga), is characterized by some of the world's largest copper and cobalt deposits, which have been exploited industrially for over a century. In DRC, mining activities have been increased since the liberalization of the mining sector in 2002 (Promulgation of the mining code). It should be noted that the Katangese Copperbelt Area (KCA) is an area with a rapid demographic growth rate in DRC, with more than 15 million inhabitants. The attraction for the mining sector is largely explained by the difficult socio-economic situation in the DRC.

2.3 Implementation of the institutional assessment

2.3.1 Presentation of the institutional assessment approach

A new call for Institutional University Cooperation (IUC) has been launched in June 2019. This call is meant to select a maximum of 5 partner universities to participate in an IUC partner programme as of 1 January 2022. As part of the three-stage selection process, 8 potential IUC partner universities undergo an institutional assessment. As part of the selection process all candidate IUC universities partake in an institutional assessment. The institutional assessment consists of two stages:

- Self-assessment by the university of its institutional capacity with a 1st round of data-collection.
- Joint assessment of the university's institutional capacity facilitated by external assessors. The same institutional assessment framework has been used for both stages of the institutional assessment.

The purpose of the institutional assessment is:

- To better understand the current institutional capacity of candidate universities. 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. This includes a sufficient level of exposure to research as well as the availability of trained human resources. There is also a need for institutional stability and of a minimum of financial resources available and owned by the institution. It also assumes a readiness to engage in a process of change management.
- To assess the match between the institution and IUC principles /characteristics.
- To verify data that was already shared in the initial concept note and to collect additional data needed by:
 - VLIR-UOS and the selection commission for the selection of IUC partner universities.
 - IUC candidates and the Flemish IUC coordinator for the elaboration of the IUC extended concept note.
 - VLIR-UOS, the IUC partner university, the Flemish IUC coordinator, Flemish project leaders and Flemish HEI during the implementation of the IUC programme.

The institutional assessment framework is based on the 5 capabilities model developed by ECDPM. This model defines overall institutional capacity and performance in terms of ‘producing social value’; the model includes and distinguishes among five complementary core capabilities which, by themselves, do not necessarily contribute to social change. According to this model:

- *Capacity* is referred to as the overall ability of an organization or system to create value for others.
- *Capabilities* are the collective ability of a group or a system to do something either inside or outside the system. The collective skills involved may be technical, logistical, managerial or generative (i.e. the ability to earn legitimacy, to adapt, to create meaning, etc.).

Competencies are the energies, skills and abilities of individuals.

To the degree that they are developed and successfully integrated, capabilities contribute to the overall capacity or ability of an organization or system to create value for others. A single capability is not enough to create capacity. All capabilities are needed and are strongly interrelated. Thus, to achieve its development goals, the 5Cs capacity framework says that every organization/system must have five basic capabilities. These are:

- 1) The capability to achieve coherence
- 2) The capability to deliver on development objectives
- 3) The capability to relate to external stakeholders
- 4) The capability to act and commit
- 5) The capability to adapt and self-renew

2.3.2 Institutional self-assessment process

The self-assessment was conducted mid-February 2020. The information was collected during focus groups involving various key actors from the University (as per the table below). The observation of the functioning of the UNILU and its faculties was also used to compare the observation data with those from the focus groups. The focus groups collected and studied the variety of opinions and feelings of different categories of personnel (teaching, administrative, technical and logistic support) on issues relating to teaching/research, administration, the functioning of the laboratories, the interactions between the UNILU and the community, etc. The coordination of the focus groups was carried out by César Nkuku, assisted by Yannick Useni and Salvius Bakari, due to his prior knowledge of the UNILU, accumulated since he has been working as an advisor to the Rectorate since 1997. During this focus-group, the 5 capacities were presented, including their respective domains. For each area, the criteria corresponding to the six levels were presented and discussed by the team, placing it in the context of the UNILU. The choice of the applicable maturity level was made by consensus.

As the self-assessment templates were finalized early February 2020, and the external assessment started the 20th of February, the University had very little time to prepare for and conduct the self-assessment. However, the self-assessment was completed and sent to the evaluators by the 19th of February, one day before the launch of the external assessment.

Persons involved in the self-assessment			
Nr	Name	Position	Gender
1	César Nkuku Khonde	Rector's Cooperation Adviser	M
2	Yannick Useni Sikuzani	Manager of a South Initiative Project with UHasselt	M

3	Salvius Bakari Amuri	Member of the laboratory coordination at UNILU	M
4	Hortense Kalenga Kalamo	Honorary Academic Secretary of the Faculty of Veterinary Medicine	M
5	Cathy Katende Kakonkwe	Director of the Higher School of Tourism and Hotel Management	F
6	Olivier Kahola Tabu	Vice-Dean of the Faculty of Social, Political and Administrative Sciences	M
7	Basile Mujinya Bazirake	Vice-Dean of the Faculty of Agricultural Sciences	M
8	Gabin Badi Kabuya	Director of the School of Criminology	M
9	Ngoy Kalumba	Director of Academic Affairs	M
10	Flavie Banza Kishiko	Senior Assistant to the Administrative Secretary General	F
11	Laurent Ngoy Ndjibu	Vice-Dean of the Faculty of Law	M
12	Edmond Twite Kabamba	Director of the UNILU-Society Interface	M
13	Steves Chitekulu	Technical Director of the Computer Resources Department	M
14	Guillaume Nkongolo Funkua	Director of the Central Library	M
15	Florence Kampemba Mujinga	Vice-Dean of the Faculty of Architecture	F
16	Irène Ngoy Kyungu	Internship Coordinator at Radio Phoenix University	F
17	Nelly Ngoie Mukabe	UNILU Print	F
18	Bidibo Mwafumu	Director of Finance	M
19	Annyfa Belembo Anaïs	UNILU Students' Delegation	F

2.3.3 External institutional assessment process

The external assessment was conducted from 20th till 28th February by Julien Moriceau (lead assessor) and Felly Chiteng Kot (regional assessor – from 24th till 28th February 2020). Logistical coordination of the external assessment was provided by Pr. César Nkuku and Pr. Yannick Useni. They prepared the agenda (following the canvas and guidance provided by C-Lever.org), facilitated contacts with interviewed people, and accompanied the C-Lever.org team in some of the meetings/interviews. They also provided the documentation and facilitated the briefing with the University authorities. Due to the very tight deadlines, the self-assessment report was analyzed in the first days of the external assessment. Consequently, collection of additional data was delayed slightly. But, as the coordinators were highly mobilized, they were able to provide the relevant documents even after the end of the external evaluators' field visit.

The assessors strived to achieve balance between collective discussions (focus groups) and individual interviews. The assessors consulted and discussed with a large diversity of stakeholders (both internal and external):

- Stakeholders from different fields and faculties (hard sciences, life sciences, social sciences, humanities).
- Stakeholders with different status (professors, junior and senior lecturers, PhD candidates, Master and Bachelor level students, administrative staffs, IT technicians, etc.).
- Stakeholders with different roles (Deans and other faculty/department managers, lab managers, doctoral school managers, head of library administration, etc.).
- Stakeholders representing different gender and age groups.

Almost all the relevant stakeholders were consulted, except one external partner (due to their unavailability). The coordinators were highly committed during the process and were able to mobilize all the relevant stakeholders. The agenda for the institutional assessment appears point 7.3 of the report.

3. Institutional assessment of the university

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>	4	<u>Selected maturity level</u>	3
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The UNILU has a written vision that is not very popular, but a well-known mission statement. It has had a clearly written strategic plan since 2008, revised in 2013. This strategic plan, the product of a consensus among all components of the university and based on a systemic analysis of the context, capacities and missions of UNILU, is in line with the vision and the statement of the triple mission assigned to UNILU (teaching, research and service to the community). Over the past four years, the former Faculties have been progressively developing their strategic plans in coherence with the UNILU Strategic Plan, except for the newly created Faculty of Architecture two years ago. There is coherence between the three missions and the development strategies of the UNILU. However, the lack of resources, which has a slight impact on the processes, makes it possible to have results and concrete actions to be improved.</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>UNILU elaborated and implemented its first strategic plan in 2003-2007 and its second strategic plan in 2008-2012. Its third and current strategic plan covers the period from 2013 to 2022. The development of this strategic plan was an important initiative and process that involved consultations with and collection of data from a wide variety of stakeholders (P3). In addition to presenting general background about the institution, the strategic plan identifies various challenges related to research, teaching, and administration. It also includes an institutional-level SWOT analysis and proposes a number of solutions to some of the challenges identified. It was also brought to the attention of the external assessors that each faculty has developed or is in the process of developing its own strategic plan and that there is coherence between the institutional-level and faculty level strategic plans (P4). Unfortunately, the external assessors have not had access to sample faculty strategic plan for further analysis.</p> <p>The external assessors, however, observed a number of <u>issues</u> related to the development and implementation of the strategic plan. (1) Although the strategic plan identifies what it views as UNILU's vision, this vision was almost never emphasized in discussions. Instead, administrative and academic staff tended to focus on what is generally known as the tripartite mission of higher education: research, teaching, and public service. There seems to be a tendency to conflate this general mission, that pertains to all higher education institutions across the globe, and the specific mission and vision that should be characteristic of each institution individually. Thus, in addition to having a clearly defined vision, there is a need for UNILU to develop a mission that is specific to its institutional context (P1). (2) Although the strategic plan identifies a wide variety of challenges, it</p>	

	<p>does not clearly identify top priorities and key performance indicators, nor concrete actions and resources needed to address the most pressing challenges (R5). (3) In addition, there was no evidence that a clear system exists for monitoring the implementation of the strategic plan and for tracking progress (P2). Nor is the strategic plan reviewed regularly. The institution recognizes the overwhelming financial challenge that it faces, due to the extremely weak public funding system in the DRC and the lack of financial resources to fully implement its strategic plan. This situation makes it's particularly difficult to establish a link between resources, actions, and results (R5). This challenging financial situation makes it even more difficult to determine if and when the University will be able to achieve its vision.</p> <p>UNILU's current ten-year strategic plan will end in less than two years. There has not been any in-depth mid-term review of this strategic plan. The university indicated that a new strategic plan will be elaborated at some stage. It is probably already time to evaluate progress and begin preliminary work on the next strategic plan. This situation also applies to faculties, as some deans indicated that their faculty strategic plans are near the end and need to be adapted. Beginning the process of evaluating and adapting the strategic plan early is particularly crucial, considering that stakeholders noted how difficult it is to mobilize people for this work (due to lack of motivation, lack of experience/familiarity with such an exercise, heavy workload).</p>
Conclusion	
<p>A general vision and mission of UNILU have been developed, but significant improvements are needed to assess (and learn from) the implementation of existing strategies, to develop and precise UNILU specific own vision and mission at University and faculty level and to systematize these processes. UNILU's third and current strategic plan covers the period from 2013 to 2022; without any in-depth mid-term review. Each faculty has developed or is in the process of developing its own strategic plan. It is time to evaluate progress and begin preliminary work on the next strategic plan, at both University and Faculty levels.</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 -

<u>Justification of selected maturity level - Description of the existing situation</u>	<u>Justification of selected maturity level - Description of the existing situation</u>
<p>UNILU is a public university whose functioning is governed by the ordinance law establishing and operating the University of Lubumbashi in 1981. This law is scrupulously followed and is an integral part of the UNILU's operating principles. The UNILU has a set of principles, processes and procedures which are clearly set out in the UNILU's organic regulations. Three years ago, the Faculties gradually developed the Charters of Good Conduct in accordance with the UNILU's operating principles. The UNILU is making an effort to disseminate the texts governing its functioning to all organs/levels via its website and the central administrative services and faculties.</p>	<p>UNILU's operations at both institutional and faculty levels are government by a set of policies and procedures (P1). Most of these policies and procedures, however, come from the Ministry of Higher Education at the national level. In fact, the Ministry of Higher Education regulates, to a very large degree, how higher education institutions in the public sector should function. For instance, every year, the Ministry of Higher Education issues a document called "<i>Instruction Académique</i>" (Academic Instruction) which contains a vast number of instructions covering nearly every aspect of the University's operation. The latest document contains over two hundred instructions covering students, academic staff, and administrative staff. In addition to this document, UNILU has to abide by various other legal documents and policies and procedures issued by the Ministry of Higher Education.</p> <p>In addition to these governmental documents, UNILU also has its own internal documents that regulate different aspects of the University's operations (P1). The most important internal document is perhaps the University's "Organic Regulations", covering administrative, academic and financial operations. This document contains nearly 300 articles that focus on the university council, the managing committee, the rector and his immediate associates (secretary generals and the chief financial officer), faculty and department administration, the academic calendar, academic staff, research, students, organization of exams, university clinics, and finances. Also, for the past three years UNILU faculties have developed their code of good conduct. In sum, the external assessors noted the existence of a set of policies and procedures that govern the University's operations (P1).</p> <p>However, the fact that a significant number of instructions and regulations originate from the Ministry of Higher Education makes the situation complex. The existence of many regulations and procedures mandated by the government (coupled with internal institutional documents) does not seem to make it easy to determine which document to apply in a given case and which one should have greater priority. Because most procedures and regulation come from the national level, the University does not have the flexibility to modify or adapt most of them to its particular context or situation. A number of examples were put forward to illustrate this situation. For instance, the Ministry of Higher Education has required that a master's or doctoral thesis committee should include 9 members, three of which must be external to the institution (a situation that has significant implications, both organizational and financial). Stakeholders also noted that there are challenges related to the implementation of both internal and external policies and procedures (R3). For instance, the</p>

	<p>hierarchical system, limiting decision making at the faculty level, makes it difficult to implement certain sanctions (for example, those related to violation of the code of good conduct).</p> <p>The assessors noted that the University has a Research Committee presided by the rector himself. The internal “Organic Regulations” document also contains some form of research policies and procedures, which, among other things, calls for each Faculty Council to define a faculty research policy (P2a). Although this is a positive initiative, there is a need for UNILU to elaborate a more comprehensive research policy or strategy that goes beyond administrative and organizational elements. It was brought to the attention of the assessors that a few faculties have developed (or are developing) their own research policies and procedures.</p> <p>Although the assessors observed a several cases of cross-cutting initiatives, they did not find evidence that UNILU has already developed policies, procedures, and principles to stimulate and govern crosscutting dimensions (P2b). However, UNILU is in the process of defining and formalizing many policies, procedures, and processes and is currently in a transitional phase when it comes to this aspect.</p>
Conclusion	
<p>UNILU’s operations at both institutional and faculty levels are government by a set of policies and procedures. Because most general regulation comes from the national level, the University does not have the flexibility to modify or adapt most of them to its particular context or situation. UNILU neither simplifies nor summarizes regulations that appear complex. Some improvements are likely to occur in the following years, as UNILU is in the process of defining and formalizing some procedures. In spite of having many largely central government imposed, detailed policies and procedures, UNILU is lacking a condensed set of simple principles and explicit values. The IA also found little evidence of principle-based governance.</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-
<u>Justification of selected maturity level - Description of the existing situation</u>		<u>Justification of selected maturity level - Description of the existing situation</u> UNILU has an organigram both at the central administration and at faculty levels (P1).	

There is a clear organic regulation at UNILU that regulates the management of the institution at the central administration, faculty and service levels. However, it should be mentioned that in the higher and university education system in the DR Congo, there is a single board of directors for all public universities, including UNILU. At the level of UNILU, there is a university council on which all the components (members of the management committee, heads of faculties, directors of administrative services and the student delegate) sit. This council generally meets monthly. The UNILU relies on the academic calendar of the functioning of public universities in the DR Congo to integrate its specific activities (scientific days, colloquia, pedagogical days, the start of the doctoral school, research mornings, welcoming new students, open days, etc.). These activities are added to the national calendar by consensus. In addition, at the UNILU level, in order to ensure the effective follow-up of this calendar, there is a study commission, a research commission, a management committee, a university council, etc. The meetings of all these bodies are sanctioned by minutes. The University Council is the decision-making body. The implementation of the resolutions of the University Council is ensured by the Management Committee, which follows up on them.

At the central level, the organigram identifies the rector as being at the top of the hierarchy, with four levels reporting to him directly: his cabinet, the secretary general in charge of academic affairs, the secretary general in charge of administration, and the chief financial officer. Each of these units has its own organigram. In reality, however, there are three more structures above the rector, even though these are not identified on the organigram: (1) the Administrative Council for all public universities in the DRC (a single body that oversees all public universities in the country), (2) the University Council (the highest internal decision making body; it is chaired by the Rector), and (3) the Managing Council (comprised of the Rector, the Secretary General for Academic Affairs, the Secretary General for Administration, and the Chief Financial Officer).

At the faculty level, the Dean appears at the top of the hierarch authority and is assisted by two vice-Deans (teaching and research) and two key secretariats (academic affairs and administration). In reality, however, there is a Faculty Council (chaired by the Dean) above the Dean. This council includes all teaching staff within the faculty with a rank of associated professor or a higher rank, two representatives of scientific staff, and two student representatives. In addition to faculty councils, there are also department councils. UNILU's "Organic Regulation" provides a detailed description of the tasks and responsibilities pertaining to each internal management/governance structure.

University, faculty, and department councils meet at least once a month.

UNILU's management/governance structure is hierarchical and it spans across different levels ranging from the departmental council at the bottom level to the Administrative Council at the national level. This structure is typical to public universities in the DRC. Because of the strong regulatory environment (despite weak government financial support) in which Congolese public universities function, this structure creates a number of challenges for effective and timely decision-making. As UNILU noted in its concept note, governance is still weak. However, it was encouraging for the assessors to observe that UNILU has demonstrated a substantial amount of flexibility and proactiveness in initiating new faculties, programs, and activities even within such a regulatory environment. Also, stakeholders argued that the hierarchical structure (with the various councils at departmental, faculty, and institutional level) provides a channel through which voices from different constituencies can be expressed. Stakeholders tended to describe this structure as facilitating

participatory decision making (R7). However, the assessors also noted that decision making power seems to be quite limited at departmental and faculty level, which inhibits participatory decision-making. It appears that most decision-making takes place at the University level. Furthermore, there are some decisions that can only be made at the national level. For, instance, UNILU can make promotion decisions or recommend sanctions against academic staff at the rank of senior lecture or professor, but the final decision is made at the national level.

The external assessors noted that UNILU (like other public universities in the DRC) does not have a board per se. The national Administrative Council that oversees all public universities appears to be an alternative to a board (P2). This national Council, however, appears to be more of a political and policy entity than a managing or even strategic body. There was not much information available on its composition and function. In the absence of an institutional-level board (with both internal and external members) capable of keeping a certain distance and providing high-level strategic guidance and oversight, the question is to what extent the University Council (at the institutional level) or the more restrictive Managing Council are able to fulfil aspects of the functions that would have been fulfilled by a board. Based on discussions and document analysis, direction and support (R5) could be assumed to come from the University Council and from the Managing Council. We note that those councils have no external, non-executive and independent, members, unlike most university boards.

The assessors noted that UNILU an institutional strategic plan as well as faculty strategic plans. However, no evidence was found on the existence of a systematic and codified annual work plan linked to the strategic plan and the institution's budget (P3 and P4). In addition, there were no performance indicators or timelines for achieving the objectives outlined in the strategic plan. Some of these elements might exist in a less formalized and visible way. As a general observation, however, improvement is needed in this area.

The assessors did not find evidence of conflicting visions in institutional management (R6. However, what is clear is that there is a diversity of perspectives (just like at any other academic institutions around the world) on institutional leadership and management.

Conclusion

UNILU has an organigram both at the central administration and at faculty levels. UNILU's management/governance structure is hierarchical and it spans across different levels ranging from the departmental council to the Administrative Council at the national level. This structure creates a number of challenges for effective and timely decision-making. As UNILU noted in its concept note, governance is still weak. However, UNILU demonstrates flexibility and proactiveness in initiating new faculties, programs, and activities.

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>	4 -
<p><u>-Justification of selected maturity level - Description of the existing situation</u></p> <p>Curriculum development is governed by the Board of Directors of the public universities of the DR Congo. UNILU is integrated into the national curriculum (courses) developed by the permanent commission of studies, a body of the Ministry of Higher and University Education that is in charge, together with all public and private universities, of developing the curricula. In line with what is happening in several universities around the world, UNILU is gradually being integrated into the Quality Assurance programme. For this reason, for the last seven years, UNILU has had a Teaching Quality Assurance Unit, which reinforces the activities carried out long before it by the University Pedagogy Unit, which is also in charge of Teaching Quality Assurance. Regularly, the continuous training of teachers in university pedagogy is carried out through seminars / days of university pedagogy</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>UNILU appears clearly as a leading public university in the DRC with respect to education quality. The programs and curricula are developed at a national level and have not been revised since 2004. However, some initiatives and evidence show that UNILU is trying its best to increase the quality of education. UNILU is “on the way” to improving the quality and relevance of its programs in many fields, as participants of the auto-evaluation process acknowledged.</p> <ul style="list-style-type: none"> • Some programs / curricula have been created recently and aim at responding to development-related needs (i.e., UNILU has opened the first Faculty of Tourism in the DRC). • Some faculties have switched to the BMD framework, with programs having been adapted to respond to development and labor market needs. UNILU appears to be one of the most advanced Universities in DRC in the implementation of BMD system. • UNILU recently initiated quality process & insurance processes, involving several faculties, allowing the experimentation of evaluation processes. A pilot evaluation process of courses was initiated by students themselves a few years ago in one faculty. • UNILU provides each year training programs for lecturers and professors focusing on pedagogy and learning principles, with the aim that lecturers regularly adapt their lessons. • Recently, some faculties tremendously improve their capacity to adapt their education programs, notably faculties that switched to the BMD system. Within the context of this switch, 	

<p>(organized at the beginning of each semester) by the Quality Assurance and University Pedagogy Units.</p> <p>From 1970, the National University of Zaire operated with three campuses (Lubumbashi, Kinshasa, Kisangani), each of which organised its own specific faculties. Since its autonomy in 1981, the UNILU has allowed itself to gradually create certain courses of study according to the needs of the community and in conformity with the programmes established by (or discussed with) the permanent study commission. This is the case of the School of Criminology, the Faculty of Architecture, the Faculty of Pharmaceutical Sciences, the Faculty of Agronomic Sciences, the School of Public Health, the School of Industrial Engineering, the School of Hotel Management and Tourism, the Department of Languages and Business (Faculty of Humanities and Human Sciences), the Department of Electromechanics (Polytechnic Faculty). For the time being, UNILU is planning to set up a Faculty master's degree in OHADA law at the of Law.</p> <p>At the national level, the training courses organised within the UNILU Faculties are automatically accredited, especially as the UNILU is a public university which applies the national programme. The accreditation process at the international level is under way for the Faculties of Medicine, Agronomic Sciences, Pharmaceutical Sciences, Veterinary Medicine, as well as the School of Public Health and Criminology, with the support of the Agence Universitaire de la Francophonie.</p>	<p>programs and curricula have included more practical courses, trainings, and student personal/collective projects. A number of professionals from the business sector have been involved in this revision process.</p> <ul style="list-style-type: none"> • Some faculties that haven't switched yet to BMD system already incorporate practical courses and training (i.e. Faculty of psychology). <p>However, those processes are not mainstreamed among all faculties and services yet, even if the external assessment acknowledges that the national set of rules, required for Universities to fully implement the BMD system, has not been issued yet. Some improvement processes, like the setting-up of a faculty-level quality assurance unit, have not been implemented widely among the University. According to the stakeholders involved, those improvements still consist of individual initiatives and commitments. The resources of these units are really limited and still depend on the availability of external funding and the existence of cooperation projects. Some external stakeholders in Lubumbashi and Kinshasa acknowledged that graduates, including those who graduated from UNILU, are in many fields, not sufficiently trained or prepared to hold a work position in the job market. This weakness is highlighted in the national education strategy of the Government 2016-2025. Therefore, the external evaluators assume that some courses and programs are still outdated and are adapted neither to recent state-of-the-art research and education nor to the job market.</p> <p>The external evaluators also note that the centralized process of program and curricula certification (discussed and validated in education commission at the Ministerial level) hinders the capacity to adapt the curriculum to research innovations and labor market needs, even if a certain flexibility to initiative changes at the level of UNILU is observable.</p>
<p>Conclusion</p>	
<p>UNILU appears clearly as a leading public university in the DRC. The programs and curricula are developed at a national level and have not been revised since 2004. Some faculties / department developed many initiatives to adapt, modernize and improve UNILU education portfolio. Those processes should be mainstreamed among all faculties and services.</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>	3	<i>Selected maturity level</i>	3-
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>The academic and scientific staff of UNILU includes teaching, research and community service among its activities. Each member of the aforementioned staff is called upon to integrate into the 3 missions of UNILU. Research is supported by infrastructures (laboratories, research centers, etc.) which are to be reinforced and created for new research axes.</p> <p>Locally, the UNILU organizes scientific days, conferences and seminars, some of which are international in scope. Some UNILU researchers participate in congresses and conferences organized abroad in their respective research fields. Some are members of international networks of researchers in particular disciplines. Furthermore, the inter/multidisciplinary approach is emerging and being integrated by the faculty into scientific research. For recent research, researchers from the life sciences, humanities and exact sciences easily collaborate on certain themes (urbanization, environment, mining activities and pollution, etc.).</p> <p>UNILU does not have sufficient internal financial resources to support and prioritize projects according to their potential to generate added value. Most of the research is funded</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>All academic staff at UNILU is supposed to contribute to research activities. But, one of the main challenges regarding higher education development in Congolese universities (including UNILU) is that academic staff has dramatically little time to conduct research. The teaching load is very high, and many professors also teach in private universities, in order to increase their income. The capacity to conduct research largely depends on the faculty and on individual motivation. Some stakeholders indicated that many instructors only focus on producing the minimum number of publications required to be promoted to a higher rank. The University set up a small financial incentive for international publications authored by staff. But overall, the incentives to publish are quite low (i.e. incentives on career advancement, internal funding opportunities, etc.) (P1). In 2018-2019, The Academic Report indicates that UNILU had 89 international publications (7 books and 82 articles). According to stakeholders, however, some so-called “international publications” are in questionable journals (researchers tend to consider any journal outside the DRC as “international”). This suggests the need for UNILU to rethink what should count as a truly “international publication”.</p> <p>The University organises conferences and seminars, both at national and international level. According to the staff, the number of conferences has slightly increased over the years. Comparing to others Congolese universities, this number seems to be high. But at a global level, the number of research activities and conferences organized by UNILU is still low. Stakeholders indicated that some UNILU academic staff members regularly participate in regional and international conferences (Rwanda, South Africa, Zambia, Kenya, etc...). As funding for international mobility is highly limited, the participation in international conferences largely depends</p>	

through funding negotiated with local, national or foreign partners.

In order to make better use of the results obtained by its researchers, the UNILU has set up a UNILU-society interface.

on cooperation programs, except perhaps for professors in the faculty of medicine (according to UNILU stakeholders) (P2).

The multidisciplinary approach of research is at its infancy. Some initiatives exist, and this approach is becoming increasingly emphasized thanks to the implementation of the BMD system, international cooperation projects, and individual initiatives. However, the limited research funds and the working habits, as well as the limited time for research, at UNILU hinder the mainstreaming of multidisciplinary research (P3).

The prioritization of research is a real challenge for UNILU. Given the limited resources, most of research initiatives come from external funding and support. According to UNILU staff, most of the research conducted follows the priorities set by external partners(P4). UNILU, like other public universities, receive no research funding or assistance from the government.

There are no formalized procedures or processes to ensure the cost-effectiveness of research. Also, as noted in UNILU's IUC concept note, "research is less coordinated, which leads to a dispersion of the limited financial resources available". Thus, many professors and labs, given the limited resources allocated to research, are developing good practices and are very keen to conduct research with high cost effectiveness. For example, a lot of research materials, acquired through cooperation projects, are now used by the academic community for research and training even after the end of those projects (P5, R7). UNILU tries, to the best of its ability, to ensure project sustainability.

The University has produced some top quality and appreciated academic publications (i.e. in the fields of agronomy and environmental sustainability). In many other fields, high quality publications (i.e. in peer review, high impact journals) are lacking (R6). A significant gap exists in the research capacity of faculties and research units: Those benefiting from international cooperation support have better labs and well trained and dynamic researchers known at national and international levels. Other faculties and research have highly inadequate resources for research and practical trainings (as well as outdated education programs and no or few partnerships for research advancement). Nevertheless, UNILU has a number of flagship research centers/faculties, which could support or facilitate the development of research capacity in other centers/faculties. The challenge is that the gap between flagship research units and

	faculties and other units/faculties is huge. There are little opportunities for change or improvement in fields that are not targeted by current or potential external partners(R8).
Conclusion	
The University has a few externally funded flagship research centers/faculties and produces some top-quality academic publications in specific fields. In many other fields, high quality research and publication are lacking (R6). The absence of internal or national research funding opportunities increases the gap in the research capacity of faculties and research units. Overall, UNILU still lacks the processes (P1-P5), funding and support mechanisms that lead to high-quality research. But research resources available seem to be used in a cost-effective manner.	

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

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	4
<u>Justification of selected maturity level - Description of the existing situation</u>		<u>Justification of selected maturity level - Description of the existing situation</u>	
<p>UNILU has a website and a university radio station. However, financial resources are insufficient to support the extension service and the university radio that broadcasts some research results has a limited audience because it does not cover a large area. UNILU researchers are regularly contacted for public policy debates, locally and nationally, in which they participate through the press. They also participate as advisers to policy makers at provincial and national levels. The visibility of the UNILU is being constantly reinforced through the UNILU-society interface. For example, researchers from the Faculty of Agronomic Sciences actively participate in the elaboration of food security or forest resource management policies; researchers from the Faculty of Pharmaceutical Sciences and the Faculty of Architecture regularly train traditional doctors and practicing architects who are members of the National</p>		<p>At university level, it appears that academic staff have very little time, capacity and incentives to disseminate the result of their research. However, we observed some interesting and valuable initiatives at individual / research unit levels. Some cooperation projects include an outreach or awareness component in their portfolio of activities (i.e. PFS, PRD and synergy projects funded by ARES, UniversiTIC and ICT programme supported by VLIR UOS). Some research projects aim results that can be specifically used by the community. For example, a recent research project aimed at limiting deforestation and the use of coal by rural families. Some research units also focus their activities on community awareness (i.e. OCU Urban changes Observatory). The faculty of agronomy has opened and manages two natural museums and provides technical support for the functioning of the Lubumbashi zoo. The polytechnic faculty is also involved in providing solution to problems in the community. This faculty produces research and analyses that serve industrial companies, especially in the mining sector. However, the University still needs international accreditation and shall improve its track record to become a key research partner for big mining companies. We should also mention that access to knowledge and innovation is limited in DRC (due to little publication</p>	

<p>Order of Architects of the DR Congo, respectively. La Générale des carrières et des mines (GCM) has been largely inspired by the clean-up trials of sites contaminated/polluted with heavy metals, set up by the Faculty of Agronomic Sciences not far from the GCM / Lubumbashi factories, to clean up a site contaminated by its mining activities in Kipushi. A project for the valorization of slag for the production of cement was designed by a UNILU researcher and attracted the attention of donors. The results of researchers in Medicine and Public Health are regularly integrated into national programmes to combat HIV/AIDS or malaria or the action plan of several local health infrastructures.</p>	<p>companies, low access to communication and media, poor quality of primary education system, etc.). Consequently, external dissemination and use of research is not systematic at UNILU, though some local initiatives are very valuable and remarkable in the DRC context (P1, P3, P4, R5, and R8).</p> <p>According to different internal stakeholders, some UNILU professors regularly contribute to (local and national) public debates, including interviews in the media. Innovation and new ideas developed at UNILU clearly contribute to influencing public policies, (i.e., the higher education policy program development, creation of new faculties/institutes, and implementation of BMD) (P3, R7).</p>
<p>Conclusion</p>	
<p>At individual level, research unit level or faculty level, UNILU sometimes appears as a major driver of change. However, those initiatives and role models are not mainstreamed nor institutionalized at the University level. The little availability of funding, even for experimental / small scale innovative initiatives, hinders the existing potential for improving the role of UNILU as driver of change of change.</p>	

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>	3	<u>Selected maturity level</u>	4 – (4 at a local and national level, and 3 at a regional and international level)
<u>Justification of selected maturity level - Description of the existing situation</u> The organs for the dissemination of the results obtained by UNILU researchers are the UNILU-Society Interface, the UNILU website, the UNILU		<u>Justification of selected maturity level - Description of the existing situation</u> A formally written external communication strategy does not exist at UNILU. However, UNILU actively and effectively communicates with partners and	

<p>bookshop, the UNILU university presses, scientific journals and university radio; UNILU fights to financially support its popularization organs. The central administration's investment in communication capacity is much greater at the organizational level; the Faculties take care of communication at the individual level as best they can. UNILU strives to create favourable conditions for developing partnerships with the outside world, including regional actors. The UNILU has signed and is signing partnership contracts with companies and services at the local level and has set up the UNILU-Society interface to support it in this process. UNILU staff is also used for consultancy in companies and organizations at the local, national and regional levels. Conversely, external partners support the UNILU in the creation of new channels (curriculum development and support for the implementation of programmes developed as lecturers). As an illustration, in the elaboration and execution of the course programmes, the National Order of Architects of the DR Congo supports the Faculty of Architecture; the Congolese Institute for the Conservation of Nature, but especially the German technical cooperation supports the Faculty of Agronomic Sciences in its field of renewable natural resources management; the medical practitioners supervise the finalist trainees in medicine for nearly 18 months, etc.</p>	<p>external bodies, both formally and informally (through relationships between partners and professors) (P1). Clear efforts are made to invest and use resources to develop external communication (i.e., creation of the University-Society Interface a few years ago, and the ambition of the top management to make this a key organ for the development of UNILU). However, the limited availability of operational and investment funds hinders the capacity to develop and implement a systematic and institutional strategy of communication (P2, P5).</p> <p>UNILU has a clear strategy to network and relates with many different external stakeholders. The development of its network is a key priority shared by all actors (top management, faculties, administrative staff ...). Partnership is considered to be critical for the survival and the development (in all fields and for all institutional capacities) of UNILU (P4). The staffs in charge of IUC partnership application appear very committed individually, and successfully demonstrate their ability to commit relevant internal and external stakeholders in this process.</p> <p>External stakeholders acknowledged UNILU's high capacity at the local and provincial level and good capacity at the national and international level to network and relate with relevant constituencies and partners (R6).</p>
<p>Conclusion</p>	
<p>UNILU values the importance of institutional alliances and succeeds relatively well in creating the conditions for effective network development at local and national levels. The capacity and effectiveness of networking at regional and international levels require further improvements.</p>	

3.3.2 The university has a vast network which is actively used

Findings of the self-assessment		Findings of external assessment	
<i>Selected maturity level</i>	4	<i>Selected maturity level</i>	4
<i>Justification of selected maturity level - Description of the existing situation</i>		<i>Justification of selected maturity level - Description of the existing situation</i>	

<p>The UNILU is endeavouring to organize networking activities, in particular through the Study and Research Commissions. Most academic and scientific staff members are becoming increasingly accustomed to networking. This is also a requirement in the composition of teams of members of doctoral research supervisory committees. In the new courses of study organised at the UNILU (most recently Architecture), the UNILU makes use of the experience acquired in the world of work by some external partners to support the development and implementation of course programmes. The implementation of the course programmes in the former Faculties such as the Polytechnic is also supported by external partners to a certain extent. Through the collaboration that UNILU is developing with other universities, especially those in the North, most of the academic staff has developed the ability to provide networking and communication. UNILU has extensive networks of collaboration with the Federation of Enterprises of DR Congo, the provincial coordination of NGOs, the provincial and national government (especially through methodological and technical training of its staff), alumni, other universities in the region (such as the network of universities organizing forestry training in Central Africa). UNILU and its partners are working to provide solutions to some of the socio-economic and environmental problems facing the country and the region.</p>	<p>Networking habits are clearly adopted by many academic and administrative staffs at UNILU. UNILU has a vast and diverse network: private companies, civil society, international organizations, and academic institutions. In recent years, it seems that external stakeholders are being involved in internal processes, such as the development of BMD curricula. Internally, there appears to be no specific training to improve networking capacity. Therefore, this capacity varies largely from one professor/unit to another. Even if many academic staff members have developed high level capacities in networking, the lack of partnership in some units/faculties indicates that internal capacities could be increased and improved. (P1, P2, P3, P4, R5).</p> <p>The University developed very interesting skills and practices to maximize its network and use it to develop activities, projects and service delivery (especially in the industrial sector), in particular for the health sector and natural sciences. Consequently, and according to the external actors interviewed, UNILU is to a certain extent seen by the community as a “constructive” actor. The improvement of mass communication resources and research dissemination strategies and practices would certainly further improve this perception (R6).</p>
<p>Conclusion</p>	
<p>UNILU has and actively uses a vast and diverse network: private companies, civil society, international organizations, and academic institutions. In recent years, external stakeholders are being more involved in internal processes. UNILU is to a certain extent seen by the community as a “constructive” actor. However, this is still insufficiently streamlined, in some units/faculties, the network is still weak and needs to be developed.</p>	

3.3.3 The university obtains additional project funding

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	3+ (5 for few faculties, 2 for others)
<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>Thanks to the cooperation service, UNILU has developed strategies for internationalization and mobilization of external resources, particularly through projects. The above-mentioned service supports UNILU staff in the drafting of project proposals, administrative procedures and grant management. In addition, this service ensures active and regular monitoring of externally funded projects at UNILU. The General Academic Secretariat is also regularly informed about the implementation of projects through the Research Commission. Thanks to this monitoring, the UNILU delivers the results agreed upon in the agreements, generally within the deadline. For the above-mentioned reasons, the UNILU is considered a model in the DR Congo, but also an effective partner for co-financed projects. This notoriety allows UNILU to raise external funds from a variety of partners. Admittedly, not all Faculties are involved to the same degree in this process of internationalization.</p>		<p><u>Justification of selected maturity level - Description of the existing situation</u></p> <p>UNILU has a clear strategy for internationalization, shared by all internal stakeholders interviewed. Considering the inadequate and very limited financial support from the government and the overall weak economic context, UNILU's key priority is to obtain additional resources and funding to survive and develop its capacities. Some faculties have developed their capacity to respond to this need; they obtain and implement additional projects (i.e. Faculty of Agronomy, OCU, Polytechnic Faculty, School of Public Health, and Faculty of Medicine). (P1, P3)</p> <p>But at the same time, other faculties, especially in social sciences and humanities, get very little additional funding or receive no additional funding at all. This gap highlights the fact that the capacity to network and obtain additional funding is mainly developed at individual / team level, and not sufficiently at the University level. Indeed, the University provide little support to staff members and units in the identification, the development and the implementation of project funding. UNILU has a clear strategy to reinforce the University-Society Interface in order to provide such support. But at the time of the institutional assessment, its capacity to support individuals and teams remained very limited (P2, R4).</p> <p>We did not find any evidence that the results and level of implementation of projects managed by UNILU would be low or problematic. According to stakeholders interviewed, UNILU's project management capacity is well developed and the reputation of UNILU is good among its partners. Some partners have been continuously collaborating with UNILU for a long time, which allow us to presume that they are satisfied with their partnership with UNILU. Unfortunately, UNILU has not yet responded to our request for sample project evaluation report that could confirm and provide further evidence of good project management and accountability. However, feedback by VLIR-UOS itself - based on the experience with several TEAMS & SI, as well as the QA and AA programmes implemented in collaboration with (staff of) UNILU -, also contribute to an overall positive appreciation of project management and implementation by UNILU.</p>	

Conclusion
The situation is far different from one faculty to another. As previously discussed, some few flagship faculties are able to obtain additional funding that is critical to develop tremendously their research and education capacities. The other get very little additional funding or receive no additional funding. The score (3+) given for domain 3.3 is an average score between flagship faculties (5) and other faculties and units (2).

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>	6	<u>Selected maturity level</u>	4
<u>Justification of selected maturity level - Description of the existing situation</u> <p>The text establishing and operating UNILU highlights the delegation of responsibilities, from the central administration of UNILU to the administration of the Faculties. This allows decisions to be taken and implemented in a timely manner. In addition, UNILU has an appropriate legal basis (Law on the establishment and functioning of UNILU, Organic Regulations, and Staff Regulations document) that spells out the systems, structures and processes to engage efficiently. The University Council is very effective in making timely and appropriate decisions. At the level of the DR Congo and internationally, thanks to the service of cooperation, UNILU is recognized for its leadership by other universities and institutions.</p>		<u>Justification of selected maturity level - Description of the existing situation</u> <p>UNILU has a hierarchic system that is based upon Congolese law and regulations. As the academic and administrative staff noted, academic institutions in the DRC are highly centralized. As previously mentioned (Capability 2 and 3), some decisions can only be taken at the central level (by either the Ministry of Higher Education or the National Administrative Council serving as the board of directors of all state universities). Major key decisions are made at that level. For instance, the level of student fees is determined by the Ministry. In 2018, the Ministry took the unilateral decision (influenced by the political situation in the country) to dramatically reduce annual fees by over 40%. This decision, which was taken in the middle of the academic year and in an attempt to influence the country's presidential election in favour of the ruling party, had a deeply negative impact on UNILU'S capacity to take and implement decisions at all levels (P2). Another example: in 2019, the Ministry decided to increase the number of committee members for 3rd cycle (equivalent to masters) and PhD theses from 5 to 9 members, including three academics from other Universities. UNILU has to implement this decision and cope with its financial and operational impact (i.e. how to find the additional funds for jury members; how to provide travelling costs to members from Universities outside of Lubumbashi, etc.). UNILU, unfortunately, is victim of this broader context, even if internal stakeholders tend to minimize the adverse impact of this situation on decision making power and effectiveness at the institutional level, as well as at faculty and department levels.</p>	

	<p>Even for decisions that can be taken at the University level, taking and implementing core decisions and strategic reforms remains a challenge at UNILU as little operating and investment funding is available. For example, most of faculties haven't switched yet to BMD system and there is no roadmap to pave the process of transition to this new system. (R4)</p> <p>The Rector and his cabinet appear really and readily committed; their leadership can be seen clearly and is respected among the different services. According to UNILU's stakeholders, most daily and individual decisions are taken on time through a process widely known and understood throughout the institution. Some internal and external stakeholders expressed reservation concerning the effectiveness and timeliness of some decisions (i.e.: retrocession of funds to faculties, some formal engagement when the Rector is not in town). Compared to international standards, delegation of power appears to be rather limited at UNILU; rules and regulations tend to be developed mostly at the University management level.</p>
Conclusion	
<p>Public universities in the DRC are very heavily regulated by the Ministry of Higher Education, even though the government provides extremely inadequate financial support to its academic institutions. The combination of these two factors (strong regulation and inadequate financial support) hampers, both in theory and practice, UNILU' capacity to make and implement decisions. The decision-making model in DRC higher education is clearly in need of improvement, as institutions have very little autonomy. In spite of such hampering national context, the UNILU Rector and his cabinet demonstrate commitment and leadership and a capacity at university level to make and implement decisions within the given resource limitations. However, empowerment of faculties, departments or units remains weak. When it comes to implementing new projects and programs supported by external stakeholders, UNILU has demonstrated its ability to act and commit, as the university is searching for opportunities to improve and advance teaching, research, and public service.</p>	

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>	2 (but 4 for some flagship services)
<u>Justification of selected maturity level - Description of the existing situation</u>		<u>Justification of selected maturity level - Description of the existing situation</u>	

There is a document on the status of staff of public universities in the DR Congo, issued by the supervisory ministry. At UNILU level, the recruitment process is inclusive, and the criteria are included in the document on the status of staff. The gender ratio is unbalanced on the teaching staff side, irrespective of UNILU policies, but rather due to the limited availability of female staff (except in the medical sector). In addition, women show a preference for certain fields of study (humanities, public health, hospitality and tourism). The UNILU works to motivate female staff and to prioritize them in the event of equal skills between men and women. UNILU staff is sufficiently trained, but not in all areas. As a result, the student/teacher ratio is unbalanced for the UNILU as a whole. There are mechanisms to strengthen the skills of teaching staff, notably through the University Pedagogy Days or the Doctoral School. Although the administrative staff is sufficient in number, their technical and methodological performance can still be improved. Staff mobility is governed by the Organizational Regulations and the Staff Regulations document; however, difficulties in terms of staff mobility remain, especially due to insufficient financial resources. Conflicts are avoided thanks to the Staff Regulations document which clarifies certain processes. This document is complemented by the Academic Instructions which are issued every academic year and which limit conflicts. Nevertheless, the Staff Regulations document deserves regular updates.

The external assessors recognize that UNILU has some highly qualified and capable staff for teaching, research, and administration and that UNILU has been able to implement a number of projects and initiatives (some of which have benefited from external support) and achieve noteworthy and impressive results. Human resource capacity is more adequate in some areas compared to others. The external assessors also noted the existence of some forms of professional development program that a number of staff (academic, scientific, and administrative) have attended at UNILU or elsewhere. For instance, seminars in university pedagogy, quality assurance, administrative support (e.g., library staff) have been organized periodically.

However, when considering the institution as a whole (from discussions, observations, and document reviews), it was clear to the external evaluators that human resource management is still very weak at UNILU (P2, P3, P4, P5, P6). This weakness is to a large extent due to the challenging environment in which UNILU operates, particularly the lack of government funding for public universities in the DRC and the centralization of decision making at the national level (Ministry of Higher Education) when it comes to hiring, promoting, and even terminating staff. As the external assessors learnt, the government's only financial involvement when it comes to public universities (like UNILU) consists in paying salaries for university employees (at least those employed with explicit approval of the Ministry of Higher Education). The government provides no additional financial support for teaching, research, public service or other aspects of UNILU's operations.

UNILU particularly faces several major challenges when it comes to human resources.

- (1) There is simply not enough academic and administrative staff in relation to the University's need for teaching, research, and administrative support. For instance, UNILU has 435 academic staff holding a doctoral degree for around 22,000 students. In its concept note, UNILU itself identified the "urgent need to triple or even quadruple the number of academic staff" and indicated that the "the shortage of UNILU professors means that there is a shortage of scientific staff capable of proposing technical innovations and scientific leadership".
- (2) The existing personnel (academic, scientific, and administrative) include a substantial proportion that is either past or nearing retirement ages. Thus, one recurring theme in discussions with internal stakeholders was the urgent need to replace or train (and hire) people who will replace

aging academic and administrative staff. This situation is exacerbated by the fact that UNILU cannot simply ask or push aging staff to retire because staff in public institutions (including universities) are public servants. In the country there is no functional social security system; academic or administrative staff who retire are cut off from their livelihood as the government does not pay any retirement benefits. The assessors heard, for instance, of a non-negligible number of staff beyond normal retirement age in administrative support services still being UNILU staff, even though they can no longer contribute to the institution (or perform their job functions). As a senior staff member noted, this situation constitutes a significant barrier to the modernization of UNILU's operational system. Nevertheless, the assessors also noted some effort by UNILU to alleviate this situation: in some case UNILU is able to hire people who can take over the functions and responsibilities of aging support staff who are no longer able to perform their duties.

- (3) UNILU, like other public universities in the DRC, has a very poor incentive system due to a poor government funding system. Salaries for academic and administrative staff are very low and highly inadequate (e.g. the wage difference between professeur ordinaire and professeur associé is important, as per the regulations). Consequently, many academic staff (especially doctoral degree holders) have to teach at other institutions or work in some other capacity (outside UNILU) to make ends meet. This situation constitutes a major challenge, and it was pointed out that a significant number of staff is not really motivated to remain highly engaged in the life and operations of UNILU. It also constitutes a very big challenge to human resource management, as it deprives the University of the resources to attract and retain motivated and skilled staff (R9). Nevertheless, the assessors noted a remarkable sense of conscientiousness and desire to serve, among many UNILU staff (academic, scientific, and administrative) in spite of the challenging context in which they work. This was particularly observed in the significant capacity for mobilization when opportunities emerge to launch new initiatives (particularly those supported by external partners).

With respect to the hiring process (P1), UNILU relies on a governmental regulation (promulgated in 1981) that applies to all public postsecondary education institutions. This regulation clearly states that recruitment must occur without discrimination (Article 5). However, the assessors heard differing views on whether recruitment processes are entirely free of discriminatory practices against certain groups (e.g., women and people from certain tribes/regions). For instance, there is a

significant gender imbalance (R8): female account for only 25% of all University staff; only 14% of academic staff and only 6% of doctoral degree holders. While this may not be necessarily a case of discrimination (considering the huge gender imbalance at all levels of education nationwide), it is an area that needs close attention by UNILU. One strategy that UNILU could use is to audit/review its recruitment practices and processes, issue clear institutional-level guidelines on recruitment (if such guidelines do not exist) and develop clear strategies for narrowing the gender gap. The fact that final decisions related to the hiring, retention, and termination of UNILU employees rest with the Ministry of Higher Education constitutes a serious obstacle to effective human resource management.

Finally, UNULU also has a promotion system (P6), with recommendation for promotion starting at the departmental level and forwarded first at the faculty level and then at the central level. However, as is the case with hiring and termination, final promotion decisions are made at the ministry level. It was not evident whether the University has a systematic staff performance review system. But it appears that there is some form of rudimentary performance review of academic staff by the Vice Dean for teaching. It is unclear whether this review is comprehensive at this stage. It was also brought to the attention of the assessors that UNILU has a mechanism for conflict resolution and complaint management (P7). This is another aspect that might need to be codified or made more explicit. As noted elsewhere, however, UNILU is in the process of rethinking or at least codifying some of procedures and practices.

Conclusion

This domain is an area where there was a significant disparity between the self-assessment team and the external evaluation team and also one that was the subject of significant discussions. Considering the institution as a whole, the external evaluators conclude that human resource management is still very weak at UNILU, due to 3 main factors. There is not enough academic and administrative staff in relation to the University's need for teaching, research, and administrative support. The existing personnel include a substantial proportion that is either past or nearing retirement ages. UNILU has a very poor incentive system. This weakness is to a large extent due to the challenging environment, particularly the lack of government funding for and the centralization of decision making at the national level. Notwithstanding such huge overall challenges, UNILU has some highly qualified and capable staff for teaching, research, and administration and is able to implement a number of flagship projects and initiatives.

3.4.3 The university has an adequate infrastructure

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	2
<u>Justification of selected maturity level - Description of the existing situation</u>		<u>Justification of selected maturity level - Description of the existing situation</u>	
<p>The Congolese state allocates little funding for the operating costs of public universities. Consequently, UNILU does not have sufficient funds allocated to research. Moreover, at the faculty level, some tests / manipulations are carried out thanks to certain projects / partnerships with certain donors, especially international support. There is a computer resources department which is supported in its operation by external partners. This service has set up a computer system that gives access to the Internet to teaching staff, students and administrative staff. Student registration is done online, including the academic management of staff and the deliberation of student exams; the website is regularly updated. The distance learning system is being planned with the support of the Agence Universitaire de la Francophonie. For the success of this project, UNILU is in great need of licensed software. For its internet connection, the UNILU uses a satellite network which seems to be expensive financially. For this reason, it is counting on the national project to implement fibre optics throughout the country. However, for its intranet within the University, UNILU has laid optical fibre to connect the central administration to the</p>		<p>There is no availability of flexible research funds at UNILU, particularly since the university does not receive any research funding from the government. However, professors sometimes obtain such research funds from cooperation partner(P1). Though, even in such cases flexibility is limited since cooperation partners also tend to determine areas of research priority of most interest to them.</p> <p>Access to internet and good IT infrastructure is a major and continuous challenge in the DRC. The IT service and infrastructures at UNILU has been tremendously improved over the last decade. According to internal stakeholders, it became a reference in DRC and in the region/internationally (Burundi, Rwanda, Haiti). We learnt and noticed that some of UNILU's key processes are now computerized (enrolment, student files in some faculties, grades, etc.), and UNILU has an IT roadmap to expand its capacity. Access to internet for all (academic staff, administrative staff, and students) is still challenging, but UNILU is working on improving the system. The IT department has made some noteworthy progress. For instance, they have designed an in-house data management system that has been adopted by at least one other public university in the country, and they are working on improving this system. However, the department still faces a scarcity of resources (financial and technical), while there is strong need and potential for dramatically expanding the IT infrastructure. Some faculties are using UNILU student emails for communicating and for managing administrative processes (R2).Unfortunately, we learnt that not all students have an email address (at least not on file), which constitutes a major challenge to communication (though this is alleviated by alternative communication channels, particularly postings on bulletin boards at departmental, faculty and institutional level).</p> <p>Access to state-of-the-art documentation and data management tools is still very limited: UNILU does not have subscriptions to international academic journals, which is now the main vector through which academic knowledge is shared. We were informed that the university had access to a</p>	

central campus. The infrastructure for teaching exists, but still needs to be improved in terms of enrolment capacity. Some laboratories are able to carry out advanced research, but are still handicapped by the low renewal of equipment and the irregular retraining of laboratory workers.

complementary library database of journals (the access to which was granted by an external organization); unfortunately, this resource is no longer available.

Libraries are not, despite valuable efforts, a key spot for students in which they could spend the major part of their time dedicated to academic work, like in other universities. Buildings are old and they have extremely limited capacity; libraries close early; documentary resources are still limited, and many are largely outdated. Cooperation programs allowed for the renewal of some of the library resources while certain limitations still prevail, as documentary resources provided through cooperation only include those published in Europe but not books published in the DRC. Those programs also prioritize handbooks rather than specific/research fields. We did not collect any information on facilitated access to data collection and analysis software or similar tools provided by the University (R3). However, it would appear that there are no (or least only extremely limited access to) data collection and analysis software. Well-equipped labs and research centers might be perhaps an exception (however, we do not have actual evidence on the availability of such software resources).

According to professors, students and administrative staffs, the availability of suitable infrastructures for classes and practical training is very limited. In faculties with a lot of students (Law, Economics, Medicine, and Social sciences), classrooms and auditorium are too small and often very old and poorly equipped. The University also lacks practical learning classrooms and labs, even if some significant improvements have been made in the past decade (i.e.: Faculty of Medicine, School of Public Health, Polytechnic Faculty, Faculty of Agronomy). This shortage might become even more problematic when all faculties shift to the BMD system that requires a diversification of specialties and more practical learning. The access to competitive lab material is a recurring challenge at UNILU, mainly due to cost and logistic issues (R4, R5, and R6).

Conclusion

Infrastructure is one of the top weaknesses and challenges at UNILU. The general infrastructures (classrooms, labs, administrative offices) are very old and not adapted. Libraries are old and not adapted to modern international standards. IT infrastructures and internet network access are improving since a couple of years, but huge efforts should be done to reach international standards. As many actors told us: *“UNILU has been built for 3.000 students... Now how many are they? More than 25.000, and the infrastructures are the same!”*

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 (Availability of funding: 1 to 2 Management of funding: 3 to 4)
<u>Justification of selected maturity level - Description of the existing situation</u> UNILU has the financial resources that come from school fees. The state supports the university through the payment of staff salaries. These financial resources, which are otherwise limited, are well managed both at the central administration and faculty levels. Audits exist and provide for the financial control of the Faculties by the central administration and the central administration by experts from the central government. UNILU is externally appreciated in the financial management of projects financed by external partners. The financial management at the UNILU level is in line with the requirements of the organic regulations, but above all the academic instructions, which set the amounts of academic fees, related costs and their allocation. The management of production units and bank accounts is also in conformity with the requirements of the academic instructions.		<u>Justification of selected maturity level - Description of the existing situation</u> The availability of financial resources at all levels is a major issue for all Universities in DRC, including UNILU. As previously mentioned, most of public funding and funds from student fees are used for salaries and basic operational costs. The availability of funds for investments, research, implementing reforms and policies is dramatically low. This situation jeopardizes the development of the University and the mainstreaming of high quality/promising initiatives and projects (R2). During the institutional assessment, we learnt that the university is financially compliant to legal regulation and is appreciated for its management of external funding. The assessors noticed that UNILU has progressively managed its financial resources through bank accounts (students fees were previously managed with cash) and by increasing efficiency and transparency. In general, no complaints have been reported (at least not in public discussions). But It would have been useful to have access to evaluation reports of projects managed at UNILU to rigorously assess this area (R3 & R4). It appears that the university has a compliant financial management system that abides by laws and regulations (P1). The Ministry assesses the financial management periodically. The presence of external bodies in the University Council or other body in charge of finance controlling would improve the check and balances at UNILU (P1).	

Conclusion
In summary, the availability of financial resources is extremely inadequate at UNILU. Other than covering employee salaries (which are also inadequate and with important differences between professeur ordinaire and professeur associé), the government of the DRC provides no additional funding. This situation presents a serious limitation to UNILU to carry out its teaching, research, and public service functions. However, actual management of existing scarce resources appear to be acceptable or good. Thus, the score given (3) is an average between availability of funding (1 to 2) and management of funding (3 to 4).

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	
<u>Selected maturity level</u>	5	<u>Selected maturity level</u>	3
<u>Justification of selected maturity level - Description of the existing situation</u>		<u>Justification of selected maturity level - Description of the existing situation</u>	
<p>UNILU has an efficient administrative system, but one that requires capacity building of its staff. UNILU's administrative structures and processes are clearly defined in the law establishing and operating the UNILU, in its organic regulations and in its academic instructions. These documents provide for the department empowered to carry out procurement and logistics. Management at the UNILU is decentralized: there are purchases that are made at the faculty level and at the central administration level. The structures / bodies of the faculties (departments, laboratories...) and of the central administration (central library, IT service...) deposit their statements of need with the respective financial services. If financial resources are available, the purchasing and/or logistics department is called upon. Although the administration and management of UNILU is considered to be efficient at the country level, it cannot be considered as a model because the regulations are unique for all public universities in the DR Congo. Nevertheless, the UNILU is</p>		<p>The university has effective administrative systems, structures and processes. The processes appear to be well known by all different actors. As in other areas, the centralization of the administration is high. All academic and financial reports from faculties, units and departments (weekly, monthly, biyearly, yearly) are sent and finally approved at the University administration level. It would certainly gain in efficiency with more effective decentralization and computerization of some processes (i.e. weekly academic calendar of all faculties and departments). Some delays the allocation of funds managed by the central administration were reported (P1, R3).</p> <p>It seems that procurement and logistics are organized for external projects on a case to case basis. All external partners have their own rules and regulation, and UNILU does not have general processes for procurement and logistics, though some formalized processes exist in some services (i.e. procurement process for the I.T. service). (P2, R4).</p>	

making great efforts in terms of compliance/enforcement of these regulations. The UNILU has even set up the use of a specialized software for administrative management (the GP7 software realized thanks to the Universitic competition).	
Conclusion	
In general, this domain appears to be still weak and in need of improvement. Its weakness reflects the broader context in which the university operates, a context that is characterizes by a scarcity of sources and lack empowerment combining decentralization and accountability.	

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	
<i>Selected maturity level</i>	4	<i>Selected maturity level</i>	3 +
<i>Justification of selected maturity level - Description of the existing situation</i>		<i>Justification of selected maturity level - Description of the existing situation</i>	
<p>UNILU has the systems, structures (faculties, laboratories, research units) and effective mechanisms for the monitoring and optimal management of projects. It also has quality standards and expectations for service delivery, which it communicates to third parties. UNILU makes rational use of resources in order to maximize the delivery of its services and results. The services provided by UNILU to third parties are of high quality and fairly valued. Thanks to its reputation in this area, UNILU was entrusted with the management of a project on pharmaceutical issues, in particular because the partner university of this project, initially located in Kinshasa, did not manage it well.</p>		<p>Project management occurs on a case by case basis. Each external partner appears to have its rules and regulation. UNILU abides by these rules and regulations but does not seem to have its own institutional processes for project management. There is not a formalized set of quality standards developed at UNILU, even if several project managers seem to be aware and master quality project management. In the future, the University – Society Interface aims to harmonize and supervise these processes. But the implementation of this supervision largely depends on the future internal development of the Interface. It is, however, questionable whether and when the Interface will reach its full maturity level due to the little available internal funding (P1, P2, P3).</p> <p>The efficient management of project and maximization of existing resources seems to be a valuable asset at UNILU. Many initiatives have been set up through projects and external funding and have become sustainable (among others: labs, lab materials, internal services, museums, Academic English Center). Multiple UNILU managers and professors have acquired significant skills and good practices in the maximization of external funding for the benefit of the University. However, some external services delivered by UNILU professors are still managed individually or apart from the</p>	

	University (i.e. consultancy services in social sciences), which is a shortfall for the University. A successful development and expansion of the University – Society Interface would certainly allow tackling and addressing such challenges (R4, R5).
Conclusion	
Project management occurs on a case by case basis. Each external partner appears to have its rules and regulation. There is not a formalized set of quality standards developed at UNILU, even if project managers involved seem to be aware and master quality project management. The assessors choose a score of “3 +” because they acknowledged that the commitment and capacity to maximize resources and use them efficiently is high at UNILU. There is potential to build on existing strengths (of a limited number of projects) to ensure good project management and quality implementation of new projects and partnerships.	

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>	4 <i>(except for limited change management capacity of faculties – while this is required to cope with the LMD reform)</i>
<u>Justification of selected maturity level - Description of the existing situation</u> At UNILU, decisions are taken at the level of the University Council, which makes the administration more flexible and allows it to adapt and cope with the changing context. In this exercise, UNILU was the first university in the DR Congo to open extensions across the country to adapt to the mobility problems of students scattered across the country to Lubumbashi. Most of		<u>Justification of selected maturity level - Description of the existing situation</u> UNILU management appears to have some understanding of shifting contexts and has demonstrated some experience in adapting to changing environments (P1, P2). The assessors observed several examples illustrating this capability. For instance, at a time when demand for access to higher education had increased dramatically in the DRC, UNILU was the first academic institution in the country to create branch campuses in different parts of the country. These branch campuses played a significant role in helping address escalating demand for higher education. By now, most of these branch campuses have become full-fledged universities (recognized by the Ministry of	

these extensions have become autonomous universities. UNILU accepted in 2004 the challenge of implementing the new national curriculum, while resistance was observed in other universities. From 2012, UNILU was the first university in DR Congo to test the BMD system (Faculties of Polytechnics, Agronomy, Sciences; School of Criminology and School of Industrial Engineering). The regular organization of meetings of the university council, the management committee, but also the studies or research commission, allow UNILU to face the changing context or to anticipate certain actions to adapt to the possible changes foreseen. As an illustration, during the past two academic years (2017-2018 and 2018-2019), the UNILU budget was revised downwards in the middle of the year following the measure of the supervising ministry (Higher Education and University) aimed at reducing the rate of academic fees by 43% compared to previous years, by using the CDF-USD exchange rate. As a result, the financing of research by internal resources has been significantly affected (i.e. purchase of laboratory consumables); however, thanks to the University Council, it was decided that active mutualization and collaboration between research centers and laboratories was necessary to deal with this situation. Also, UNILU has opened the School of Criminology and the School of Hotel Management and Tourism to adapt to the changing context of its socio-ecological environment.

Higher Education). UNILU has also been the first DRC university to implement the BMD program. Several schools have already implemented this program. However, other schools have not yet embarked on this journey and there seems to be resistance at least from some schools and constituencies, which suggest that there is room for management to improve its effectiveness and facilitate adaptation to this new system (P1, P2, and P3). Still, the external assessment acknowledges that the national set of rules, required for Universities to fully implement BMD system, has not been issued yet. UNILU has also opened several new fields of study.

Another example is that of the national curriculum, with UNILU being the first institution in the DRC to implement it in 2004. However, it is worth noting that this national curriculum, which was mandated for all public universities, also appears to have numerous problems. One of the greatest problems is that it is limited to a long list of courses students from different fields are required to take; while it provides no profile (in terms of competencies, skills, and outcomes) of the type of graduate that institutions aim to produce and put on the job market. Thus, there appears to be no clear understanding (in DRC public universities in general) of shifting contexts in the job market, such as the need for universities to produce graduates who are entrepreneurial and able to innovate and create new business and jobs. One of the shifting trends in global higher education has been an increased focus on the quality education (as opposed to simply emphasizing access). Discussions with student representatives, academic staff, administrative staff, and external partners suggest that there is still much improvement needed on this aspect.

The assessors observed that UNILU has indeed been a resilient institution (perhaps even the most resilient academic institution in the DRC). The University operates within an environment that is characterized by scarcity of resources (particularly financial resources). And because it is highly regulated by the Ministry of Higher Education, it is not uncommon for the University to face unforeseen challenges. For instance, in the past two years, the Ministry of Education abruptly and substantially reduced tuition fees (on which public university depend for their operation, as they receive no operational budget from the government). This situation was a major setback. The finance division indicated that scenario analyses were conducted to mitigate the negative impact of this reduction and the University was able to survive this crisis (P4). Nevertheless, it appears that there is room for improvement here. Instead of operating in a reactive mode, UNILU might be more proactive

	by conducting comprehensive risk analyses ahead of time and putting into place mechanisms and strategies for dealing with different risks.
Conclusion	
UNILU demonstrated some understanding of shifting contexts and experience adapting to and facilitating change. UNILU has made some good progress in this respect; however, there is still room for improvement (R4). The question is whether this understanding or experience is institutionalized or limited to several individuals, units, or areas.	

3.5.2 The university is continuously adapting and renewing

Findings of the self-assessment		Findings of external assessment	
<u>Selected maturity level</u>	4	<u>Selected maturity level</u>	3
<u>Justification of selected maturity level - Description of the existing situation</u> At the UNILU, there is a unique level of decision-making. UNILU's semi-annual and annual reports, as well as the minutes of the meetings of the Management Committee, the University Council and various commissions are regularly discussed and shared, which allows UNILU to be in a constant process of improvement. There are some laboratories that allow UNILU to carry out innovative and creative research, which are integrated into the national / provincial programmes or some companies' programmes. There are training/re-training programmes for administrative and teaching staff, but their content and process still need to be improved. The results obtained by UNILU researchers and shared via the UNILU website are regularly integrated into the course contents in order to further exemplify them on the one hand. On the other hand, they		<u>Justification of selected maturity level - Description of the existing situation</u> UNILU has demonstrated some capacity for adaptation and renewal. And as one external stakeholder interviewed noted, the University genuinely wishes to improve and adapt. However, it is clear from discussions and observations that this capacity is still weak and requires major improvements. The greatest constraints are perhaps the scarcity of resources (particularly financial) and a lack of strong drive and motivation for continuous adaptation and renewal. It is true that some worthy efforts have taken place, such as the implementation (by some faculties) of the BMD system, the implementation of a quality assurance office and innovative academic/development programs and initiatives (i.e. self, student and peer course evaluations, UniversiTIC, <i>anglais académique</i> blended learning processes), the acquisition of new laboratories and research equipment, the implementation of new academic programs, the creation of a new office to support doctoral education, and the implementation of staff (academic and administrative) training programs. These are positive developments that show willingness to improve and do better. However, the strong hierarchical system (that characterizes DRC public universities in general) presents constraints to change and innovation (P1). For instance, decision-making remains very limited at lower levels and tends to be concentrated at top levels (central administration or and national	

make it possible to respond to external research requests (for example, action research carried out by the School of Public Health for the benefit of health centers in the provinces; action research carried out by the Faculty of Pharmaceutical Sciences for the benefit of traditional doctors; action research carried out by the Faculty of Agronomic Sciences for the benefit of large and small farmers, etc.). From this perspective, UNILU is balancing stability with innovation and renewal.

level). Stakeholders expressed differing views on this aspect: for some this hierarchical system does not really inhibit decision making and adaptation to change. For others, however, it is a significant inhibitor. The reality is that the current, strongly hierarchical, system inherently hampers UNILU's (and its faculties' and schools') capacity to innovate and adapt to change.

The process of continuous adaptation and renewal requires a good feedback system and the capacity for self-assessment and self-reflection. It was positive to notice that UNILU has already created (with support from VLIR) a Quality Assurance office at university level. So far, this office has produced one major institutional self-evaluation report (2015-2016) and is currently in the process of producing an auto-evaluation report that focuses on four faculties (Medicine, Veterinary Medicine, Public Health, and Criminology). Unfortunately, it appears that the institutional auto-evaluation report was not widely disseminated, nor did it lead to concrete follow-up actions (P2). It was indicated that faculty-level auto-evaluation (a report of which is being produced on four faculties) aims to address these shortcomings. Another challenge related to this aspect is that different people seem to have different conceptions regarding the value of self-evaluation: some seem to think it is valuable process that is essential for continuous improvement, whereas others seem to think it is a futile exercise. Greater synergy between the quality assurance office and faculties and departments and stronger leadership support are needed to promote and foster a quality culture; ensuring also that lessons learnt from quality assurance exercises are effectively used.

Another feedback system, which UNILU is experimenting, is student evaluation of instructors. At least one faculty is experimenting on a set of courses. However, there are significant challenges related to implementing this feedback system university-wide or even faculty-wide, including strong resistance from some academic staff and logistic difficulties on how to actually implement such a system. In most faculties, student feedback is rather indirect: students can bring issues to the attention of their student representative, who in turn can contact the instructor, the faculty, or the school. We heard in discussion with UNILU stakeholders that private universities in Lubumbashi have already embraced student evaluation. UNILU, which is a key player in Congolese higher education, however, is lagging behind in this aspect. In sum the feedback system appears to be still weak and largely non-systematic (P2). However, there are positive developments that may help strengthen it, namely, the implementation of an institutional quality assurance office, the creation of a national

quality assurance agency (to be responsible for accrediting academic institutions), and UNILU's plan to pursue regional and perhaps international accreditation (at least in some fields).

The ability for continuous adaptation and renewal also depends to a large extent on having an incentive system that fosters innovation and creativity. The resource-scarce environment in which UNILU operates (with no operational or research funding from the government), coupled with strong control by the ministry of higher education, appears to provide very little incentive for innovation and creativity (P3). However, as noted earlier, some worthy efforts have been made against all odds. Likewise, although some staff training programs have been implemented (largely or perhaps even exclusively with support from external partners); existing resources and systems for continuous professional development are largely insufficient (P4).

There was a debate on the extent to which UNILU is incorporating new research findings into its curricular and courses and whether the university has a system in place to handle external research requests. Different views were expressed with respect to integration of new research into curricular and courses. Evidence seems to suggest that this area is insufficiently addressed and that there is much room for improvement (P5). It is true that UNILU has several outstanding researchers and professors. However, there are some indications that integration of new research findings into curricular remains an issue for many instructors. Students and some academic and administrative staff recognized this issue. One can expect the very high teaching load for academic staff at different ranks, limited technology and internet access, the fact that many teaching staff juggle multiple responsibilities (including teaching at other institutions), a weak incentive system (inadequate salaries) to pose a serious obstacle to academic staff members' ability to find adequate time and access resources that would allow them to keep curricula and courses updated. The fact that libraries do not allow readers (including academic staff) to borrow books and other resources (due to abuse) and that they are not open for extended period of time (evening/night), also mean that lectures must find time to read in the library. Some discussion participants acknowledged that some professors do not read sufficiently.

With respect to external research requests, the assessors observed that UNILU has been able to handle such requests and that a number of research projects have been implemented in response

	<p>to external requests (P6). The fact that the University has now created the University—Society Interface office to facilitate this process is a positive development.</p> <p>It is not clear to what extent and how well UNILU is balancing stability with innovation and renewal (R7), as the assessment was not able to dive deep into this issue.</p>
Conclusion	
<p>UNILU has demonstrated some capacity for adaptation and renewal. However, this capacity is still weak and requires major improvements and further mainstreaming across the faculties and departments. The greatest constraints are the scarcity of resources (particularly financial) and a lack of strong drive and motivation for continuous adaptation and renewal. Some worthy efforts have taken place (initial progress in the shift to BMD system, set up of a quality assurance office, improvement of new academic programs, etc...). The reality is that innovation and renewal are needed much more than stability, if DRC higher education is to be transformed drastically and respond to modern challenges. It is also clear that, in spite of the constraining environment in which it operates, UNILU is making some effort to innovate and renew itself. As noted earlier, lack of sufficient resources is a major challenge.</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>	5	<u>Selected maturity level</u>	3
<u>Justification of selected maturity level - Description of the existing situation</u> <p>The UNILU has an active management knowledge system, which constantly takes into account past mistakes and successes. This is favoured by the limited number of levels in its hierarchy (central administration and Faculty). Academic reports, at the end of each semester and academic year, provide an opportunity to review the major achievements of the UNILU, but also the major challenges it has faced. These reports allow for continuous improvements in the</p>		<u>Justification of selected maturity level - Description of the existing situation</u> <p>The university has some form of a knowledge management system; however, this is still a weak area that requires major improvement (P1 & P2). It was encouraging to see that the IT department at the central administration level has developed a database with different types of information (e.g., basic student information collected at the point of admission, courses taken by the student and grades earned, etc.). Some basic analytical and reporting applications have been incorporated into the system. IT staff can generate basic reports, and the system can also generate transcripts. However, it appears that for political reasons, faculties (or at least most of them) are not relying on the system for deliberation (deciding whether the student fails, passes with a “satisfaction” grade, or passes with distinction) or for transcript processing. The issuance of student transcripts is a source of funding for</p>	

<p>following academic years; they are discussed and published on the UNILU website and shared with stakeholders.</p>	<p>UNILU faculties. Therefore, individual schools would rather process transcripts at the local level (which involves a lot of manual work) than defer this to the central administration. The IT system is promising; by it is still also very limited (by modern standards). Financial and technical resources as well as strong leadership commitment (especially to overcome political issues) are needed to expand and make it more efficient.</p> <p>The assessors observed that a number of reports are routinely produced at UNILU (e.g., school-level reports submitted weekly to the Secretary General for Academic Affairs or the “Academic Report” produced at the end of every year by the Secretary General for Academic Affairs). In general, however, these reports are limited to a compilation of specific statistics and identification of events and achievements. The sample of routine reports examined did not include identification of or reflection on challenges and issues, their underlying causes, and a roadmap for addressing these issues. As noted elsewhere, the first systematic institutional auto-evaluation report (which documented challenges) was produced in 2015-2016, but was not really disseminated or discussed widely (P2 & R5). One area of improvement is to disseminate and discuss (more widely) knowledge gained from self-evaluation exercises and develop concrete action plans to act upon that knowledge. Four faculties recently underwent self-evaluation, and one of the findings from the SWOT analysis is that there is no regular and systematic evaluation of teaching and programs. A couple of other assessment efforts were identified, including a study on the application of the code of good conduct and a questionnaire being developed to assess library users’ experiences and perceptions. In general, however, the capacity to generate knowledge and insights for data-driven decision making at the institutional, school or program level is still weak (R4).</p> <p>The assessors did not find evidence that UNILU has a highly functional repository or system for documenting, storing, and disseminating information (P3). Several officials indicated that there is a great need and urgency to digitize UNILU archives and documents (particularly given the huge constraints when it comes to physical space). UNILU however, does have several publication outlets (including academic journals) and regularly organizes research seminars and scientific conferences (P3). It was reported, for instance, that each faculty or school organizes a faculty-level scientific/research forum every year. UNILU has a main library as well as faculty libraries. An electronic catalogue has been created and made available online. However, the library is also in need of further digitalization. The</p>
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university website has been greatly improved and is also used for knowledge management. However, it appears that stakeholders tended to overestimate how much research and other forms of information/knowledge are actually made available on the website. Lastly, the University has a radio station that it uses as a channel for disseminating knowledge (to some extent) with internal and external stakeholders. In general, however, limited resources prevent UNILU from expanding radio capacity and coverage.

Finally, we observe that some documents and data asked by external assessors to UNILU have not been shared, illustrating the room for improvement in data and knowledge sharing and management processes.

Conclusion

Apparently UNILU overestimates the comprehensiveness and effectiveness of its knowledge management system (as one can judge from the self-evaluation score and comments). The university has some form of knowledge management system; however, this is still a weak area that requires major improvement. Most of the data gathered and compiled are not used yet to question practices and routine of processes; while a feedback culture still needs to be developed.

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

Expected characteristics	Observations
4.1 Institutional characteristics	
Track record or potential of playing a role as driver for change in its surrounding environment, national sub-region and country.	<p>UNILU is already playing a significant role as driver of change and development at local, provincial and national levels.</p> <p>The assessors consider that UNILU has a high potential of playing a key role as driver of change and development at local, provincial, national and sub-regional levels.</p> <p>However, DRC's political, economic and social context will not improve quickly in the near future and will therefore remain an important barrier to UNILU's capacity of adapt, innovate and change.</p>
Partner institutions are expected to pursue an active policy of cultural, ethnic, social and philosophical non-discrimination.	<p>Non-discrimination policies and their implementation at UNILU still appear to be weak and in need of improvement. At the national level, the law that regulates higher education institutions clearly states that discrimination is unacceptable. However, UNILU itself does not yet appear to have a written strategy on this issue or a specific and widely available mechanism for handling and resolving complaints. Nonetheless, it appears that many UNILU stakeholders are aware of the importance of non-discrimination in their daily practices. Improving cultural and social inclusion is at the core of several cooperation/research projects.</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>South – South networking of UNILU is developed in Central Africa (and to a lesser extend with partners in West Africa), mainly through academic cooperation programs (primarily with ARES and AUF).</p> <p>The network with southern Africa exists, but the limited funding does not allow a pro-active strategy in regional networking and cooperation. With a proper incentive and support, it is clear that UNILU can expand its south-south networking capacity.</p>
<p>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 (salaries or other recurrent costs), and (c) basic institutional functioning.</i></p>	

Expected characteristics	Observations
<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>The different levels of management at UNILU are clear and functioning. We assume that UNILU has some capacity to plan and manage, as the institution has experience with and is used to managing many cooperation programs. However, assessors consider that the practice to develop, plan and implement strategies with coherence (between finance and operations) and transparency at the University is still limited. This would be a point of attention.</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>In certain fields, there is a sufficient exposure to research, well trained human resources and a strong dynamism. In those fields, own funding is still limited, but access to external funds allowed developing promising research infrastructures, materials and practices.</p>
<p>A readiness to engage in a process of change management.</p>	<p>UNILU is already engaged in different processes of change at an operational/faculty level: i.e. IT services, quality assurance unit, University Society Interface, doctoral school, etc.</p> <p>Most stakeholders are aware that UNILU should change its practices, develop its capacity, and be competitive at regional and global levels.</p> <p>It appears that the willingness to change management at the central university level remains questionable: centralization is still highly prominent; while some key decisions are taken unilaterally at the Ministry level. The high scores of the self-assessment regarding central management confirm our reservations.</p>
<p>An IUC partner university is expected to have or work on a gender policy, as well as an integrity policy.</p>	<p>UNILU does not have a written gender policy, but managers are fully aware of the importance of this aspect and of the current situation at UNILU. Some good practices are implemented in some services. The assessors assume that a general gender policy could be developed and implemented in a timely manner, even if the gender ratio at top levels will remain unbalanced in the near future.</p> <p>An integrity policy has been developed and is being implemented at faculty level. The enforcing of decisions is still to be improved.</p>

Expected characteristics	Observations
<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>UNILU is fully aware that the IUC language is English. The capacity to use of English is still thinly spread. French is the official language in DRC and also the language used in academic environments. However, efforts are being made to improve the use of English at UNILU. For instance, some academic and administrative staff have at least a working knowledge of English and some are also taking English language classes at the Academic English Center. It shall be noted that many stakeholders consider the use of English for the IUC partnership as an opportunity and not an obstacle. Some professors and researchers already publish and teach in English. The assessors consider that UNILU will be able to manage a program like IUC in English, and will also improve its capacity in this area progressively</p>
<p>4.3 Institutional characteristics</p> <p><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>	
<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 assessors consider that the IUC could have a very important impact and contribute to a big push forward for UNILU. As previously said, most of internal funding is dedicated to salaries and basic operational costs. Additional funding is obtained through external projects. An institutional support would be a great added value and may allow UNILU to tackle key institutional weaknesses.</p> <p>Given the high number of external partners with whom UNILU is engaged, an IUC partnership would not create a single donor-dependency at UNILU.</p>
<p>4.4 History of cooperation</p>	
<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 are existing links between UNILU and Flemish universities: some professors did their PhD in Flemish universities; while the University of Ghent and the University of Hasselt have implemented projects at UNILU. The academic English unit is supported by VLIR-UOS. UNILU therefore has the cooperation and partnership background upon which it can build.</p>

Expected characteristics	Observations
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>UNILU is a "complete" University, with a large range of faculties and schools in hard sciences, natural sciences, social sciences, and humanities. Moreover, UNILU has developed some interesting specialities in DRC (i.e. poly-technology, tourism, etc.).</p> <p>Multi-disciplinarily research and education are still at their infancy, but many efforts are being made. UNILU could rely upon well trained professors and research units that are skilled and ready for engaging in larger-scale multi disciplinarily research.</p> <p>However, the involvement of some faculties that are not familiar with networking and external project management could be challenging in the implementation of IUC supported initiatives.</p>

Conclusion on the match with the IUC-concept

UNILU faces many external and internal challenges, such as the lack of public funding, the overall economic situation in DRC, the extensive role of the National Ministry level or the important gap between flagship faculties and the others.

However, the external assessors believe that UNILU's current situation matches well with the IUC partnership concept. The following factors justify such a conclusion:

- UNILU is a major driver of change and a key development partner at a local and national level. It is also a top University in DRC and in the region. It would be a great asset for the IUC programme, in terms of (potential) impact on development and knowledge production and dissemination, to include UNILU in the programme.
- UNILU has a great potential for improvement in many fields, as well as highly motivated human resources. But the current low levels of funding strongly limit UNILU's capacity to leverage such potential. Benefiting from IUC support could be a unique opportunity for UNILU and result in a big push forward. VLIR UOS would be one of the major UNILU partners, and thus IUC would be a substantial and influential cooperation program for UNILU.
- While VLIR-UOS should be aware of the risk of creating a "dependency" of UNILU to the IUC program, the assessors consider that this risk could be mitigated, as UNILU already benefited from large scale institutional supports from other donors. This included two successive institutional programs from CUD, then ARES (targeting among others I.T. services institutional support, documentation and libraries, set up of a doctoral school and research capacities. AUF also supported UNILU since a decade, including the setup of a numeric campus, support of development-academic joint initiatives, and vocational training of academic staffs.
- UNILU has demonstrated its capacity to manage funds and external programmes.

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?

In its initial concept note, UNILU has proposed the following programme: "Challenges and opportunities for a sustainable socio-ecology of in the Katangese Copperbelt Area". Different area of change has been highlighted:

1. Environment, climate change, urbanization and health

- Improving depollution, sanitation and urbanization efficiency;
- Promoting biodiversity conservation (Innovative techniques for compensating biodiversity and ecosystem services losses in mining ecosystem and promoting biodiversity return to rehabilitated sites following mining) of the KCA;
- Improving population health by reducing people's exposure to the toxic effects of trace metals and food safety and providing appropriate health care;
- Assessing the extent and consequences of mining activities in addition to climate change on KCA's ecosystems, through their dynamics, biodiversity and the potential for the delivery of ecosystem goods and services.

2. Governance and security

- Improving the effectiveness and efficiency of legal texts in order to reduce the uncontrolled exploitation of resources, the internalization of the rules of good governance; overcome local populations' ignorance of social and environmental responsibility and corporate human rights;
- Ameliorating relations between the populations living along the mine site and the operators.

3. Entrepreneurship

- Favouring the emergence of entrepreneurship, particularly for women;
- Investing in the development of strategies for the environmentally friendly treatment of mining raw materials;
- Establishing a network between Enterprises and UNILU.

4. Agro-pastoral and vocational training

- Increasing the income of the inhabitants, particularly women, through the development of other income-generating activities, such as agro-pastoral activities;
- Promoting vocational training and social reintegration of children working in mines.

The external assessors consider this proposed programme to be highly relevant with regard to (i) the development context at a national and local level; (ii) strengths, opportunities and room for improvement within UNILU; (iii) Common Strategic Targets (CSTs) and other development frameworks. This programme could have positive outcome on an individual and department/faculty level (i.e. the development of involved faculties and services, improvement of academic staff skills, increase of PhD candidates and doctors, etc.). Moreover, this programme could improve UNILU' s capacity to leverage ongoing support

to obtain additional funding, to develop partnership, etc.. However, one of the main aims of the IUC programme is to contribute to a change process within the university, leading to improved performance at institutional level. The external assessors consider that this dimension has not yet been taken sufficiently into account in the concept note.

Especially, the UNILU management may consider tackling following issues/area of improvement in the IUC programme:

- Increasing the implementation and evaluation of university's strategic plan, the strategic plans of the faculties and the links between these documents and the different periodic reports.
- Developing, implementing, enforcing rules and regulation and institutional reform.
- Improving the overall performance of the university, in key areas such as organisation of faculties and courses, student administration, procurement, review of curricula and knowledge management.
- Developing Human resources management of academic and non-academic staffs, and incentives mechanisms to improve research and state-of-the-art education.

6. Overall conclusions

The IA process was adequate and interesting, despite really tight deadlines and difficult condition of working in DRC. Almost all meetings and interviews took place as planned and, despite his high workload, the local IUC coordinator was very committed throughout the external assessment exercise. The external assessors only regret that documentation asked at the end of the visit has not been sent yet by UNILU.

In the regional and national context, UNILU's profile seems a good match with the IUC-concept. UNILU is undoubtedly one the strongest and more dynamic universities in the DRC, and the best one in some academic disciplines. The stability of UNILU and the socio-economic opportunities in the local context further enhance the potential of an institutional support. The envisaged IUS report could contribute to a big push forward for UNILU, and for the community. Despite tremendous challenges, UNILU managed to attract external support and is already benefitting from multiple cooperation programmes, including two successive institutional supports from CUD / ARES. Such a foundation constitutes a real asset and factor of success for the proposed IUC programme.

However, VLIR-UOS as well as UNILU should be aware of existing and forthcoming challenges and limitations. Due to very low public funding, some key areas such as infrastructures, human resources management and financial management are still weak. The high level of centralization of the higher education sector in RDC limits the own sphere of decision making and control of UNILU. Those weaknesses may limit, slow down or jeopardize institutional reform efforts.

For Flemish universities and university colleges, partnering with UNILU offers a unique opportunity to contribute directly to highly relevant research in various key research areas. UNILU is the best and unavoidable partner for research and development programmes in disciplines such as mining, agronomy, polyethnicity or tropical medicine in Central Africa.

7. Annexes

7.1 Checklist collection of additional data and documentation

Name of the university	University of Lubumbashi
Status – date:	20/ 03 / 2020

Data	Available	Partially available	Not available	Where to find (institutional factsheet, self-assessment report, other,)
Overview of all educational programmes	X			Ministerial curricula document (2004)
Number of students enrolled for each educational programme and for each level (Bachelor, master, PhD)		X ¹		University factsheet
Employment data of graduates			X	
Overview of academic research production per relevant unit (faculty, department, other)	X			Academic annual report
Overview of recent external funding	X			UIC Concept note
Data on e-learning use, use of libraries, IT support systems, etc.		X		
Total annual budget	X			Annual financial report
% of annual budget government funded	X			Annual financial report
% of annual budget from tuition fees	X			Annual financial report
Total number of staff (M/F ²)			X	University factsheet
Total number of academic staff (M/F)	X			University factsheet
Number of Master degree holders in academic staff (M/F)				University factsheet
Number of PhD holders in academic staff (M/F)				University factsheet

¹Available for past academic years, but not for 2019/2020 yet, due to late enrolment of some students

² MF: please disaggregate data (numbers) by gender (males / females)

Data	Available	Partially available	Not available	Where to find (institutional factsheet, self-assessment report, other,)
Teaching load (percentage of time of academic staff spent on teaching)		X		The minimum number of teaching hours per professor per grade (assistant, ordinary professor, etc.) is available in the ordinance law and also on the institutional fact sheet. But, as numerous academic staffs also teach in private Universities, the actual ratio is not known.
Academic staff / student ratio	X			Enrolment spreadsheet

7.2 Overview of key additional data collected

Data field	Data	Comments (if any)
Total number of students enrolled	22000	Statistic derived from concept note. The assessors didn't find a clear breakdown of student enrolment. The academic report contains some limited counts (p. 24), but this does not provide a complete picture. The concept note indicated there are around 22.000 students, but no breakdown by degree level or gender was provided
• Bachelor - female		
• Bachelor - male		
• Master - female		
• Master- male		
• PhD- female		
• PhD- male		
• Bachelor - female, master, PhD)		
% of graduates employed within 12 months after graduation	Not available	

Data field	Data	Comments (if any)
% of graduates employed within 24 months after graduation	Not available	
Total annual budget	8,393,222 USD	
% of annual budget government funded	48%	Derived from the institutional factsheet
% of annual budget from tuition fees	51%	Derived from the institutional factsheet
% of annual budget from external funding		
Total number of staff		
<ul style="list-style-type: none"> # female staff 	749	Account for only 25% of all staff.
<ul style="list-style-type: none"> # male staff 	2207	
Total number of academic staff	1875	
<ul style="list-style-type: none"> # female academic staff 	270	Account for only 14% of all academic staff
<ul style="list-style-type: none"> # male academic staff 	1605	
Number of Master degree holders in academic staff	1440	Account for 77% of all academic staff.
<ul style="list-style-type: none"> # female of Master degree holders in academic staff 	247	Female academic staff with a master's degree account for only 17% of all academic staff with a master's degree (247 out of 1440).
<ul style="list-style-type: none"> # male of Master degree holders in academic staff 	1193	Male academic staff with a master's degree account for 83% of all academic staff with a master's degree.
Number of PhD holders in academic staff	435	Account for 23% of all academic staff.
<ul style="list-style-type: none"> # female of PhD holders in academic staff 	23	Very low number of female PhD holders, accounting for only 5% of all academic staff with a PhD. They also account for about 9% of female academic staff.
<ul style="list-style-type: none"> # male of PhD holders in academic staff 	412	They account for 95% of all academic staff with a PhD. Also account for 26% of all male academic staff.

Data field	Data	Comments (if any)
Teaching load (percentage of time of academic staff spent on teaching)		
Academic staff / student ratio	1:50	This is the ratio if “academic staffs” are limited to those with a doctoral degree (which is the required degree for holding a regular professorial position in DRC higher education).

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

Day	Time	Program	Place
Wednesday 19/02	PM	Arrival of the lead assessor in Lubumbashi	
Thursday 20/02	AM	9.30: Briefing with the Coordinator 10.30: Meeting with the rector and its cabinet 11.30: Introduction session with the self-assessment team	University administrative building Faculty of medicine
	PM	1.30: Visit of medicine faculty training rooms 2.30: Visit of Faculty of technology infrastructures and labs. 3.30: Visit of the inter-faculty library 4.30: Visit of Faculty of agronomy infrastructures and labs	Faculty of medicine Faculty of technology Faculty of literature Faculty of agronomy
Friday 21/2	AM	10.00: Meeting with OCU (Urban change observatory) 11.00: Meeting with IT service manager	Administrative building
	AM	2.00: Collective discussion with a sample of administrative staffs from the faculties 3.30: Collective meeting with a sample of lecturers	Faculty of medicine Faculty of medicine
Sunday 26/2	PM	Arrival of the regional assessor in Lubumbashi	
Monday 24/2	AM	9.30: Collective discussion with staffs from central administration 11.00: Collective discussion with members of the management committee	Administrative building

Day	Time	Program	Place
	PM	1.30: Collective discussion with representants of students 2.00: Meeting with the director of University – Society interface (parallel sessions) 4.00: Meeting with the director of libraries	
Tuesday 25/2	AM	9.30: Collective discussion with the Deans 11.30: Meeting with the representant of Agence Universitaire de la Francophonie	Faculty of Medicine
	PM	2.30: Meeting with the regional board of ONA (Architects National Organization) 3.30 : Visit of the ZOO of Lubumbashi, the botanic didactic room, The natural sciences museum, The termite museum	ONA office Zoo of Lubumbashi
Wednesday 26/2	AM	9.00: Meeting with Wallonie Bruxelles International (external stakeholder) 11.00: Meeting with FEC (private companies congolese federation) 9.30: Meeting with the Head of the enrolment service (parallel session) 11.00: Meeting with the Head of quality assurance service (parallel session) 12.30: Meeting with academic English service (parallel session)	WBI office FEC Office Administrative building Faculty of Literature
	PM	Preparation for the workshop	
Thursday 27/2	AM	9.30: Workshop with the self-assessment team	Faculty of Medicine
	PM	2.00: Workshop with the self-assessment team 5.00: Meeting with two vice-president of the doctoral school	Faculty of Medicine
Friday 28/2	AM	9.30: Debriefing with coordinators 10.30: Debriefing with the Rector and its cabinet.	Administrative building
	PM	2.00: Visit of the IT service for additional information. Departure from Lubumbashi	Administrative building

