

CARTA
(Consortium for
Advanced
Research
Training in
Africa)
Consortium
Report Year 3

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Preface

Purpose of report

This report presents learning from the African Institution initiative's experiences to date, with a particular focus on the third year of activity. Its audience is both the consortia funded under the initiative and the Wellcome Trust. The report is an annual (interim deliverable) of the evaluation and learning project, and is in this context a 'living document'. As such, the report aims to provide an evaluation resource that can enable each consortium to reflect on individual progress and priorities going forward.

Organisation of report

This report describes and analyses CARTA *specific* progress in key areas of capacity-building effort. It is organised around the following key evaluation and learning themes: funding allocation and the direction of research; institutional training programme strengthening; supervision and mentorship; efforts to strengthen research careers and research governance, management and administration at institutional level; learning about physical and ICT infrastructure interventions; internal consortium networks and relationships; and strengthening relationships with external stakeholders. The themes reflect common variables in the capacity-building model which apply across consortia in the African Institutions initiative; but within each theme there is diversity in associated activities and strategic approaches. For each theme, we first briefly overview CARTA's strategic approach, and then reflect on progress at it relates to the theme (what worked well; what impeded plans for the year) and describe supportive evidence for these inferences. We then analyse the evidence to draw out insights about key enablers and challenges to the wider capacity-building effort (as they relate to the theme in question), how they are being addressed (where applicable) and implications going forward. We also identify some gaps in evidence and unanswered questions, which we hope consortia will be able to clarify in future evaluation reporting. The report thus has both a summative and a formative role.

The information presented in the report draws on insights from evaluation evidence on individual consortia evolution and progress, and insights on funder engagement. This includes a combination of evidence from formal reporting documents provided by CARTA and other

consortia and the Trust to the Evaluation and Learning (E&L) team, and other discussions between the parties (through meetings, telephone calls and email).¹

It is important to interpret the information contained in the report in the operational context of the evaluation and learning project, and its associated caveats. First, the data provided is self-reported by consortia— there is no external audit. Second, there are occasional gaps in evidence on some fronts, which can influence analysis and at times hinder interpretation efforts. However, overall, we are witnessing substantial improvements in the quality of reported evaluation data over time, which is an indication also of the gradual strengthening of evaluation capacity across the initiative and testimony to a mutual, consultative and adaptive process between consortia and the evaluation team. The E&L team has adopted the following measures to address the caveats discussed above: using multiple sources of information and triangulating evidence between them; being explicit about gaps in evidence in individual consortia chapters and reports; confirmation and clarification discussions with consortia on their specific developments and progress; and the sharing of consortium-specific reports with each consortium for comment and review. Despite the caveats, the E&L team feels that an open and transparent rapport with consortia across the initiative has been established, and that the issues we identify and discuss in the contents that follow are a testimony thereof.

We hope that this document will provide a helpful resource to CARTA as the consortium continues to develop and make progress towards strengthening capacity for one-health research in Africa. The project team would like to thank the CARTA consortium members for their constructive engagement with the E&L team and their contributions to this report. We would also like to thank our quality assurance reviewers for providing helpful comments and suggestions to this report.

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¹ First, the consortia and the Trust annually report on progress against milestones they set, and their associated indicators in the evaluation frameworks. The frameworks consists of both quantitative and qualitative indicators, which were co-developed with the consortia and Wellcome Trust at the onset of the initiative, and have been refined over time to reflect the emergent properties of the initiative, and evaluation and learning priorities. Additional insights were obtained through teleconferences with Directors, other telephone and email exchange, and informally during initiative wide meetings.

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A summary of CARTA's key highlights and achievements

CARTA's key highlights for year 3 include:

- **Good progress towards establishing a vibrant community of scholars active in research implementation, publishing and fundraising.** CARTA now encompasses 23 cohort 1 fellows and 19 cohort 2 fellows. During year 3, CARTA fellows produced a total of 20 publications either submitted to or published in peer-reviewed journals, submitted 5 research proposals for external funding and made 7 conference presentations.
- **Sustained commitment to supporting the most promising early career researchers through a merit-based funding approach.** CARTA allocates funding on the basis of merit, with all partners involved, via an inclusive and transparent process, in selection of fellows in each cohort. This has led to the assembly of a high quality, highly motivated, multidisciplinary slate of CARTA fellows.
- **Improvements in the quality of academic supervision being realised as a result of programme training.** CARTA provides training (and refresher) courses for cohort supervisors, which these academics are also able to disseminate more widely throughout the partner institutions, raising the level of supervision throughout the region.
- **Wider institutional capacity building and regional networking being facilitated by on-going training workshops aimed at improving research governance and administration capacity.** The 2nd annual Faculty and Administrator Workshop was held from January 30-February 2, 2012 in Tanzania, following which the Consortium of CARTA Librarians was established.
- **Engagement of and collaboration among consortium partners increased relative to previous years.** More partners are engaged in hosting fellows as well as seminars, workshops and other areas of programme activity.
- **Good progress over the programme to date and increasing visibility contributes to success in securing substantial additional funding.** During the year CARTA secured further funding of US\$1 million from the Ford Foundation and US\$ 4.5 million from the Swedish International Development Cooperation Agency (SIDA).

Learning about overarching enablers of CARTA's progress in year 3:

- Clear and agreed selection criteria helped manage funding allocation process and network relationships.
- Emphasis on adherence to programme milestones has kept fellows broadly on track with course targets and has kept programme quality high.
- Fellow training via the annual, 3-4 week, residential Joint Advanced Seminars (JAS) is proceeding well and is now delivered by a majority African facilitator team, ensuring a focus on context-specific public health research.
- Training for junior faculty and administrators is increasing interest in and awareness of the importance of these roles.
- Improved communication among partners, consortium flexibility in respect of JAS hosting and good progress on existing programme objectives have enabled greater trust among partners and greater engagement with the programme.
- Leveraging existing relationships with external stakeholders has enabled CARTA to draw on external expertise, increasing the quality and context relevance of training.
- Strong director-level relationships and areas of mutual interest enabled some interaction with THRiVE, facilitating capacity building via the African Institutions initiative.

- Good relationships with donors enabled CARTA to attract a considerable amount of new funding to support research capacity building efforts.

Learning about overarching challenges to CARTA's progress in year 3:

- CARTA must accommodate fellows with diverse levels of skills and experience within the context of a single programme which does not discriminate.
- Provision of uniform stipends for students studying at their home institutions across countries where living costs vary has been a challenge for existing fellows and may be a barrier to take up of future fellowships.
- CARTA's lack of a systematic compensation mechanism for supervisors may be an obstacle to improving delivery on supervision roles and responsibilities.
- Lack of formally specified mechanism and roles for North-South co-supervision may result in sub-optimal use of supervisory resources across the consortium.
- Limits to places on administrator training workshops as well as to workshop frequency may limit overall impact on individual institutions.
- Institutional inertia and special interest groups are a challenge to changing institutional policies with respect to research governance, management and administration.
- Challenges in attraction and retention of programme administrative staff may imperil communication among partners and future programme delivery.
- Limited engagement with other African Institutions initiative consortia, apart from THRiVE, means that regional capacity building may be proceeding largely external to the Initiative.

Implications for longer term sustainability of the capacity-building effort

Key areas for CARTA to reflect on include:

- Strategies for staff attraction and retention, as well as collaborative ways of involving partner institutions in administration moving forward.
- Improved incentives for engaging supervisors with CARTA activities.
- Evaluation of the impacts, if any, of faculty and administrator training and university leader training on institutional policy.
- Desired policy on site-specific versus consortium-wide staff training and implications for any associated funding requirements.
- ICT and physical infrastructure implications of increasing the number of partners involved in JAS hosting duties.
- Accreditation of consortium training modules by members in the medium term.
- Finding additional opportunities for engagement with other AII consortia.

Gaps in Evaluation Evidence

Overall, CARTA provided broad and comprehensive evaluation evidence, though with a significant delay. In terms of reflection on this year's evidence, more detail was needed on the following issues:

- potential reasons for inadequate progress by the suspended fellows.
- the extent to which attempts to reduce the degree of disparity between fellow skills/expertise are proving successful.

- the specific contribution of supervisors to the first Joint Advanced Seminar (JAS1) for cohort 2.
- practical suggestions emerging from the annual faculty and administrator training and institutional-level decisions about implementation of those recommendations.
- CARTA's plans for reducing, as far as possible, the risk of further loss of essential personnel.
- CARTA's strategy for pursuing further cross-funding of students.

The production of this report is an iterative process, wherein the E&L team prepares the report using information provided by the consortium and, once a draft has been produced, offers the consortium the opportunity to comment on the output. In some cases, such as where new information is offered after the reporting deadlines, certain comments cannot be integrated into the main body of the report and are reserved for an Appendix. **Selected CARTA comments on this Year 3 Report are offered in Appendix C.**

Abbreviations and Acronyms

APHRC	African Population and Health Research Centre
BoM	Board of Management
CARTA	Consortium for Advanced Research Training in Africa
CCGHR	Canadian Coalition for Global Health Research
CCL	Consortium of CARTA Librarians
CPD	Continuous Professional Development
E&L	Evaluation and Learning
ICT	Information and Communication Technology
IT	Information Technology
JAS	Joint Advanced Seminar
KEMRI	Kenya Medical Research Institute
M&E	Monitoring and Evaluation
NUR	National University of Rwanda
OAU	Obafemi Awolowo University
SIDA	Swedish International Development Cooperation Agency
UNIMA	University of Malawi
Wits	University of the Witwatersrand

Acknowledgements

The project team would like to thank CARTA members for their constructive engagement with the Evaluation and Learning team and their contributions to this report. We would also like to thank our quality assurance reviewers for providing helpful comments and suggestions to this report.

1.1 Prelude

CARTA was established with the goal of promoting the health and well-being of African populations through high-quality research on public and population health priorities. It aims to achieve this via the development of vibrant, multidisciplinary research hubs at African universities, with regional networks of locally-trained, internationally-recognized scholars working together to address major public health challenges. Partners (see Box 1) have chosen to address this general goal by focussing on three practical areas of action, described in a recent paper by CARTA members:²

1. To generate a ‘critical mass’ of internationally competitive academics who are committed to the translation of research into policy, and who can continue to contribute to developing sustainable research capacity in African institutions during their careers.
2. To develop a ‘culture of research’ among African academics - a vibrant, networked African research community as a pre-requisite for sustainable regional research capacity matched to local health and health research priorities.
3. To develop stronger management, administrative and physical infrastructure within research institutions. This is in order to foster a productive, attractive, efficient and effective environment for developing scholarship and conducting high level research.

CARTA’s inception report, produced by the Evaluation and Learning (E&L) team, details its intervention logic and implementation plans.³

Box 1. CARTA partners

African Universities

- Makerere University, Uganda
- Moi University, Kenya
- National University of Rwanda (NUR)
- Obafemi Awolowo University, Nigeria (OAU)
- University of Dar es Salaam, Tanzania
- University of Ibadan, Nigeria
- University of Malawi (UNIMA)
- University of Nairobi, Kenya
- University of the Witwatersrand, South Africa (Wits)

African Research Institutes

- African Population & Health Research Centre, Kenya (APHRC)
- Agincourt Health and Population Unit, South Africa
- Ifakara Health Institute, Tanzania
- KEMRI/Wellcome Trust Research Programme, Kenya

Northern/ Other Partners

- Canadian Coalition for Global Health Research (CCGHR)

² Ezeh et al (2010). *Building capacity for public and population health research in Africa: the consortium for advanced research training in Africa (CARTA) model*. Global Health Action 2010, 5: 5693 - DOI: 10.3402/gha.v3i0.5693.

³ Bassford, M., Pedersen, J. and Marjanovic, S., Consortium Report: CARTA (Consortium for Advanced Research Training in Africa). PM(L)-3697-WT

- Monash University
- Swiss Tropical Institute
- University of Colorado
- University of Gothenburg
- University of Warwick
- WHO Special Programme for Training and Research in Tropical Diseases

1.2 Organisation of chapter:

The chapter is organised around seven key learning themes:

- Funding allocation and the direction of research
- Institutional training programme strengthening
- Supervision and mentorship
- Efforts to strengthen research careers and research governance, management and administration
- Learning about physical and ICT infrastructure interventions
- Internal consortium networks and relationships
- Strengthening relationships with external stakeholders.

The structure for each section/learning theme follows a similar format outlined below:

- A reminder of the consortium's core strategy with respect to the learning theme
- An assessment of state of progress against plan
- An assessment of the enablers of progress
- An assessment of the strategic challenges the consortium is facing
- Implications for year 4 and longer term sustainability of capacity building effort
- Outstanding gaps in the evaluation evidence and unanswered questions

1.3 Key highlights and achievements in Year 3

- CARTA Fellows have generally shown good course progress, keeping them on track to achieving the programme goal of developing a critical mass of internationally competitive African academics. During year 3, CARTA fellows produced a total of 20 publications either submitted to or published in peer-reviewed journals; submitted a total of five research proposals for funding; and made a total of seven conference presentations (oral or poster).
- Programme seminars, which allow fellows to receive training, share early findings and build networks, progressed according to plan. The second Joint Advanced Seminar (JAS2) for cohort 1 fellows and JAS1 for cohort 2 fellows were successfully held during the reporting period.
- The annual workshop aimed at improving research governance and administration capacity was successful in sparking regional networking. The 2nd annual Faculty and Administrator Workshop was held from January 30-February 2, 2012 in Tanzania, following which the Consortium of CARTA Librarians (CCL) was established. The CCL is a medium for networking and learning across partner institutions, which also has as a specific goal the formation of a digital library for consortium publications.

- CARTA management of the fellowship application and selection progress remains first-rate and fellowship uptake continues to be high. Applications for cohort 3 fellowships were processed during the course of the year, with 43 students shortlisted and invited to begin pre-JAS training in the coming months. Of this group, 25 fellows (14 female and 11 male) have been selected for award.
- CARTA has secured substantial additional funding to scale up its activities: US\$1 million from the Ford Foundation and US\$4.5 million from the Swedish International Development Cooperation Agency (SIDA).
- Engagement of and collaboration among partners has increased relative to previous years. The distribution of fellowships across partners has expanded, as has partner responsibility for programme activity. Year 3 has seen Moi University increase the number of students receiving CARTA fellowships and an expansion of JAS hosting, with CARTA weighing interest from Makerere University, University of Dar es Salaam, Ifakara Health Institute and the University of Malawi for hosting JAS1 for cohort 3, to be held in March 2013.

1.4 **Issue 1: the effectiveness of funding allocation and the direction of research**

1.4.1 **Reminder of core elements of the consortium strategy/model summary**

CARTA is committed to a predominantly merit-based approach for allocating capacity-building funds in its network:

- **Merit, equity or mixed strategy:** CARTA's approach to fellowship allocation has transitioned from equity- to merit-based criteria. In the initial cohort selection, the consortium wished to ensure the engagement of all partner universities and therefore fellowships were allocated so that the best students of each university were included, regardless of the candidate's ranking relative to the overall applicant pool. However, as CARTA's long term goal is promoting research excellence, partners agreed that in all subsequent cohorts allocation would be on merit, though no institution will be allowed to admit more than four fellows in a single cohort.
- **Broad or narrow thematic focus:** The thematic focus is relatively broad, as CARTA invites applications from fellows working in the fields of public and population health research, though it reserves a small number of places for researchers working specifically in the areas of sexuality and reproductive health and rights.
- **Specific career pathway gaps or whole-pathway approach:** Among CARTA's objectives is the development of a critical mass of African public health researchers and as such it is focused on funding PhD students. The programme also provides training to supervisors, current junior faculty and administrators at partner institutions in order to improve the wider research environment of the region.

1.4.2 State of progress in year 3 and impact thereof (as it relates to the specific theme of funding allocation and direction of research)

Table 1: Funding allocation and the direction of research - progress against plans

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) Sustained commitment to the consortium's merit-based strategy for selecting fellowship recipients worked well: Cohort 2 fellowships were awarded in August 2012 and cohort 3 selections were completed by the end of the reporting period. CARTA reports higher levels of motivation and fewer skills gaps across these fellows relative to cohort 1, suggesting that the commitment to <i>merit based</i> funding allocation has enhanced the pool of junior researchers.</p> <p>2) Uptake of fellowships was high and retention of fellows was good, with a few exceptions (see column on right): 20 fellows were initially selected for cohort 2, though 1 was unfortunately unable to follow through. Supervisors were identified and matched to the 19 remaining fellows by the time of the JAS1 for cohort 2 in March 2012. During year 2, 25 fellows were selected in cohort 1, 23 of which remain enrolled.</p> <p>3) Fellows show good progress in training and have generally succeeded in maintaining programme research requirements: 20 publications by cohort 1 fellows were submitted to or published in peer-reviewed journals during the year, meeting overall programme targets of at least 1 submission per fellow per year. While no annual targets have been set for research funding applications or conference participation, seven fellows (six of which are in cohort 1) made conference presentations and five fellows (three of which are in cohort 1) submitted research proposals seeking funding during this reporting period.</p>	<p>1) Relational challenges due to JAS hosting: Hosting duties to date have rested primarily with a small sub-group of partners, including APHRC, University of Ibadan and University of the Witwatersrand (Wits). These duties carry with them both a certain degree of prominence within the programme and benefit in terms of infrastructure funding. As such, the allocation of these has created some tensions, with non-hosting partners calling for a more equitable distribution of these duties and the associated funding. CARTA has responded by seeking to expand the pool of JAS hosts over the coming years, beginning with the search for a new host for JAS1 for cohort 3, due to be held in March 2013.</p> <p>2) Lack of administrative co-ordination with partners has resulted in drop-outs: CARTA reports that two cohort 1 fellows had exited the programme by February 2012, one because of difficulties in registration at one partner and the other because tuition fees would not be waived at another partner. Discussions to resolve these types of issues are on-going.</p>

1.4.3 Enablers of progress related to funding allocation strategies and research direction

Open communication, collaboration among partners and transparency in selection criteria enabled the consortium to adhere to its merit-based strategy in year 3. Selection criteria were agreed with all parties at the start of year 2 via the Partners' Forum, on which all partner institutions are represented. Further, applications are assessed by staff of several of the partner institutions with any ranking differences being reviewed collectively to try and reach consensus. This facilitated partner buy-in to the selection process and successfully mitigated any relational tensions due to asymmetric applicant performance across universities.

Emphasis on adherence to programme milestones has kept fellows broadly on track and has ensured that programme quality continues to be high. CARTA fellows are expected to fulfil certain key requirements over the course of each year and failure to meet these targets has serious consequences for continued inclusion in the programme. One demonstration of CARTA's firm approach was the suspension of three cohort 1 fellows, two women and one man, due to unsatisfactory academic progress by February 2012. Subsequently, one of the suspensions was lifted and the student reinstated. The other suspended fellows were advised that if they are able to complete the academic requirements, they should re-apply to CARTA, to join a later cohort, in order to complete the programme. These events were communicated to the wider CARTA community, and CARTA reports that this has served to reinforce fellow focus on research standards and timing, leading not only to achievement of milestones but also to high quality output.

More broadly, emphasis on higher research standards (for promotion to academic posts) throughout the continent is helping to endorse the importance of programmes of this nature. CARTA reports that applicants are increasingly motivated to participate as more and more African universities seek to comply with various national guidelines or rules stating that only applicants with PhDs can be appointed to lectureship posts.

1.4.4 **Strategic challenges related to funding allocation strategies and research direction**

The lack of administrative coordination across partners with respect to registration and waiver eligibility has resulted in the loss of two cohort 1 fellows from the programme. Two cohort 1 fellows had dropped out of the programme by February 2012, one as a result of being unable to gain registration at the University of Nairobi and one due to unwillingness of Makerere University to waive tuition fees for the individual who was not in full time university employment. CARTA indicated that to avoid such problems in the future, it would work closely with teams at partner institutions to address registration and other potential administrative issues.

Provision of uniform stipends for students at home institutions across countries where living costs vary has been a challenge for existing fellows and may be a barrier to take up of future fellowships. CARTA must attract quality students in an environment in which competition for such students is high. Part of the challenge relates to the stipends offered as part of the programme. While fellows registered in programmes outside of their own institution receive travel grants and additional financial support, fellows enrolled at their home institutions (a majority of CARTA students) receive stipends which are effectively uniform across countries, though costs of living vary substantially between the different countries. CARTA is investigating the possibility of partner universities providing additional 'top up' amounts to Fellows to address this issue. Discussions are on-going.

1.4.5 **Looking forward: Implications for the longer term sustainability of capacity building effort**

CARTA's efforts to strengthen African public health and population research capacity by use of a merit-based strategy to select and train African scholars have largely proceeded according to plan in year 3. In terms of implications for longer-term sustainability of the consortium, evaluation evidence highlights the following:

- **The need for administrative co-ordination among the partners and further clarification of eligibility requirements for fellows:** CARTA must work with partner universities to clearly establish registration requirements and tuition charges for each possible category of

CARTA fellow in order to inform prospective fellows and to reduce the likelihood of further instances of fellow dropout for administrative reasons.

1.4.6 Gaps in Evaluation Evidence

Detail of potential reasons for inadequate progress by the suspended fellows: we are not sure to what extent these are related to the nature of supervision provided or baseline trainee skills, but more detail would present a clearer basis for judgement of possible re-involvement in the programme.

1.5 Issue 2: effectiveness of efforts to strengthen institutional training programmes and short courses

1.5.1 Reminder of core elements of the consortium strategy/model summary

- **Annual 3-5 week residential Joint Advanced Seminars to facilitate training in multiple skills needed for a high quality PhD programme.** A major element of CARTA's programme is the annual residential Joint Advanced Seminar (JAS) for fellows. Each cohort of fellows will attend a total of four JASs, each 3-5 weeks long, to discuss and develop research topics and methodologies as well as to network and share ideas with other fellows. The residential JAS seminars are held at any of a small group of universities specified by the consortium. These institutions were selected so as to allow fellows the experience of seminars at key locations in East, West and South Africa.
- **Inter-JAS Seminars as a vehicle for building institutional capacity and increasing programme visibility.** CARTA requires students to complete key inter-JAS milestones involving giving seminars at their home institutions. This allows for the transmission of ideas to partner students and faculty external to the programme, impacting the wider research environment. These presentations also provide a means by which students can receive feedback on research methodologies and early findings, improving the quality of their research.
- **Facilitating export of the CARTA training model to partner institutions:** CARTA aims to improve postgraduate training courses at partners by exporting its model to the individual institutions. The consortium facilitates this via open and inclusive communication among partners on curriculum review and fellow, supervisor and administrator feedback on all aspects of the programme, as well as via administrative support to partners who wish to adopt elements of the CARTA training model.

1.5.2 State of progress in year 3 and impact thereof

Table 2. Strengthening institutional training programmes and curricula courses - progress against plans

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) The JAS Curriculum Review process worked well and resulted in improvements to the seminars: CARTA held meetings to finalise the curriculum for JAS2 for cohort 1 and JAS1 for cohort 2 from August 14-16, 2011 and from June 28-July 1, 2012, respectively. In response to feedback from JAS1 for cohort 1, reviewers elected to integrate a visit to a research centre or field site into each of the seminars, and these developments were very well received by participants.</p> <p>2) Inter-JAS seminars are proceeding at partner institutions as planned, facilitating student development and programme visibility: A total of 20 inter-JAS seminars were completed by cohort 2 students during year 3, of which 4 were held at Wits, 3 each at OAU, UNIMA and NUR, 2 each at Moi University and the Universities of Ibadan and Nairobi, and 1 at Ifakara Health Institute.</p> <p>3) The CARTA training model continues to improve postgraduate programmes in partner institutions: CARTA reports that UNIMA now requires PhD students to have a professional development plan and to undertake online courses in research and critical thinking skills. UNIMA has also introduced JAS-style, 2-week long postgraduate induction courses for PhD, Masters in Public Health and Masters in Medicine students. Ibadan and OAU are currently in discussions on how to interpret the CARTA model for joint training of their PhD students.</p>	<p>1) Limited staff and competing priorities among members of the CARTA Secretariat affect programme administration: The planning and execution of the programme is administered by a small group of staff some of which have competing demands on their time (the CARTA programme team, with the exception of the Programme Manager, Communications Officer and dedicated Administrative Assistant, maintain additional responsibilities at the APHRC). As a result, members may find themselves stretched.</p> <p>2) Staff attraction and retention was a challenge during the year, with implications for programme delivery: CARTA must attract and retain high calibre staff in an environment where such staff is in great demand. If it is unable to do so, CARTA may face disruptions in programme delivery. This issue was one of real significance in year 3, as (i) the previous Program Manager resigned in April 2011 and the position was not filled until the current Programme Manager joined in February 2012, and (ii) the monitoring and evaluation officer left during the reporting period.</p>

1.5.3 Enablers of progress related to strengthening training programmes and professional development (short course) opportunities

The JAS curriculum review process appears to be leading to improvements in seminar content, presenting fellows with different research environments as well as illustrating the links between different research stages, and between the academic and wider communities. The JAS1 for cohort 2 review was held in Johannesburg, South Africa from January 29-February 1, 2012. 15 individuals from 11 CARTA partner institutions, including one each from three Northern partners (Canadian Coalition for Global Health Research, University of Gothenburg and Monash University) participated. During this session the weekly timetable was finalised, with emphasis on exposing fellows to a multidisciplinary slate of presentations and a diverse range of research tools and methodologies. Based on feedback from JAS1 for cohort 1, it was also decided that one week of the JAS would be hosted at the KEMRI/Wellcome Trust research sites in the coastal province of Kilifi, Kenya, so that fellows could witness how research is conducted within this type of environment. The review meeting at which curricula for JAS2 for cohort 2 and JAS1 for cohort 3 were agreed was held at the University of Warwick Medical School from June 28 –

July 1, 2012. It was agreed that during JAS2, fellows would visit the Birth-to-Twenty Cohort study site in South Africa.

JAS training is now delivered by a majority African facilitator team, ensuring a focus on context-specific public health research themes and methodologies, and development of regional faculty. CARTA has assembled a majority Africa-based facilitation team, due in large part to its success in strengthening participation from a range of partner institutions and strong links with external institutions. A core team of facilitators was involved in both JAS1 for cohort 2 and JAS2 for cohort 1, in spite of the different focus of these seminars. (The full lists of facilitators for the seminars are listed in Appendices A and B).

1.5.4 **Strategic challenges related to strengthening training programmes and professional development (short course) opportunities**

In delivering on the major aim of turning out highly trained African researchers, CARTA faces the challenge of accommodating fellows with diverse levels of skills and experience within the context of a single programme which does not discriminate. Fellows enter the programme at varying levels of skill and preparedness, but all students are expected to meet the expected programme milestones. CARTA reports that it is attempting to address this through offering additional tuition where possible, selecting appropriate supervisors for students' differing levels and fostering greater intra-cohort communication, encouraging those needing help in particular areas to approach colleagues.

To ensure consistent, high-quality programme delivery, CARTA must attract and retain high calibre staff. Such staff are in great demand in the region, and while of course the factors driving the demand and supply of such personnel are outside of CARTA's control, the consortium will need to ensure that its offers are and remain competitive.

1.5.5 **Implications for year 4 and longer term sustainability of capacity building effort**

CARTA's efforts to strengthen institutional training by offering programme specific workshops to fellows and facilitating sharing to the wider research community at partner institutions via inter-JAS seminars remained broadly on track in year 3. In terms of longer-term sustainability, evaluation evidence highlights the following issues as areas for attention:

- **Existing human resource limitations will become more of a constraint over time as new cohorts are added and programme administration becomes more complex, potentially derailing programme delivery.** CARTA must consider the best way to expand administrative resources, and might consider, inter alia, increasing programme team staffing or seeking collaborative ways to engage other partners (beyond APHRC) in day-to-day programme administration if it is to maintain programme delivery at high standards.

1.5.6 **Gaps in Evaluation Evidence**

Detail on the full extent of the attempts to reduce the degree of disparity between fellow skills/ expertise: such information would be useful for evaluate the extent to which the consortium's efforts to moderate this issue are having an effect.

1.6 **Issue 3: effectiveness of supervision and mentorship**

1.6.1 **Reminder of core elements of the consortium strategy/model summary**

CARTA's strategy is to both ensure appropriate supervisory support to students and to strengthen supervisor skills through training and peer to peer learning.

- **Institution-level allocation of Supervisors.** Fellows are assigned a primary supervisor, usually based at the student's home institution, with additional supervisors assigned if the primary supervisor is relatively inexperienced or does not have the required level of subject area expertise. Each institution provides the CARTA Secretariat with a list of CVs for faculty available for supervision, so as to allow incoming fellows to request a potential supervisor. There is an emphasis on inclusion of new academics qualified at doctoral level as programme supervisors, as young faculty tend to be less affected by competing responsibilities and more responsive to new supervision methods. Further, as these are the next generation of academics, including young faculty is helping to build sustainable supervision capacity in the region.
- **Supervisor training via workshops, refresher courses, peer-to-peer learning and co-supervision with Northern partners.** CARTA supervisors are offered training on supervision and mentorship during tailored workshops held to coincide with the relevant JAS for their supervisee's cohort, providing opportunities for networking among supervisors and for increased contact with fellows. At the start of their involvement with CARTA (that is, at the Supervisor training associated with JAS1 for the relevant cohort), supervisors are introduced to CARTA philosophy and expectations. Supervisors are encouraged to interact with and learn from more established colleagues and those rated more highly by students. Northern partners are also expected to make potential supervisors available for fellows, and CARTA's intention is that these supervisors are paired up with African colleagues to provide co-supervision.

1.6.2 **State of progress in year 3 and impact thereof**

Table 3: Increasing the effectiveness of supervision and mentoring - progress against plan

Progress in relation to plan: what worked well	Progress in relation to plans: operational challenges to plans for the year
<p>1) Supervisor training was well received by participants and uptake of places on refresher courses was high: Training for cohort 2 supervisors was provided in year 2, but a refresher course was also held in December 2011 in Johannesburg. 21 primary supervisors for cohort 1 fellows, including at least one from each of 8 partner universities, attended the refresher course. 23 primary supervisors of cohort 2 fellows were trained in Nairobi in March 2012, during the time of JAS1 for cohort 2.</p> <p>2) The timing of the supervisor training is yielding improved communication between students and supervisors: the synchronization between the refresher courses and JASs allows supervisors to attend fellow presentations and conduct face to face meetings with fellows, in an environment relatively free of the competing demands found in home institutions.</p> <p>3) Discussions with the University of Warwick have set the stage for a more formal mechanism to utilise Northern partner supervision resources to improve supervision: CARTA has reached an agreement with Warwick to establish a procedure for matching African and Northern co-supervisors, which is to be overseen by Warwick via a dedicated administrative resource.</p>	<p>1) Overall engagement of supervisors, while improving, is not yet at the desired level: supervisors have many calls on their time and also operate in a context where there is usually a monetary or other tangible personal benefit from providing time to such a programme. CARTA therefore faces challenges in terms of ensuring adequate supervisor involvement.</p>

1.6.3 **Enablers of progress related to supervision and mentorship efforts**

Good uptake of places on programme wide training for cohort 1 supervisors is yielding improvements in supervisor quality and consistency in the approach to supervision across partner universities. Cohort 1 supervisors were exposed to CARTA philosophy and expectations at their initial training workshop in year 2. The refresher course held during year 3, attendance at which was also open to those who did not attend the previous workshop, served to reinforce these lessons. CARTA reports that supervisors have begun to engage more with the responsibilities outlined under the formal Supervisor-Supervisee contract that has been a feature of the programme since launch, and that faculty are now considering the use of such contracts more widely at partner institutions.

1.6.4 **Strategic challenges related to supervision and mentorship efforts**

CARTA’s compensation mechanism for supervisors may be an obstacle to improving delivery on supervision roles and responsibilities. CARTA operates in the context of a regional culture where academics may be personally rewarded for their engagement with similar programmes and may be focused more on institutional issues and less on the CARTA programme. The policy of not providing systematic compensation to supervisors and rather covering the basics (such as cost of travel) means that CARTA may face challenges in attracting supervisors and generating high levels of engagement. CARTA currently tries to moderate this

effect by offering annual rewards to high-performing supervisors and by framing the programme as an opportunity for supervisor personal development through training and travel or relational development with Northern and partner universities, but such an approach may not be sustainable.

Lack of formally specified mechanism and roles for North-South co-supervision may result in sub-optimal use of supervision resources across the consortium. CARTA has identified as a goal the pairing of North and South supervisors for fellows, in order to make best use of faculty knowledge and abilities, and, to ensure the diffusion of best practice in supervisory standards throughout the consortium. However to date, CARTA has not put in place a formal mechanism by which this is achieved and use of these Northern supervisors has not been formally structured.

1.6.5 Implications for year 4 and longer term sustainability

CARTA's efforts to strengthen the quality of supervision and mentorship via assigning appropriate supervisory support to PhD scholars and providing training and peer to peer learning opportunities for supervisors has remained broadly on track in year 3. In terms of implications for longer-term sustainability of the consortium, evaluation evidence highlights the following issues as areas for attention:

- **Creating improved incentives for engaging supervisors with CARTA activities:** The challenge of increasing interest in supervision and supervisor commitment to their roles is on-going. At the moment, CARTA's primary strategy is to develop ways in which supervisors can derive personal development or benefits from the programme, but such opportunities may not always exist. As such, what is needed is an attitudinal change whereby supervisors develop the willingness to engage with the programme absent such personal benefits.
- **Potential over-allocation of students to a supervisor:** At the moment, supervisors are allocated on an institutional basis and CARTA relies on the judgement of partners with respect to the maximum number of students each faculty member can supervise. However students require different levels of commitment from the supervisor at different times in the programme cycle (for instance, fellows may benefit from closer supervision at the beginning to set out a clear research path, or at the end, when students are writing up). As such, institutional guidelines regarding a recommended maximum number of students may not adequately indicate the required commitment from the supervisor. CARTA may therefore wish to raise the issue with partners to ensure that allocation on the basis of both numbers and cohort is appropriate moving forward.
- **Successful completion of the proposed measures to facilitate greater North-South collaboration between supervisors.** CARTA reports that it is in discussions with Warwick University to improve matching of North-South co-supervisors, which Warwick is expected to support via administrative resources and a small office. This will need to be executed and maintained if improvements in supervisor quality and allocation are to be realised.

1.6.6 Gaps in Evaluation Evidence

Detail on the specific contribution of supervisors to the JAS1 for cohort 2 agenda would be useful as an indication of the extent to which supervisors are engaged with fellow training and to which feedback from supervisors is being built into the programme training itself.

1.7 Issue 4: efforts to strengthen institutional support for research careers and strengthen governance, management and administration

1.7.1 Reminder of core elements of the consortium strategy/model summary

The key components of CARTA's efforts in this area are summarised below:

- **Central consortium management with key members based at APHRC and BoM liaising with committees based at partner institutions and patrons.** CARTA is governed by the Board of Management (BoM) but day to day management is via the Secretariat, which is based at APHRC. The Secretariat liaises with the funders as well as with the committees at each partner institution (which are individually responsible for supervisor vetting, fellow selection and site-specific issues for any JAS hosting duties at that institution).
- **Developing and delivering training programmes for Junior Faculty and University Administrators.** CARTA holds annual training workshops for administrative staff and junior faculty, offering specialised training. Topics covered include institutional research strategy, research governance and proposal writing.
- **Encouraging and facilitating network building between administrators.** Annual training workshops also provide an opportunity for network building by function, and the delegates from individual partner institutions are encouraged to find at least one way to put learning from the workshops into practice at their particular institution each year. This is at the discretion of the individual institutions and is meant to be communicated to the CARTA Secretariat via an institutional report after each annual session.

1.7.2 State of progress in year 3 and impact thereof

Table 4: Strengthening institutional support for research careers and strengthen governance, management and administration

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) Annual training workshops for junior faculty and university administrators proceeded according to plan: CARTA held the 2nd annual Faculty and Administrators’ Workshop in Dar es Salaam, Tanzania, from January 30 – February 1, 2012. A total of 80 participants (25 administrative staff, 17 IT personnel and 38 junior faculty) attended the training sessions, which were facilitated by a total of 13 facilitators: 12 from partner institutions and 1 external (from Organisation Systems Development, SA).</p> <p>2) Workshops are leading to development of function-specific administrator networks, enabling learning and cooperation among partner institutions: Following the Faculty and Administrators’ Workshop 2012, the Consortium of CARTA Librarians (CCL) was established with the aim of compiling and digitizing CARTA publications for access across partner universities. The CCL is led by the Librarian at the College of Medicine, University of Ibadan.</p> <p>3) CARTA planning for new mechanisms for engagement of university leaders is proceeding well: The engagement from university leaders is a crucial step in ensuring effective change in university systems and appointments. CARTA has made securing this engagement a priority and to this end has scheduled the inaugural Vice Chancellors Forum for November 19-20, 2012 to coincide with JAS2 for cohort 2 and the cohort 2 supervisors’ workshop.</p>	<p>1) Limits to training and networking slow dissemination of best practice throughout the region: Training workshops are held annually, and may include only a handful of participants from each of the partner universities. This may limit the extent to which lessons can be disseminated across the wider staff of each of the partners.</p>

1.7.3 Enablers of progress related to strengthening institutional support for research careers and governance, management and administration

Training workshops are increasing interest in and awareness of the importance of research management and administration functions, enabling further capacity building. Places on the annual workshops are limited, typically extending only to a few staff members from each partner institution. This limitation, plus CARTA promotion of these events via the website and newsletter, increases the profile of the training among staff members. Promotion of the event also draws public attention to the importance of administrators and junior faculty in the programme.

Engagement of high-level university leadership, in addition to administrators and junior faculty, is required for institutional capacity building; such buy-in is enabled by initiatives such as the proposed CARTA Vice Chancellors’ Forum: CARTA’s proposed inaugural Vice Chancellors’ Forum, to be held in November 2012 at Wits, is a novel attempt to bring together university leadership at the highest level to discuss how the CARTA programme may contribute to institutional and regional objectives. CARTA reports that it has received confirmations from the majority of partner Vice Chancellors to date. This meeting will facilitate increased administrative co-ordination among partners moving forward as well as networking among leaders.

1.7.4 **Strategic challenges related to strengthening institutional support for research careers and governance, management and administration**

Limits to places on training workshops as well as to workshop frequency may constrain overall impact on individual institutions: At this time, workshops are only held annually, and in general are attended by a relatively few members of staff from each individual partner institution. (For example, 2012 attendees included administrative personnel, faculty and IT personnel from ten, eight and nine partner institutions, respectively, with the largest institutional contingents in each category being four administrators from Ifakara, eight faculty from Dar es Salaam and two IT personnel each from Makerere, Moi, NUR, OAU, Ibadan, UNIMA and Nairobi). This implies that the limited numbers of participants must then try to translate the training received into action points for their specific institutions, requiring the buy-in of the wider administrative staff which may stretch to hundreds of members. As a result, CARTA has considered site-specific training, which would allow for participation of larger numbers of staff at the relevant institutions, but there is an important trade-off between more frequent, site-specific training and maintaining current arrangements: the former may help to build capacity on an institutional level, but the latter helps to disseminate best practice across the region and to build regional networks. CARTA is still considering the best way forward.

Institutional inertia and special interest groups are a challenge to attempts to change institutional policies: Many of the staff and faculty at partner institutions have long tenure and/or are represented by unions, factors which tend to pre-dispose them to the status quo. Attempts to move toward new administrative mechanisms which require changes in behaviour, use of new technologies or teaching methods, or that introduce new staff (e.g., joint appointments) may therefore be viewed as objectionable. Thus, attempts at changing the system have to be on a phased basis, with engagement of existing staff assured at critical stages, if they are to be successful.

1.7.5 **Implications for year 4 and longer term sustainability of capacity building effort**

CARTA's efforts to strengthen institutional support for research careers and to strengthen research governance, management and administration via training and networking opportunities for administrators and creating mechanisms to engage university leadership has remained broadly on track in year 3. In terms of implications for longer-term sustainability of the consortium, evaluation evidence highlights the following issues as areas for attention:

- **A need for evaluation of the impacts of Faculty and Administrator Workshops and Networks on institutional policy:** training efforts should be evaluated in the near and medium term, by carefully reviewing their eventual, if any, impacts on institutional policy and by reviewing the progress of the CCL toward establishing the proposed digital library.
- **A need to determine consortium policy on site-specific versus consortium-wide training (and to treat with any resulting implications for funding):** as discussed above, there is a trade-off between tailored institutional training (which may lead more directly to changes in institutional policy) and the current, consortium-wide approach. More frequent workshops would, however, likely require additional funding, most probably at the partner level; as such, any decisions to move in this direction should recognize the financial implications and, ideally, suggest options for such further funding.

1.7.6 Gaps in Evaluation Evidence

Detail on institutional-level decisions about implementation of some of the practical suggestions emerging from the first and second training workshops would be useful in evaluating the impact of the training.

1.8 Issue 5: effectiveness of efforts to strengthen physical and ICT infrastructure capacity for research

1.8.1 Reminder of core elements of the consortium strategy/model summary

CARTA's approach to strengthening the physical and ICT environment is summarised below:

- **Website as a tool for communication and learning.** CARTA views the purpose of the website as three-fold, specifically (i) for communication of programme specific content to and between participants (which includes programme staff, facilitators, supervisors and fellows); (ii) for networking between supervisors and between fellows; and (iii) for dissemination of information about programme events and opportunities to the wider community.
- **Institution-led physical infrastructure investment, with CARTA funding in line with programme responsibilities.** CARTA's general approach is that strengthening of physical and ICT infrastructure at the institution level remains the responsibility of each individual partner with CARTA providing only limited seed funding, except in the case of those partners involved with JAS hosting, who receive additional funding. This additional funding is meant to ensure that room space and ICT network capacity is suitable for satisfactory delivery of the 3-4 week residential seminars.
- **Providing hardware, software and training to fellows as a core aspect of the programme.** Each CARTA fellow receives a laptop set up with NVivo, Stata, EndNote and Microsoft Office software, and receives software training at the annual JAS.

1.8.2 **State of progress in year 3 and impact thereof**

Table 5: Increasing efforts to strengthen physical and ICT infrastructure capacity for research

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) CARTA funding is contributing to physical and ICT buildout support across partner universities as planned. In line with CARTA strategy, support to partners is targeted. During the year, the consortium contributed to a new computer teaching room at the KEMRI/Wellcome Trust site office, to upgraded facilities at NUR and Ibadan and to new hardware and software purchases at Moi, Makerere, UNIMA and Ifakara.</p> <p>2) Web platform is operating at reasonable functionality, fulfilling some CARTA communication and learning objectives: The CARTA website is active, reporting 6,527 hits during the period, 67% of which were new visits. Additionally, the website allows for completion of joint assignments and the mailing list for interaction within and between cohorts, supervisors and programme staff.</p> <p>3) Off-platform networking is building, facilitating networking among fellows: Building on the relationships developed in the programme, fellows are now migrating to external social media. Cohort 2 has its own Facebook page, used for informal networking and for eliciting collaborative solutions to academic exercises.</p>	<p>1) Work on the website was transferred to a new supplier, delaying the rollout of additional website and platform functionality: CARTA had secured funding and technical assistance from Google to assist in the build-out and development of the platform, however internal commercial issues at Google over the period took precedence. CARTA is seeking to move forward using K&K IT Solutions, a Rwanda-based IT entity recommended by Google. While the new supplier has highly experienced staff, who have worked for several international companies, the company itself was only established recently.</p> <p>2) On-going national infrastructure challenges in the region continue to negatively impact use and development of ICT infrastructure: several countries in the region face on-going power interruptions and national access to the internet remains spotty and slow.</p>

1.8.3 **Enablers of progress related to strengthening physical and ICT infrastructure capacity for research**

Where CARTA funding is provided for physical and ICT infrastructure, monitoring of progress serves to demonstrate CARTA’s commitment to infrastructure strengthening and to keep the relevant partner institutions focused on progress in this area: monitoring takes place via a reporting template and via follow-up site visits by the CARTA M&E officer. These visits are strategic (proceeding this year as agreed in the Partners’ Forum meeting in August 2011) and are conducted during regular CARTA meetings at or near partner institutions. During the reporting period, visits have been held at Agincourt at Wits, Ibadan, University of Dar es Salaam and Ifakara Health Institute.

1.8.4 **Strategic challenges related to strengthening physical and ICT infrastructure capacity for research**

The lack of engagement by Google during year 3 has delayed full development of the website: Programme contacts within Google were obliged to prioritise several internal commercial and management issues during the course of year 3, resulting in slower than anticipated progress on developing the CARTA website and online learning portals. Google has subsequently recommended that CARTA work with K&K IT Solutions, based in Kigali, Rwanda, for completion. This contract, which is expected to last 4 months, began in June 2012 and as such cannot be assessed until the next reporting period.

CARTA has a policy of institution-led development of physical and ICT infrastructure, which may mean disparities remain in the levels of interest and engagement with projects of this type across partners. While CARTA stands ready to facilitate, where possible, the resolution of gaps identified by the individual partners, the institutions themselves retain primary responsibility for physical and ICT development. As a result, larger institutions or those more successful in attracting external funding are able to make more progress on this measure. This has implications for fellow progress across the consortium.

1.8.5 Implications for year 4 and longer term sustainability of capacity building effort

CARTA's efforts to strengthen the physical and ICT infrastructure capacity for research by developing the consortium website, providing hardware, software and training to fellows and allocating funding in line with programme responsibilities have remained broadly on track in year 3. Evaluation evidence highlights the following issues as areas for attention:

- **The intention to extend JAS hosting duties to new institutions will put new emphasis on the expansion of physical infrastructure across the consortium.** While CARTA does not rely on partners' facilities exclusively for JAS, smaller and/or less well funded partners acting as JAS hosts will be called upon to develop at least some portion of the assets required to deliver the programme at the level expected by CARTA.
- **A need to focus on staff attraction and retention moving forward:** As discussed in earlier sections, this is an on-going general challenge for the consortium. More specifically, CARTA will need to attract and retain a new M&E officer if it is to maintain good knowledge of and facilitate partner institution initiatives in physical and ICT infrastructure.
- **Utility of efforts to improve ICT infrastructure is heavily reliant on the state of national and continental ICT infrastructure:** the state of national power grids and ICT networks as well as the degree of regional interconnection is the determining factor in whether ICT investment will yield the desired outcomes. While these factors are of course entirely outside the control of the consortium, the absence of reasonable progress on these national and regional measures, CARTA fellows and institutions will be unable to realise the full benefits associated with ICT spending and website development.

1.8.6 Gaps in Evaluation Evidence

N/A

1.9 Issue 6: strengthening internal consortium network relationships

1.9.1 Reminder of core elements of the consortium strategy/model summary

The following summarises key elements of CARTA's approach to strengthening internal network relationships:

- **A committee-based, inclusive approach to consortium management, involving individuals from each partner institution in consortium governance, to ensure a cohesive network for research capacity building.** Fellow selection criteria are agreed and results reviewed at the Partners' Forum which, in addition to the Board of Management (BoM), also provides a setting for discussions of programme level successes and challenges.
- **A mix of virtual and face-to-face engagement** in order to create and sustain relationships between dispersed stakeholders. CARTA meetings are scheduled regularly to maintain stakeholder engagement with the overall programme, discuss new opportunities and resolve

challenges.

1.9.2 State of progress in year 3 and impact thereof

Table 6: Strengthening internal consortium network relationships

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) Open, regular communication among partners during the period has allowed CARTA to maintain an inclusive network: During the period, the CARTA BoM met in August 2011 at Wits and again in March 2012 at APHRC. Communication has helped to build relationships among partners and has had a beneficial effect on capacity building within the consortium. In particular, open and transparent selection standards and transmission of best practices have helped to improve performance of weaker institutions. CARTA also reports that partners were also more closely involved in other aspects of proposal development during the year.</p>	<p>1) As discussed in earlier sections, challenges in retention of staff jeopardise communication and broader programme delivery: CARTA must attract and retain high calibre administrative staff in an environment in which such staff are extremely limited and in high demand. Failure to do so may impact communication across partners and, more widely, programme delivery.</p>

1.9.3 Enablers of progress related to strengthening internal consortium network relationships

Improved communication among partners, consortium flexibility in respect of JAS hosting and good progress on existing programme objectives have enabled greater trust among partners and greater engagement with the programme.

Monitoring site visits by the CARTA M&E officer with respect to ICT infrastructure progress were particularly useful for less established institutions as they allowed for contact with the consortium beyond the virtual networks and major meetings at leading institutions and focused on site specific issues

1.9.4 Strategic challenges related to strengthening internal consortium network relationships

Partners maintain institutional administrative requirements with respect to registration criteria and tuition fee waivers which led to two cohort 1 fellows not continuing in the programme (discussed in the table above and in Section 1.4.4). This may adversely impact the take-up of fellowships as well as programme reputation. CARTA must strive to identify these ‘red lines’ so as to inform programme design and fellow selection.

As discussed in earlier sections, challenges in attraction and retention of staff jeopardise communication among partners and programme delivery: CARTA faced a nine month gap between Programme Managers before the current officer took up the job in February 2012, and now faces the challenge of attracting a new M&E officer. In the context of a limited administrative team, these positions are critical to maintaining good communication among partner institutions and to maintaining programme delivery.

1.9.5 Implications for year 4 and longer term sustainability of capacity building effort

CARTA efforts at strengthening internal network relationships via regular, open communication, and inclusive, transparent selection methods have remained broadly on track in year 3. Evaluation evidence highlights the following issues as areas for attention:

- **Accreditation of CARTA training modules by consortium members would enhance sustainability of the programme in the medium term:** The CARTA BoM recognises that regional and international accreditation of training would enhance the programme and, potentially, lead to longer-term development of research in the region. Members of the CARTA Secretariat along with focal persons at each partner institution are actively considering the best ways of addressing this issue.

1.9.6 Gaps in Evaluation Evidence

Detail on CARTA's strategies for reducing, as far as is possible, the risk of further loss of essential personnel would be useful to evaluate the consortium's efforts to moderate this risk.

1.10 Issue 7: strengthening relationships with external stakeholders

1.10.1 Reminder of core elements of the consortium strategy/model summary

CARTA's strategies to engage with external stakeholders are summarised below:

- **Leveraging on partners' existing relationships and building new links.** Constituent CARTA partners already possess strong relationships with external stakeholders in their respective countries, and the consortium is able to leverage on these, while at the same time working to build new relationships at the CARTA level.
- **Encouraging and enabling CARTA fellows to develop high quality proposals to external funders for further research efforts.** CARTA actively encourages fellows to develop and submit high quality research proposals to external funding bodies.
- **Supporting networking and engagement with wider academic communities by requiring CARTA fellows to share early findings via Inter-JAS seminars and to develop high quality publications based on CARTA- supported research.** CARTA fellows are required to complete at least 1 Inter-JAS seminar each year at home institutions, and to submit at least 1 publication to peer-reviewed journals during the course of the programme.
- **Dissemination of information about programme news, events and progress via the CARTA newsletter and website,** and increasing programme visibility among scholars via broad dissemination of the CARTA call for applications. CARTA communicates its activities via the website as well as the CARTA newsletter, which is now issued twice a year.
- More recently, considering how to **work with other AII consortia** to cross-fund students.

1.10.2 **State of progress in year 3 and impact thereof**

Table 7: Strengthening relationships with external stakeholders

Progress in relation to plan: what worked well	Progress in relation to plan: operational challenges to plans for the year
<p>1) CARTA has successfully leveraged relationships with external parties to draw in expertise for JAS and workshop presentations, as well as for curriculum review: external facilitators were involved in both JAS2 for cohort 1 and the Faculty and Administrators’ workshops. Additionally, CARTA reports that key external experts gave presentations or facilitate session at JAS2 for cohort 1 (experts from the South African Public Health Association) and JAS1 for cohort 2 stakeholders (Dr Samuel Were from the Kenya Ministry of Health; teams from the African Leadership University and the Kenyan AIDS Law Project).</p> <p>2) Good relationships with current donors have helped CARTA to attract more grants: CARTA was able to secure additional funding from the Ford Foundation and SIDA, partially on the basis of recommendations from other funders, during the reporting period.</p> <p>3) CARTA has established a good relationship with THRiVE, facilitating All goals of increasing regional networking: This good relationship, which remains CARTA’s most well-developed link within the All (as discussed in the column on the right), is illustrated by THRiVE directing its students to participate in CARTA training sessions and by the attendance of CARTA’s programme manager at the THRiVE AGM in June 2012.</p> <p>4) CARTA has begun to explore cross-funding of cohort 2 fellows as a basis for broader intra-All interaction as well as a means of overcoming per-fellow funding challenges: CARTA is actively considering the best ways to ensure adequate funding for fellows via funding alongside other All consortia while providing opportunities to a broad number of applicants. This year, one cohort 2 fellow is also a fellow at SACORE.</p>	<p>1) CARTA continues to have limited engagement with other All consortia (with the exception of THRiVE), resulting in lower levels of intra-All capacity building: While CARTA shares its newsletter with other consortia and interacts with key intra-All contacts at initiative-level events and meeting, deeper links with other All consortia remain largely ad hoc and, to some extent, driven by personal relationships across consortium leadership. As a result, capacity building may be being driven outside, rather than via, the African Institutions initiative.</p> <p>2) CARTA continues to seek a balance with respect to managing funder reporting requirements and evaluations. While the consortium maintains excellent relationships with funders (evidenced by fundraising success, as explained in the column on the left), funding carries with it the duty to report and to execute other administrative functions, which consumes a significant amount of administrative resources. Consortium administration has to date performed highly in this respect, though there was some stretch to preserve these high standards in periods of staffing gaps.</p>

1.10.3 **Enablers of progress related to strengthening relationships with external stakeholders**

Leveraging existing relationships with external stakeholders has enabled CARTA to draw on external expertise, increasing the quality and context relevance of fellow training: individual programme partners, particularly large and well-established ones like Wits and APHRC, maintain strong links with government ministries, research centres, professional bodies and other universities in their respective countries and areas of research expertise. The partners are able to leverage these relationships to engage third parties with the CARTA programme, increasing the quality and breadth of training to fellows and also providing insight into country- and region-specific research needs and approaches.

Strong director-level relationships and areas of mutual interest enabled some interaction with THRiVE, facilitating capacity building via the African Institutions initiative. Good linkages with THRiVE, partly a result of strong relationships at the Director level and partly a result of common partners (Makerere and NUR departments are involved in both), have enabled

collaboration to develop student funding and progress. Specifically, CARTA reports that the consortia are sharing learning in respect of PhD training and that THRiVE is now encouraging participation by its students in CARTA training activities. CARTA's programme manager attended the 4th THRiVE Annual General Meeting at the ICIPE Duduville campus in Nairobi on June 18-20, 2012.

Good relationships with donors enabled CARTA to attract a considerable amount of new funding to support research capacity building efforts during the period: CARTA has now secured US\$1 million in new funding from the Ford Foundation and US\$4.5 million from the Swedish International Development Cooperation Agency (SIDA), partially as a result of excellent recommendations from current donors.

CARTA disseminates news and events, along with the newsletter, via the website and the call for Applications was advertised more broadly: the 2012/13 call for applications was available via the CARTA website, specific partner institution websites (Universities of Nairobi and Ibadan) and via academic and funding aggregation websites (www.africadesk.ac.uk, scholarship-positions.com).

1.10.4 Strategic challenges related to strengthening relationships with external stakeholders

Limited engagement with other African Institutions initiative consortia, apart from THRiVE, means that regional capacity building is largely proceeding external to the Initiative: While CARTA has some limited involvement with other consortia (it has enrolled 1 fellow co-funded with SACORE and shares its newsletter with other AII consortia), the majority of CARTA's close relationships lie primarily with consortia and institutions external to the initiative, meaning that the aims of establishing a regional network of highly trained African scholars is proceeding more on this individual consortium basis rather than through the development of strong intra-AII consortia relations.

Brand building efforts may be impeded by a lack of consistent policies on how to attribute work to CARTA: The CARTA agreement calls for fellows to mention CARTA affiliation for any research funded by CARTA, but not more generally alongside their institutional affiliation with respect to independent research or other academic activity. At this time, then, many fellows are not explicitly associated with CARTA. As a result, CARTA (and wider AII) name recognition in the wider academic community may be limited.

Administrative staff are still trying to optimise the balance between programme activities and funders' monitoring and administrative requirements: CARTA reports that in addition to the issues related to competing time demands and a small administrative team (discussed in earlier sections), staff must also deal with the substantial reporting requirements associated with current funding relationships. While the consortium has managed these requirements at a high level to date, they do act as an additional draw on the administrative resources of the programme.

1.10.5 Implications for year 4 and longer term sustainability of capacity building effort

CARTA efforts to strengthen relationships with external stakeholders by drawing in expertise for training and sharing findings and methods with the wider academic environment have remained broadly on track in year 3. Evaluation evidence highlights the following issues as areas for attention:

- **A need to expand the administration team or develop new strategies for balancing administrative requirements:** While any tensions associated with fulfilling funder financial

and administrative requirements may partially moderate over time as staff ‘learn by doing’ with regard to reporting, CARTA will need to carefully consider its strategy moving forward if it is to maintain high standards of programme delivery and if staff are to focus on learning from the process and adapting the programme where required moving forward. Possible suggestions for handling the challenges include expanding the programme team and/or finding new ways to leverage on partner administrative resources.

- **A need to find more opportunities for engagement with other AII consortia:** If the goal of research capacity building through the AII is to be realised, CARTA will need to find additional ways to work with other consortia moving forward. There would seem to be scope for, inter alia, greater involvement of other AII consortia faculty at JASs, cross-consortia workshops (where the research areas of students overlap) or cross-consortia supervision as opportunities for such interaction.

1.10.6 Gaps in Evaluation Evidence

Detail on CARTA’s strategy for pursuing further cross-funding of students moving forward would be useful to evaluate CARTA strategies for dealing with the fellow funding limitations and for increasing engagement with other AII consortia.

APPENDICES

Appendix A: List of Facilitators for JAS 2, cohort 1

The table below presents the name and affiliation of faculty facilitators for Joint Advanced Seminar (JAS) 2 for cohort 1 fellows, held November 21 – December 16, 2011 at the University of the Witwatersrand in South Africa.⁴ The seminar co-ordinators were Sharon Fonn and Margaret Thorogood.

Table A1. JAS2 (for cohort one) facilitators

Name	Institution	Country
Benn Sartorius	Wits	South Africa
Caroline Kabiru	APHRC	Kenya
Charles Chasela	Wits	South Africa
David Ayuku	Moi	Kenya
David Hornsby	Wits	South Africa
Edmore Marinda	Wits	South Africa
Eric Worby	Wits	South Africa
Eustasius Musenge	Wits	South Africa
Fiona Wiltshier	QSR International ⁵	Aus/UK
Frederick Mutembi	Makerere	Uganda
Gideon Rutaremwa	Makerere	Uganda
Gill Nelson	Wits	South Africa
Gillian Hundt	Warwick Uni	UK
Goran Bondjers	Gothenburg Uni	Sweden
Hilary Geber	Wits	South Africa
Kathleen Kahn	Wits	South Africa
Kerstin Klipstein-Grobusch	Wits	South Africa
Latifat Ibisomi	Wits	South Africa
Lynne Smit	Hippo Communications ⁶	South Africa
Margaret Thorogood	Warwick Uni	UK
Mark Collinson	Wits	South Africa
Max Petzold	Gothenburg Uni	Sweden

⁴ Details are as per the JAS2 Timetable and JAS2 Lesson Plans received from CARTA on 28 March 2012.

⁵http://www.qsrinternational.com/training-and-events_training-and-onsultancy_directory_detail.aspx?view=92

⁶ <http://www.hippocommunications.com/hippo-team.html>

Name	Institution	Country
Nicola Christofides	Wits	South Africa
Nzaf Chabak	Wits	South Africa
Omar Egesah	Moi	Kenya
Ruksana Osman	Wits	South Africa
Saul Johnson	Wits	South Africa
Sebastian Brett	ESE:O	Chile
Sharon Fonn	Wits	South Africa
Soledad Falabella	ESE:O	Chile
Stanley Lutchers	Wits	South Africa
Tobias Chirwa	Wits	South Africa
Xavier Gomes	Agincourt	South Africa

Appendix B: List of Facilitators for JAS 1, cohort 2

The table below presents the name and affiliation of faculty facilitators for Joint Advanced Seminar (JAS) 1 for cohort 2 fellows, held March 5 – 30, 2012 under the auspices of the APHRC at the Oak Place Conference and Training Centre, Nairobi, Kenya.

Table B1. JAS1 (for cohort two) facilitators

Name	Institution	Country
Adamson Muula	UNIMA	Malawi
Akinyinka Omigbodun	Ibadan	Nigeria
Alex Ezeh	APHRC	Kenya
Anne Katahoire	Makerere	Uganda
Anthony Aluko	OAU	Nigeria
Beth Ahlberg	Uppsala	Sweden
Bo Eriksson	Gothenburg	Sweden
Caroline Kabiru	APHRC	Kenya
Chichi-Undie	Population council	Kenya
Chima Izugbara	APHRC	Kenya
David Ayuku	Moi	Kenya
Diana Menya	Moi	Kenya
Donald Cole	CCGHR	Canada
Dorcas Kamunya	Kemri	Kenya
Emmanuel Bellon	Kemri	Kenya
Evasius Bauni	Kemri	Kenya
Frances Griffiths	Warwick	UK
Gideon Rutaremwa	Makerere	Uganda
Goran Bondjers	Gothenburg	Sweden
Gunilla Krantz	Gothenburg	Sweden
Jane Doherty	Wits	South Africa
Jill Anne Astbury	Monash	Australia
John Eyers	Consultant	UK
John Harrington	APHRC	Kenya
Kandala Ngianga	Warwick	UK
Kathleen Kahn	Wits	South Africa
Lawrence Ikamari	UoN	Kenya
Lenore Manderson	Monash	Aus

Name	Institution	Country
Makau Ngola	APHRC	Kenya
Melanie Bertram	Wits	South Africa
Patricia Njuguna	Kemri	Kenya
Sam Kinyanjui	KEMRI/Kilifi	Kenya
Sassy Molyneux	Kemri	Kenya
Sharon Fonn	Wits	South Africa
Soledad Falabella	ESE:O	Chile
Wilson Wasike	APHRC	Kenya

Appendix C: CARTA Comments on Year 3 Report

The production of this report is an iterative process. The E&L team prepares the report using information provided by the consortium and, once a draft has been produced, the consortium is offered the chance to comment the output. Where possible, these comments have been integrated into the main body of the text, but some elements, such as new information offered after the reporting deadlines, are reserved for this Appendix. The comments are presented, by issue, below:

Attrition in Cohort 1 and 2: The report indicates that more detail on the reasons for suspension of the relevant fellows would have been useful for evaluation purposes. CARTA advises that reasons for inadequate progress ranged from focus on external activities to personal reasons relating to dissolutions of partnerships. The two fellows who remain suspended have failed to make progress, despite repeated contact by focal people. CARTA dedicated some senior staff to work with them on their project, but they failed to take the offer. However attrition at PhD level globally is a reality and this needs to be acknowledged, with CARTA being no exception.

Supervisor Engagement: CARTA further reports that they have seen increased supervisor engagement in the online platforms, and that it is now witnessing more widespread use of the Supervisor-Supervisee contract and the work by supervisors to promote cross-supervision.

Engagement of Partners beyond APHRC in day-to-day Programme Administration: CARTA advises that there is recruitment of staff at Ibadan and Wits to support the program, and that the democratization of JAS hosting is also contributing to supporting programme delivery.

Junior Faculty and University Administrator Training policy: CARTA advises that over the 3 years of the programme to date it has trained over 180 staff, half of them administrators and including at least 20 persons from each university, so it is therefore gradually building a critical mass of trained faculty and administrators. Further, Wits and Ibadan have also organized their own, self-funded training which contributes to the overall CARTA objectives. In deciding on the numbers to train at any one time, CARTA is also considering evidence from elsewhere demonstrates that large class sizes affect the effectiveness of delivery. CARTA further indicates that at the next August BoM and Partners Forum meetings, the consortium will consider institution-based training to ensure that a wider pool of faculty and administrative staff participate. It estimates that at the current trend, by the time the project is at year 5 a considerable number of personnel will have been trained. In terms of institutional implementation of suggestions coming out of the training workshops, the Partners Forum and BoM will provide leadership direction.

Staff Attraction & Retention: CARTA offers competitive salary, but recognises that certain other organisations are able to offer higher salaries. CARTA advises that in Kenya, for instance,

there is a limited supply of M&E officers and the few available on the market thus become subjects of great competition, due to great demand from some large donor programs focusing on Health and HIV. As such, while staff turnover in Africa is generally high, M&E staff may have a particularly high rate of turnover. The former M&E officer reportedly left to pursue other interests.

Further Cross-funding of Fellows: CARTA reports that this issue will be discussed in the upcoming meeting of Vice Chancellors at Wits, and that it is also focused on raising additional grants for fellows. CARTA fellows are also staff, supported by their home universities.