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INTRODUCTION

1 This report presents the Institute's work from January through December 2006, including its conference, research, advisory, publication and dissemination activities. It is supplemented by an administrative and financial report.

2 During the current reporting period, research at UNRISD was organized under six programme areas: *Social Policy and Development*; *Democracy, Governance and Well-Being*; *Markets, Business and Regulation*; *Civil Society and Social Movements*; *Identities, Conflict and Cohesion*; and *Gender and Development*.

3 Work in these areas was supplemented by special events and activities organized by the Institute. The largest such event of the reporting period was a two-day workshop on *Social Policy and Equality* at the International Forum on the Social Science–Policy Nexus in Buenos Aires, Argentina, which provided an opportunity for a rich exchange between researchers and policy makers. UNRISD also organized one of the roundtables on the opening day of the Forum, on *Social Development Policies: New Challenges for the Social Sciences*, during which the Director of UNRISD delivered the keynote speech, and was represented on the Forum's International Steering Committee. Two smaller activities also took place during the reporting period: a lecture in memory of the life and work of Hans Singer, in collaboration with the International Institute for Labour Studies of the International Labour Organization (ILO), and a lunchtime workshop, *The New Equity Agenda*, in collaboration with the Department of Equity, Poverty and the Social Determinants of Health of the World Health Organization (WHO).

4 An in-depth evaluation of the Institute was carried out during 2006. Financed by the government of Sweden (the Department for Research Cooperation of the Swedish International Development Cooperation Agency—Sida/SAREC), and commissioned jointly by the governments of Finland, Norway and Sweden, the evaluation reviewed and examined the research and activities of UNRISD during the period from 1996 to 2005. The inquiry assessed the quality, relevance and impact of UNRISD research, and considered the research process, the cost-effectiveness of UNRISD activities, and the Institute's funding situation. The main findings of the evaluation can be divided into those that are very positive, those that express caution, and those that raise more serious concerns. At the request of Sida/SAREC, UNRISD submitted a management response to the evaluation and outlined measures that would be taken in response to its findings.

5 In the programme area *Social Policy and Development*, publication and dissemination work continued under *Social Policy in a Development Context* (2000–2005). Three volumes of the UNRISD/Palgrave Macmillan series, *Social Policy in a Development Context*, were published, and three volumes were submitted to the publisher. A Research and Policy Brief titled *Transformative Social Policy* was published, summarizing the findings of the research. It presents 16 “lessons” from the work that highlight the developmental role of social policy. Results were disseminated at research and policy events held in Kathmandu, Nepal, and in the Nordic countries, among others.

6 Under the project *Politics and Political Economy of HIV/AIDS*, four Programme Papers were published. Work under the project *Community Responses to HIV/AIDS* entailed manuscript revision, peer review, and submission of the collected case studies for publication as a supplemental issue of the journal *AIDS Care* (forthcoming February 2007).

7 Work progressed under the project *Poverty Reduction and Policy Regimes*. This flagship project draws on lessons from the previous work on *Social Policy in a Development Context* to study the causes, dimensions and dynamics of poverty. It uses a policy regime approach to examine the complex ways poverty outcomes are shaped by the configuration of institutions and policies in a triad of economic development, social policy and politics. The findings of this research will feed into a report on poverty that the Institute is planning to produce in 2009. During the reporting period two background papers were prepared by project staff; researchers were commissioned for the in-depth case studies, country overview papers and thematic papers; a methodology workshop was planned; and an outline of the report was developed by all UNRISD research staff.

8 New research on *Financing Social Policy* was initiated in 2006. In a departure from more common approaches, this project is framed around the revenue side of social policy. Several subprojects will be developed to look at taxation, social insurance contributions and social funds, as well as the specific possibilities and challenges associated with foreign-exchange resources like mineral rents, remittances and aid. Katja Hujo joined UNRISD in February 2006 to develop this research area. Under the project *Social Policy Index*, the project issues paper was finalized and an expert meeting was held, during which participants endorsed the framework proposed for the index. Research proposals were developed and funding was being sought for new projects on *Transnational Economic Migration and Social Development*, and *Social Policies in Small States*. A group of Russian social policy experts was contacted in March 2006 to carry out a book project on *Social Policy in Russia*.

9 Under the programme *Democracy, Governance and Well-Being*, three Programme Papers were published from past projects on *Technocratic Policy Making and Democratization* and *Ethnic Structure, Inequality and Governance of the Public Sector*, as were four copublications. Three of these were part of the 11-volume series (*Ethnicity, Inequality and Public Sector Governance*) with Palgrave Macmillan. The manuscript for the fourth volume was submitted to the publisher in May 2006. Progress was made during the reporting period in two of the current research topics under this programme area, *Politics of Poverty Reduction Strategies* and *Organized Groups and Welfare Development*, under the umbrella of the project *Poverty Reduction and Policy Regimes*.

10 There were three projects under way during the reporting period in the programme on *Markets, Business and Regulation*. The final workshop of the project *Social Policy, Regulation and Private Sector Involvement in Water Supply* was held to present and discuss the main research results. Around 40 academics, representatives of United Nations (UN) agencies, the private sector, non-governmental organizations (NGOs) and policy makers participated. A research wrap-up is presented in this report. The project on *Business and Poverty Reduction* got under way with research on *Public-Private Partnerships for Sustainable Development*. In collaboration with the Copenhagen Business School, UNRISD commissioned seven papers and co-hosted a conference in Copenhagen, and one Programme Paper was published. Work was carried out on a background paper for the project *Organized Business and Social Policy*, and a call for papers was prepared. UNRISD co-hosted a half-day conference in Nicaragua on *CSR, Popular Economy and Civil Society*, which brought together 150 researchers, activists and policy makers.

11 Under the programme area *Civil Society and Social Movements*, the current reporting period saw publication of five Programme Papers, and an issue of the

journal *Development* containing 11 contributions based on UNRISD research. The project *UN World Summits and Civil Society Engagement* was completed, and a research wrap-up is presented in this report. Work proceeded under the project *Global Civil Society Movements: Dynamics in International Campaigns and National Implementation* with fieldwork entering its final stages and reports being prepared by the country research teams. Under the project *Social Responses to Inequalities and Policy Changes*, which is being carried out jointly by two UNRISD research programmes—*Civil Society and Social Movements* and *Markets, Business and Regulation*—researchers were identified and the UNRISD research team contributed to the organization of a summer school on Inequality: Mechanisms, Effects and Policies, to be held in June 2007.

12 Under the programme area *Identities, Conflict and Cohesion*, work progressed on the project *Identity, Power and the Rights of Indigenous Peoples*. Eight case studies were commissioned and a project workshop was held in July 2006, involving the project researchers, UNRISD staff and representatives from other UN bodies. Project proposals on *Religion, Identity and Business* and on *Minority Groups, Generational Change and Identity Formation* were finalized during the reporting period and submitted to potential funders. Work was carried out on the development of a research proposal for a project on *Affirmative Action, Identity and Conflict*, and funding sources were being investigated.

13 Under the programme area *Gender and Development*, dissemination activities for the *Policy Report on Gender and Development* continued during the current reporting period. The report was produced in Spanish and Arabic; the four final papers were published under the Occasional Paper series; an UNRISD/Routledge book series was initiated; and several regional events were organized to launch the report. The report was commended in refereed journals, covered in daily press in several countries and used within the UN system. In regard to new research, under the project *Political and Social Economy of Care* two background papers were prepared, members of six country research teams were identified, an advisory group was constituted and the first project workshop was held. Discussions were under way with the United Nations Department of Economic and Social Affairs, Division for the Advancement of Women (UNDESA/DAW) on how to feed the research findings of this project into the preparatory work for the 2008 and 2009 sessions of the Commission on the Status of Women. The project proposal on *Religion, Politics and Gender Equality* was finalized and submitted to potential funders. UNIFEM (Regional Office for Central and Eastern Europe) expressed interest in funding selected country studies.

14 During this reporting period, Institute staff organized 15 events and activities. Through these workshops, seminars and conferences on themes related to its programme of work, UNRISD offered a forum for dialogue among policy makers, donors, scholars and civil society organizations.

15 UNRISD staff members are frequently called upon to act in a range of advisory roles for UN agencies, multilateral and bilateral organizations, governments, NGOs, research institutes and universities. This provides UNRISD with opportunities to make substantive contributions to the thinking and programmes of other institutions and groups, while staff members benefit from the exchange of ideas and are also able to network, identify potential research partners and explore funding opportunities. During the reporting period, UNRISD staff members carried out advisory and consultancy activities on nearly 80 occasions.

16 In 2006, 39 publications were issued. Eight books and one journal issue were produced, as were two reports (one in Spanish and one in Arabic), four Research and Policy Briefs (two in English, one in French and one in Spanish), 22 papers, one issue of Conference News and one brochure. UNRISD publications were made available at a range of important events organized by the UN, specialized agencies, universities, NGOs and national governments. In addition to regular dissemination via mailings and fulfilment of requests, 16,534 printed publications were disseminated to 42 specially targeted events in 21 countries around the world.

17 Redevelopment work on the UNRISD Web site took place in 2006 based on the results of a user survey, in order to better tailor the site to users' needs and to ensure that UNRISD research, events and publications are presented as clearly and comprehensively as possible. The site now includes new features, such as RSS feeds. Statistics showed an average of 30,514 unique visitors to the site each month during 2006. The number of PDF versions of the Institute's publications downloaded directly from the site grew to 248,763, an annual increase of 86 per cent.

18 There was no change in the composition of the Board in 2006.

19 One new research coordinator, Katja Hujo, took up her functions in February 2006. The assistant officer in the Publication and Dissemination Unit, Pamela Smaridge, left UNRISD in January 2006 and the assistant to the Director, Nina Torm, left in December 2006.

20 The level of core funding received by the Institute for the financial year 2006 was USD 2,806,463 compared with USD 2,645,695 received for 2005. The government of Sweden increased its contribution in 2006 and this, together with the appreciation of the Euro against the US dollar, resulted in a net surplus of USD 163,268. In 2006, nine governments were approached for financial support in order to increase the number of core donors.

21 The level of project funding received by the Institute increased from USD 881,888 to USD 1,290,588 in 2006.

22 Sida/SAREC provided USD 126,800 for the evaluation of UNRISD's activities over the period 1996–2005 and contributed a second payment of USD 581,135 in 2006 for the research project *Poverty Reduction and Policy Regimes*. The *Social Policy in a Development Context* project received an additional contribution of USD 165,000 in 2006 from the Ford Foundation, while the United Nations Educational, Scientific and Cultural Organization (UNESCO) paid the balance of USD 15,000 for the workshop on *Social Policy and Equality*.

23 The International Fund for Agricultural Development (IFAD) contributed USD 100,000 for the project on *Identity, Power and Rights: The State, International Institutions and Indigenous Peoples* in 2006 and the balance of USD 99,500 in 2007. The European Union approved funding for a consortium project on *Inequality: Mechanisms, Effects and Policies* in which UNRISD is participating with six other institutions and for which UNRISD received a first instalment of EUR 69,345 in 2006 for its project titled *Social Responses to Inequalities and Policy Changes*.

24 The International Development Research Centre (IDRC) and the Swiss Agency for Development and Cooperation (SDC) contributed initial amounts of USD 131,023 and USD 82,645 respectively to the new research project *Political and Social Economy of Care*.

SPECIAL EVENTS AND ACTIVITIES

Introduction

25 Each year, work under the Institute's six UNRISD programme areas is supplemented by special events and activities. The largest such event of the reporting period was a workshop on *Social Policy and Equality* at the International Forum on the Social Science–Policy Nexus in Buenos Aires, Argentina. Two smaller activities also took place during the reporting period: in collaboration with the International Institute for Labour Studies (IILS) of the International Labour Organization (ILO), a lecture in memory of the life and work of Hans Singer; and, in collaboration with the Department of Equity, Poverty and the Social Determinants of Health of the World Health Organization (WHO), a lunchtime workshop, *The New Equity Agenda*. The Nordic countries' evaluation of UNRISD was also a major activity of the current reporting period.

Nordic Evaluation of UNRISD

26 An in-depth evaluation of the Institute was carried out during 2006. Financed by the government of Sweden, and commissioned jointly by the governments of Finland, Norway and Sweden, the evaluation was headed by Deepak Nayyar (Jawaharlal Nehru University), with team members Signe Arnfred (Nordic Africa Institute), Sten Johansson (Stockholm University) and Tapio Salonen (Växjö University).

27 Titled *Too Good to be True?*, the evaluation report reviews and examines the research and activities of UNRISD during the period from 1996 to 2005. The inquiry's main objectives were to assess the quality, relevance and impact of UNRISD research in the past decade. It also considered the research process in UNRISD, the cost-effectiveness of UNRISD activities, and the Institute's funding situation.

28 The chairman of the evaluation committee presented the findings and recommendations of the report at a meeting of UNRISD donors, held in Stockholm on 17 November 2006. The one-day meeting was attended by representatives of the governments of Finland, Mexico, Norway, Sweden, Switzerland and the United Kingdom.

29 The main findings of the evaluation can be divided into those that are very positive, those that express caution, and those that raise more serious concerns. These are summarized as follows.

Positive observations:

- UNRISD research has thematic cohesion and clear direction.
- UNRISD has an impressive range and number of publications.
- Its research fosters an important interdisciplinary and cross-country comparative perspective.
- Its research is sometimes innovative, prepared to take on sensitive issues, and plays an important role in stimulating debate.
- UNRISD has provided an alternative perspective and a different voice on development.

- Its research process mobilizes talent and scholars from developing countries.
- Its research networks are continually renewed, and there is limited reliance on the same researchers.
- UNRISD has provided important inputs for the UN summit processes.
- Adequate quality control mechanisms are in place.
- UNRISD is cost-effective.
- Its autonomy is to be valued and protected.
- Its dissenting voice gives it a special niche.
- UNRISD leadership has a sense of vision and has made a difference.
- UNRISD staff are motivated.
- UNRISD has combined continuity and change in the right mix.

Cautionary observations:

- There is probably not enough communication within and between different units.
- UNRISD is probably doing too much in terms of research and activities.
- In identifying research topics, UNRISD should focus more on innovative niches rather than “reinventing the wheel”.
- UNRISD research has made a significant contribution to the understanding of problems of social development, but has not made original contributions to knowledge in terms of theory and methodology.
- The research process is “not quite” transparent or inclusive.

Critical observations:

- UNRISD’s efforts at dissemination leave much to be desired. It is imperative for UNRISD to rethink its strategy for dissemination in order to heighten visibility and reach certain constituencies.
- The cost of publications is too high, which affects in particular distribution in developing countries.
- In-house UNRISD research coordinators should pay more attention to publishing in peer-reviewed academic journals.
- It is necessary to increase the number of UNRISD staff, in particular, posts and opportunities for junior and mid-level professionals.
- It is necessary to put UNRISD finances on more secure and stable foundations, and to increase funding.

UNRISD Management Response

30 At the request of the Department for Research Cooperation of the Swedish International Development Cooperation Agency (Sida/SAREC), UNRISD submitted a management response that noted the following.

31 UNRISD was appreciative of the congenial and rigorous manner in which the evaluation team conducted the inquiry, and was in basic agreement with both the analysis and findings.

32 The main discrepancies related to dissemination. Recognizing that much can always be done to strengthen dissemination, the view of the Institute was that the report does not acknowledge sufficiently the progress that has been made on the dissemination front since the mid-1990s. UNRISD also questioned the concerns raised about the cost-effectiveness of dissemination. This finding appeared to downplay the fact that most of the “dissemination” budget is accounted for by the editing, layout, translation and printing of publications. In other words, much of

this funding contributed to the Institute's good performance in terms of published outputs, which is acknowledged in the report.

33 Regarding the concern that the research process was not quite transparent and inclusive, the Institute clarified that UNRISD research coordinators invest much time to identify competent specialists in particular areas, and that the names of researchers are submitted to the UNRISD Board and posted on the Institute's Web site. As the evaluation report notes, there is considerable diversity in the pool of researchers and a relatively low rate of repeat contracting of the same researchers. The report also recognizes that during 2001–2005 there was an improvement in the balance of researchers located in the North and South. UNRISD noted that given global realities, namely the fact that knowledge about researchers based in the North is far easier to access than it is for those in the South, and the constant migration of Southern researchers to the North, it is inevitable that the composition of UNRISD research networks will, to some extent, reflect these imbalances.

34 UNRISD agreed to implement the following measures in response to the findings of the evaluation.¹

- UNRISD will seek to increase its visibility by organizing, annually, an international conference on a topical development issue.
- Research coordinators will pay more attention to publishing in peer-reviewed journals.
- UNRISD will attempt to publish through commercial outlets that offer lower prices and distribute in both developed and developing countries.
- UNRISD will review and revise its dissemination strategy, and submit it to the Board in April 2007.
- Regarding the importance of synthesizing research findings, and improving outreach to policy makers, UNRISD will aim to increase the number of policy briefs produced each year. The Institute will also explore possibilities for engaging writers who can address the recommendation for “simplicity of text and brevity of language” while supporting the effort to increase frequency of publication.
- Regarding increased interaction with policy makers in government, UNRISD will explore with the United Nations Department of Economic and Social Affairs (UNDESA) the possibility of organizing an annual side event to coincide with the Economic and Social Council (ECOSOC).²
- Regarding interaction with the United Nations (UN) system, UNRISD will examine the possibility of reactivating biennial meetings of senior research staff in UN organizations to examine and debate a key development issue.
- With regard to civil society, UNRISD will make efforts to systematically channel research findings to leading research and advocacy non-governmental organizations (NGOs) in both developed and developing countries.
- Regarding funding, UNRISD will continue efforts to increase the pool of core donors and obtain multi-year pledges.
- Research coordinators will experiment with new modalities of identifying researchers and expanding research networks through the use of calls for papers.
- Research coordinators will endeavour to make more use of informal consultations and brainstorming with specialists prior to and during the process of project design.

¹ The implementation of some of these measures will depend on securing additional funding.

² The first such event was to be held in New York in February 2007, at the time of the Commission for Social Development.

Linkages with Other UN Research Institutes

35 Given the evaluation recommendation that UNRISD should reinforce linkages with other UN organizations, as well as the concerns that have arisen within the UN system about lack of coordination between UN research institutes³, and in follow-up to recommendations of the United Nations Office of Internal Oversight Services (OIOS) of 2005, in 2006 UNRISD prepared the following strategy for increasing linkages with other research entities in the UN system.

- Project proposals drawn up by UNRISD will attempt to identify relevant work already taking place in the UN system.
- Periodic consultations will take place between directors and senior research staff of different institutes about the direction each is taking.
- UNRISD will be receptive to invitations from other institutes working in similar fields to participate in their annual Board meetings. This is particularly relevant to institutes such as the United Nations University/World Institute for Development Economics Research (UNU-WIDER) and the International Institute for Labour Studies (IILS). Given budgetary constraints, such participation should only apply to selected institutes, giving priority to those in close proximity to UNRISD.
- Relevant UN agencies will be invited to participate in workshops and conferences organized by UNRISD, and to co-host specific events.
- UNRISD will participate in the regular meetings of the Executive Committee for Economic and Social Affairs, which is attended by heads and deputy heads of agencies, and will collaborate with the initiative of UNDESA to improve co-ordination related to work on thematic issues.
- UNRISD will seek to collaborate with the United Nations Educational, Scientific and Cultural Organization (UNESCO), through the Management of Social Transformations (MOST) Programme, to implement the Buenos Aires Declaration, which calls for "...ways and means for ensuring strengthened synergies and complementarities between various policy-oriented social science research programmes within the United Nations system...".
- UNRISD will explore the possibility of organizing side events at selected UN events, such as ECOSOC, to present the results of research to government, international agency and other representatives.
- UNRISD will explore the possibility of reactivating biennial meetings of senior UN research staff to discuss, in an informal setting, topical development issues on which there is considerable debate.

Workshop on Social Policy and Equality

36 UNRISD and Sida/SAREC co-hosted a two-day workshop on *Social Policy and Equality* at the International Forum on the Social Science–Policy Nexus in Buenos Aires, Argentina, on 21–22 February 2006. Twenty-one speakers and discussants examined six sets of issues: the shift from universalism to targeting; regional variations in social policy and patterns of inequality; the relationship between macroeconomic policy and inequality; the transfer of responsibility for social protection from the public to the private domain; gender dimensions of social policy and inequality; and the politics of social policy.

37 At the workshop, social science researchers who have coordinated international research projects on the above topics presented the results of their studies, and senior policy makers from national governments and international organizations commented on the findings. Thus, the workshop provided an

³ See *Mandating and delivering: Analysis and recommendations to facilitate the review of mandates*, Report of the Secretary-General, A/60/733, 30 March 2006.

opportunity for a rich exchange between researchers and policy makers on the role of social policy in promoting equality. A summary of the discussions and policy implications was disseminated by UNRISD and UNESCO.

Summary of the Discussions

38 Recent social policy reforms in many countries have focused less on the goal of universal social protection, and more on targeting specific vulnerable groups, and achieving greater efficiency in the use of existing or diminished public resources. Such approaches have often disregarded various forms of inequality that have been a feature of economic liberalization, and the need to promote equality through redistribution and empowerment. They have also been questioned for their inability to effectively target the poor, leading to the maxim that social services for the poor are poor services. Much of the discussion was critical of the contemporary approaches to social welfare and protection involving targeting and safety nets, although there were also significant differences of opinion with regard to the relative effectiveness of targeting programmes in certain countries.

39 The workshop presentations on poverty, inequality and social development in countries in the Nordic region, East Asia, sub-Saharan Africa, the Middle East and Latin America revealed the diversity of national and regional experiences and policy approaches, and they cautioned against a one-size-fits-all approach. While during the early 1990s there was much talk of a generalized crisis of the welfare state, patterns of restructuring have in fact varied significantly. In the Nordic region, for example, the welfare state has shown considerable resilience; in East Asia, new social compromises have strengthened selected forms of social protection, while in many Latin American countries a more profound restructuring has taken place. Neoliberal-inspired reforms have also challenged welfare systems in sub-Saharan Africa, where state capacity has been seriously eroded, as well as in the Middle East, where welfare demands from social groups claiming citizenship rights are increasing. The presentations identified the factors and contexts that account for such variations and emphasized the limits of standardized policy prescriptions and institutional design.

40 Participants stressed the importance of learning from both historical and contemporary experiences of countries and regions that have made progress in terms of poverty reduction and equity. Key elements of success relate to policy regimes where the relations between social policy, growth strategies and regulatory institutions are synergistic and complementary, rather than contradictory. Greater attention needs to be paid to the social implications of macroeconomic policies, and the tensions between social development and macroeconomic policy that are often a feature of dominant policy approaches.

41 State-market relations and the burden of responsibility for social protection are changing with large corporations assuming a more direct role in social provisioning and protection. Speakers examined two aspects of such trends: the privatization and the commercialization of health care and water services; and corporate social responsibility (CSR). The discussions emphasized the problematic implications for social development and equity of the privatization of public services, particularly where regulatory frameworks are weak. While the corporate social responsibility agenda has expanded considerably in recent years, from the perspective of equity it focuses quite narrowly on social and environmental protection. Other aspects that are crucial from the perspective of equity—rights, empowerment and redistribution—receive less attention. The discussions also stressed the need for CSR not to be seen as a substitute for state responsibility.

42 The retreat of the state has also meant a more expanded role for “family” and “community”. Policy actors either assume that the women and girl members of these units provide care for children, the elderly and the sick, or (as in the case of conservative and religion-based movements and policies) they actively reinforce women’s caring duties as part and parcel of an ideological drive to restrict women’s choices and public roles. The workshop discussions examined these trends, stressing that redistribution must be a core principle underpinning social protection programmes (e.g., public pensions) and public services (e.g., health, education). Women tend to be among the main losers when redistribution is displaced by a market-oriented logic that introduces individualized methods of risk and benefit calculation (e.g., privatized pensions) and out-of-pocket payments (e.g., commercial service provision). This is primarily because of the persistent ways in which women continue to be attached to the non-monetized arena of social reproduction and care, and to be overwhelmingly present on the periphery of the formal economy as informal and low-paid workers.

43 The final session of the workshop considered the significant changes over the past two decades in the politics of social policy. Particularly relevant have been shifts in the relative strength of different social and political forces, including business interests and trade unions; the rise of technocratic forms of policy making; and ongoing experimentation with specific forms of participation and multistakeholder consultation. Such developments have important implications for social policy and yield a very mixed scorecard in terms of enhancing or undermining its effectiveness. The discussions on how to reform social policy stressed the importance of analysing political dimensions, in particular, the formation and influence of constituencies of social and political actors that can ensure that governments assign the necessary priority and resources to social policy; effective interest group articulation and representation that is socially inclusive; and redistributive policies and programmes that directly address structural inequalities and constraints. Contemporary approaches to policy and institutional design, however, often ignore such aspects. Significant differences of opinion among workshop participants were apparent in relation to the roles and capacities of non-governmental organizations (NGOs) in social development and governance. There was also debate on the usefulness of approaches based on citizenship rights, particularly in contexts where migration and informality mean that there are large populations of undocumented persons.

44 The following were among the various policy implications to emerge from the discussions.

- The recent revival of interest in social policy and equity in many countries and international institutions is to be welcomed. However, there is still insufficient attention paid to the negative impacts of dominant policies and processes associated with economic liberalization and the macroeconomic policy regime; to structural inequities associated with gender relations, and income and wealth distribution; and to the key role of the state in social development.
- Donors should give greater priority to long-term investments in autonomous knowledge creation and research capacity in developing countries, and should recognize and use the wealth of existing knowledge.
- There is an urgent need to rethink the contemporary poverty reduction model associated with the Poverty Reduction Strategy Papers (PRSPs), because this approach fails to address fundamental causes of poverty and inequality associated with macroeconomic policy, privatization of public services, the dynamics of domestic politics, and structural constraints.
- There are important gaps in knowledge on effective strategies to combat poverty and inequality. Therefore considerable research is needed, particularly on ways and means of financing social policy, the politics of social policy, and

the relationship of social policy to both economic policy and regulatory institutions.

- Mainstream social development discourse and policy need to shift emphasis away from targeting, safety nets and narrow perspectives on participation, toward universalism, rights, redistribution, representation and empowerment. Such a shift would not only facilitate poverty eradication, but also reduce persistent forms of class, gender and ethnic inequalities.
- Donors and policy makers must recognize that poverty reduction and equity require not only direct support for social projects and programmes, but also investments to strengthen productive capacity, revitalize depressed sectors such as agriculture, and rebuild state capacity to mobilize domestic resources.

Hans Singer: The Gentle Giant Memorial Lecture by Richard Jolly

45 The Directors of the International Institute for Labour Studies (IILS) and UNRISD hosted a public lecture on 18 May 2006 at the headquarters of the International Labour Organization (ILO) in Geneva. The memorial lecture was given by Sir Richard Jolly to commemorate the life and work of Sir Hans Singer, who influenced thinking and practice in development over a 50-year career in the UN system and in many countries around the world. Hans Singer served as the first associate director of UNRISD in 1964 and played an active part in setting up the Institute's initial philosophy, plans and work programme.

Lunchtime Workshop: The New Equity Agenda

46 On 18 September 2006, UNRISD and the WHO Department of Equity, Poverty and the Social Determinants of Health coorganized a lunchtime workshop on *The New Equity Agenda* to examine the implications of an emerging equity discourse for health and social policy more generally, and in particular for the research and policy agendas of organizations like UNRISD and the WHO. Workshop discussions centred around three recent publications by international organizations—the *2006 World Development Report* (World Bank); the *2005 Human Development Report* (United Nations Development Programme); and the *2005 Report on the World Social Situation* (UNDESA)—and compared the approach taken in these reports with the UNRISD approach to equity as exemplified by the 2005 report *Gender Equality: Striving for Justice in an Unequal World*. The workshop included remarks by two invited speakers and two discussants, as well as an open dialogue.

PROGRAMME ON SOCIAL POLICY AND DEVELOPMENT

Introduction

47 Social policy comprises public policies and institutions that aim to protect citizens from social contingencies and poverty, and ultimately to enable them to strive for their own life goals. Because of the range and diversity of themes that emerge at the nexus between development and social policy, this is the largest research programme at UNRISD. It builds on past work that looked at ways social policy can be instrumental to economic development while maintaining its intrinsic goals of protection and equity. Specifically, it entails four areas of study: institutions for social policy and poverty eradication, financing social policy, migration and social welfare, and assessment of HIV/AIDS policy and practices.

48 Publication and dissemination work continued under *Social Policy in a Development Context* (2000–2005). Three volumes of the UNRISD–Palgrave Macmillan series were published: under the regional component, *Social Policy in the Middle East and North Africa* (Massoud Karshenas and Valentine M. Moghadam, eds.); and under the thematic component, *Gender and Social Policy in a Global Context: Uncovering the Gendered Structure of “the Social”* (Shahra Razavi and Shireen Hassim, eds.), and *Pro-Poor Macroeconomics: Potential and Limitations* (Giovanni Andrea Cornia, ed.). Three volumes were submitted to the publisher: *Latin America: A New Developmental Welfare State Model in the Making?* (Manuel Riesco, ed.), *Social Policy in Sub-Saharan African Context: In Search of Inclusive Development* (Jimí Adésinà, ed.), and *Social Policy and Democracy* (Yusuf Bangura, ed.). Details on dissemination activities and results are reported below.

49 Under the project *Politics and Political Economy of HIV/AIDS*, four Programme Papers were published. Work under the project *Community Responses to HIV/AIDS* entailed manuscript revision, peer review, and submission of the collected case studies for publication as a supplemental issue of the journal *AIDS Care*.

50 During the reporting period, work under the project *Poverty Reduction and Policy Regimes* focused on reviewing the literature, identifying case study coordinators and thematic paper writers, setting up research teams, and making preparations for the project’s methodology workshop.

51 In order to continue building on the extensive body of research carried out under *Social Policy in a Development Context*, a new project on *Financing Social Policy* was initiated in 2006. This project explores the kinds of financial arrangements that allow social policy to be sustainable, equitable and conducive to economic development. In a departure from more common approaches, this project is framed around the revenue side of social policy.

Social Policy in a Development Context

Background

52 The group of projects on *Social Policy in a Development Context* (2000–2005) looked at ways in which social policy can be instrumental to economic development while maintaining its intrinsic goals of social protection and equity. This research was structured under nine subprojects, region-centred and thematic, as reported previously to the Board, and was funded by the Swedish International Development Cooperation Agency (Sida), the United Kingdom’s Department for International Development (DFID) and UNRISD core funds. The Ford Foundation provided additional funding for the East Asia, Latin America and sub-Saharan Africa subprojects, the Geneva International Academic Network (GIAN) and the government of Finland provided additional funding for the health subproject, and the Rockefeller Foundation provided additional funding for the gender subproject.

53 A Research and Policy Brief titled *Transformative Social Policy* was published, summarizing the findings of the research. It presents 16 “lessons” from the work that highlight the developmental role of social policy, even as it addresses issues of intrinsic value such as social protection, equality and social citizenship, and presents arguments for rescuing social policy from the residual role to which it was relegated by mainstream policy making during much of the 1980s and 1990s.

Dissemination Activities and Results

54 On 24 and 25 May 2006, UNRISD, UNICEF-ROSA (United Nations Children’s Fund–Regional Office for South Asia) and the UNICEF Innocenti Research Centre coorganized a workshop on *Social Policy: Towards Universal Coverage and Transformation for Achieving the MDGs* in Kathmandu, Nepal. Representatives of United Nations (UN) agencies (UNICEF, United Nations Population Fund [UNFPA], United Nations Department of Economic and Social Affairs [UNDESA], United Nations Development Programme [UNDP], United Nations Economic and Social Commission for Asia and the Pacific [ESCAP]) and the Asian Development Bank, as well as researchers and academics from Afghanistan, Bangladesh, Bhutan, India, the Maldives, Nepal, Sri Lanka and the United Kingdom, participated. The workshop aimed to contribute new insights into social policy as a means to accelerate and enhance Millennium Development Goal (MDG) performance, instil a rights-based approach in development thinking, and contribute to processes that ensure more equitable social outcomes. UNRISD inputs to this event included a presentation by Peter Utting, Deputy Director, titled “Social Policy in a Developmental and Political Context”. Contemporary approaches to social policy in developing countries often focus narrowly on aspects such as social protection, targeting and safety nets. He argued the importance of recognizing the multiple roles of social policy, identifying real-world examples of “transformative social policy”, and promoting such an agenda in policy circles. UNRISD research coordinator Katja Hujo’s presentation, titled “Financing Social Policies in Developing Countries: What Are the Issues?”, looked at governments’ financial capacity to deliver social insurance as a function of the internal and external political and economic context, institutional capacity and choices regarding financing instruments. A CD-Rom set containing the analytical report, participants’ presentations and video clips highlighting key themes of discussion, as well as social policy resources, was produced and disseminated by UNICEF-ROSA.

55 Three research and policy workshops were held in the Nordic countries between 29 October and 3 November 2006 to discuss the lessons from two of the region-centred subprojects on late industrializing countries, *Social Policy and Development in the Nordic Countries* and *Sub-Saharan Africa and the Challenge of Social Policy*, as well as the thematic subproject *Gender and Social Policy*.

56 The first event was a research workshop titled *Incorporating Social Policy into the Research Agenda in Africa*. Thandika Mkandawire gave the opening presentation at this event, which was organized by the Nordic Africa Institute (NAI), Sida and UNRISD and was attended by government representatives and academics. The second workshop, convened by Sida and UNRISD on *Social Policy in a Development Context: Lessons from UNRISD Research 2000–2005* in Stockholm, addressed the challenge of translating research policies into action. This workshop included presentations by the researchers who worked on the Nordic, sub-Saharan Africa and gender projects, complemented by contributions on current practices in social policy in Africa and Asia, and new social policy approaches from international organizations and donors. It was attended by representatives of government and civil society organizations, and academics.

57 The third event was a meeting of experts in Kellokoski, Finland, *Comprehensive Social and Employment Policies for Development in a Globalizing World*, which was conceived as a follow-up to the World Summit for Social Development and related processes. Participants from Africa, international organizations, donors and academics came together in an effort to facilitate the design and implementation of appropriate approaches to comprehensive social policies in different regions of the “global South” and to strengthen a platform for coherent policy making. A policy note, *New Consensus on Comprehensive Social and Employment Policies for Development*, was drafted during the meeting and was to serve as an input for discussion during the 45th Session of the Commission for Social Development in New York in February 2007. The Finnish organizers also planned to prepare an extensive report drawing on inputs and discussions from the three meetings, in which the role of UNRISD research as a basis for the initiative would be in evidence.⁴

Community Responses to HIV/AIDS

Background

58 It is often said that the AIDS epidemic is a development crisis. The impacts of the epidemic on individuals and society have been examined through the lenses of different disciplines, and the burdens on individuals, families, social groups and communities have become better understood over time. Less well understood, and less subject to systematic study, are the ways in which communities have responded to the risk of HIV or the vulnerabilities caused by AIDS. The economic, social, political and moral pressures to intervene and the demand to “scale up” intervention have sometimes led to organized institutional action that inadequately understands, supports or builds on the responses taking place in families and communities.

59 In 2004, UNRISD initiated this research project in collaboration with the Training and Research Support Centre (TARSC) to explore how communities were

⁴ The extended report, available at www.stakes.fi/social-policies-for-development, contains over 40 substantive references to UNRISD research and outputs.

responding to HIV and AIDS; the factors driving their responses; the areas of positive and negative synergy between community- and state-level responses; and the opportunities for and barriers to more supportive community environments. The work involved researchers from sites across the world where risk and vulnerability were high or changing, generally or for specific social groups.

60 Eight studies were carried out under the project: Brazil, Haiti, India, Kenya, Republic of Congo, sub-Saharan Africa, Thailand and Uganda, as reported to the Board last year. The project was externally coordinated by Rene Loewenson (TARSC), and was funded by the Royal Minister of Foreign Affairs of Norway, the United Nations Foundation and UNRISD core funds.

Progress

61 By mid-2006 a publication outlet had been secured on the basis of the paper abstracts and journal proposal outlined in the previous report to the Board. During the latter half of the year the contributions went through peer review, were revised by the authors and were submitted to the journal editor and publisher.

62 The contents of the collection to be published as a supplemental issue of the journal *AIDS Care* (Volume 19, Supplement 1, 2007) is as follows:

- Rene Loewenson — *Introduction: Exploring Equity and Inclusion in the Responses to AIDS*
- A.S. Chacham, M.B. Maia, M. Greco, A.P. Silva and D.B. Greco — *Autonomy and Susceptibility to HIV/AIDS among Young Women Living in a Slum in Belo Horizonte, Brazil*
- J.-C. Boungou Bazika — *Effectiveness of Small-Scale Income Generating Activities in Reducing Risk of HIV in Youth in the Republic of Congo*
- M. Amuyunzu-Nyamongo, L. Okeng'o, A. Wagura and E. Mwenzwa — *Putting on a Brave Face: The Experiences of Women Living with HIV and AIDS in Informal Settlements of Nairobi, Kenya*
- R. Priya and C. Sathyamala — *Contextualizing AIDS and Human Development: Long-Term Illness and Death among Adults in Labouring Low Caste Groups in India*
- C. Lyttleton, A. Beesey and M. Sitthiriengrai — *Expanding Community through ARV Provision in Thailand*
- G. Foster — *Under the Radar: Community Safety Nets for AIDS-Affected Households in Sub-Saharan Africa*
- J.M. Kanyamurwa and G.T. Ampek — *Gender Differentiation in Community Responses to AIDS in Rural Uganda*
- J.S. Mukherjee and Fr.E. Eustache — *Community Health Workers as a Cornerstone for Integrating HIV and Primary Health Care*
- R. Loewenson — *Conclusion: Learning from Diverse Contexts: Equity and Inclusion in the Responses to AIDS*

63 The journal, *AIDS Care*, provides a forum for publishing research from the many complementary disciplines involved in the HIV/AIDS field. These include psychology, sociology, epidemiology, social work and anthropology, social aspects of medicine, nursing, education, health education, law, administration and counselling. The journal has a sizeable readership in a wide range of fields, and it is expected that this will be especially useful for dissemination.

64 The first paper outlines the analytical framework, and the last paper draws out the “lessons learned” from the studies. While the eight case studies are individually diverse and reveal different contexts and dimensions of community response to the risk of HIV and to early adult mortality as a result of AIDS,

collectively they tell a story of how individuals, households and extended families are responding to HIV and AIDS, often against a background of existing social and economic disadvantage, sometimes in a context of weak access to state and private sector resources. They point to the potential of different forms of social networking and solidarity in supporting survival needs. In some settings, they show how support from appropriately organized services, and from social and political institutions, as well as the connections made with wider social movements, can move responses beyond meeting survival needs generated by AIDS to a level where they advance and transform social development.

65 If the specific cases presented in the supplement are more generally representative, they indicate the critical importance for public policy on AIDS to better recognize and support community roles, and the institutions and processes that strengthen and connect these roles to national and global resources.

Poverty Reduction and Policy Regimes

Background

66 This project seeks to study the effects of development strategies and social policy interventions on poverty. Despite the increasing importance of poverty reduction on the international development agenda, there are concerns that the anti-poverty approaches of many countries, especially those with a low-income status, are disconnected from development processes and social policies; that the orthodox economic policies of the international financial institutions focus excessively on stabilization and impose constraints on anti-poverty strategies; and that lessons have not been drawn from the experiences of late industrializers that have successfully reduced poverty in a very short period of time. When a substantial proportion of a country's population lives in poverty, it makes little sense to treat the poor as a residual category. For successful late developers, long-term processes of structural transformation, not poverty reduction per se, were central to public policy objectives that led to high levels of poverty reduction.

67 This project draws on lessons from the previous project on *Social Policy in a Development Context* to study the causes, dimensions and dynamics of poverty. It uses a policy regime approach to examine the complex ways poverty outcomes are shaped by the configuration of institutions and policies in a triad of economic development, social policy and politics. It aims to shed light on why some countries have been more successful than others in tackling poverty. A policy regime refers to the ways institutions and policies are interconnected in different sectors of a country's political economy. This may produce institutional complementarities; i.e., effectiveness of one institution or policy in a particular sector may lead to, or require, complimentary institutions and policies in other sectors. A policy regime has distinctive historical roots or "path dependence", and normative values, and provides a context for understanding the strategic behaviour of actors, including policy makers, interest groups and citizens more broadly. It challenges policy convergence theories by pointing to a diversity of development and welfare paths, which may have different effects on poverty.

68 The programmes of most UN agencies now have a poverty dimension, which is informed by the targets set by the MDGs and the Poverty Reduction Strategy Papers (PRSPs). However, there is very little systematic work on how the dynamics of development strategies, social policies and politics, analysed through a policy regime framework, shape poverty outcomes. Most research within these

agencies tends to be linked to the specific mandate of each institution. For example, the International Labour Organization (ILO) tends to focus on the links between employment and poverty, the World Health Organization (WHO) on health and poverty, and the United Nations Conference on Trade and Development (UNCTAD) on trade and poverty. The annual flagship reports of the UNDP, UNDESA and the World Bank increasingly address issues of poverty and inequality that are relevant for the UNRISD research. The United Nations University/World Institute for Development Economics Research (UNU-WIDER) and the UNDP's International Poverty Centre conduct research on growth, poverty and inequality. Both provide useful insights on measurement issues and on the effects of economic policies on poverty. The WHO is carrying out research on the social determinants of health that have implications for understanding poverty and inequality between and within countries. The International Institute for Labour Studies' (IILS's) research programme on Decent Work in Development addresses the issue of development paths and employment promotion. A sub-project seeks to understand new ways of managing the demands for flexibility and security in the social models of Europe and Latin America. UNRISD will collaborate with these agencies on issues of common interest.

69 The UNRISD project has two components. The first involves research of a comparative nature on policy regimes and poverty reduction; and the second involves preparatory work for an UNRISD flagship report on poverty.

70 The Swedish International Development Cooperation Agency (Sida) has provided funding for this project, which is coordinated by Yusuf Bangura.

Progress

71 During the reporting period, work focused on reviewing the literature on policy regimes and poverty reduction, identifying case study coordinators and thematic paper writers, setting up research teams, and making preparations for the project's methodology workshop. The project coordinator prepared two draft background papers. The first surveyed the literature on policy regimes, highlighting the insights policy regime frameworks have yielded in development studies, especially on welfare state development and varieties of capitalism; and the problems that may need to be overcome when applying the frameworks to developing countries. Following in-house discussion of the paper, it was decided to focus on countries with a developmental track record. The second paper reviewed the experiences of a variety of developmental states in addressing issues of development, social policy and poverty; and suggested a framework for selecting case studies for the comparative research.

Comparative research studies

72 The comparative research has three parts.

In-depth case studies

73 The first deals with research to be undertaken in cases where the state has historically been involved as an active agent of development and that can boast of some growth spells and attempts at structural transformation. Botswana, Brazil, Costa Rica, India, Kenya, Malaysia, South Africa and Taiwan Province of China have been selected for in-depth research. These eight cases have been distinguished according to how successful they have been in achieving structural transformation. This refers to progress made in shifting the composition of employment in favour of manufacturing; the extent of formal employment and labour market integration; differences in labour productivity and income levels or wage dispersion across

sectors; shifts in the composition of exports in favour of manufactures; and differences in the investment-export nexus, including capacities to meet the import needs of industries. The eight cases have been classified into three types: those that have attained high levels of structural transformation; those with medium levels of structural change; and those with low structural transformation. They have been further divided according to whether they were authoritarian or democratic when they embarked on a developmental growth path. This is a crude classification, as some countries in Latin America have historically experienced cycles of authoritarian and democratic rule. However, if research is sensitive to political and economic transitions, it may be possible to identify more than one policy regime in one country.

74 For each case, there will be six researchers, with one researcher responsible for each of the following areas: development strategy, macroeconomic policy and poverty; the causes, dimensions and dynamics of inequality and poverty; welfare regime, social protection and poverty reduction; welfare regime, social services and poverty reduction; organized interests, development strategies and social policy; and developmental state capacity and institutional reform. Researchers will analyse the various dimensions of poverty, disaggregated according to income groups, gender, ethnicity, spatial location and life cycles. They will trace trends in poverty over long periods, paying close attention to differences in poverty outcomes when countries change or reform their policy regimes; and highlight groups that consistently have remained in poverty. During the reporting period, coordinators were selected for each case, detailed terms of reference were prepared, and the research teams were in the process of being constituted.

- *Botswana* — Coordinator: Onalenna Selolwane (University of Botswana, Gaborone); Happy Kufigwa Siphambe, Dolly Ntseane, Keitseope Nthomang, Gervase Maipose
- *Brazil* — Coordinator: Sonia Draibe (Universidade Estadual de Campinas [Unicamp], São Paulo); Pedro Luiz Barros Silva, Marcos André Campelo de Melo, Marcio Pochmann, Wilnes Henrique, Brasílio Sallum
- *Costa Rica* — Coordinator: Juliana Martínez Franzoni (University of Costa Rica, Saint Jose); Juan Manuel Villasuso, Isabel Roman, Albert Cortés Ramos, Jorge Vargas Cullel
- *India* — Coordinator: Nagaraj Rayaprolu (Indira Gandhi Institute of Development Research, Delhi); M.H. Suryanarayana, Gita Sen, D. Rajasekha, Mihir Shah, P.S. Vijay Shankar, Vivek Chibber, Atul Kohli
- *Kenya* — Coordinator: Mohmud Jama (Institute for Development Studies, University of Nairobi); Joseph Onjala, Chweya Ludeki, Winnie Mitullah, Rosemary Atieno, Adams Oloo
- *Malaysia* — Coordinator: Khoo Boo Teik (Universiti Sains Malaysia, Penang); Khoo Khay Jin, Saidatulakmal Mohd, Halim Salleh, Francis Loh Kok Wah, Abdul Rahman Embong
- *South Africa* — Coordinator: Jeremy Seekings (University of Cape Town); Nicoli Nattrass
- *Taiwan Province of China* — Coordinator: Yeun-wen Ku (National Chi Nan University, Nantou Hsien); Yu-fang Chang, Jen-Der Lue, Jun-Rong Chen, Ling Ping Chen, Chung-Hsien Huang

75 The research issues to be addressed in each case study are summarized below.

Development strategies

76 Development strategies are key in explaining the growth paths of countries and structural transformation. Research will focus on strategies aimed at industrial transformation and how these impact other sectors of the economy, such as

agriculture, services and the informal sector. Most of the cases selected for study have pursued a combination of import-substitution industrialization and/or export-led growth. Import substitution strategies can be differentiated according to the emphasis placed on skilled and unskilled labour utilization and capital intensity; and the way import substitution is combined with other strategies such as land reform, export promotion and income redistribution. Both strategies provide different sets of incentives to producers, including in the area of state-business relations, and facilitate or constrain efforts to build developmental state capacity. The research will throw light on the processes and levels of structural change, the sectors of the economy that drive the growth process, and the extent to which the growth strategies affect labour markets across sectors. It should provide insights into how the dynamics of the economy and the growth path affect employment, income distribution and poverty, including the effects of tax policies on poverty and inequality, before social transfers are effected.

Wealth and income inequalities and poverty

77 The research will examine causes, patterns and dynamics of wealth and income inequalities, and how different policy regimes have tackled them. Recent studies suggest that there has been a sharp rise in the share of capital and a decline in wage shares in national incomes across countries. This has been linked to financial liberalization; regressive tax policies; privatization programmes in contexts of weak regulations; public expenditure policies that fail to protect the poor during adjustment periods; and labour market policies that emphasize wage flexibility, informalization, and erosion of minimum wages and union bargaining power. Associated causes are differentials in educational attainment levels; technological change that has produced wide wage differentials between skilled and unskilled labour; high levels of inequality in land ownership; rural wage differentials; and differential access to credit and basic production inputs in the agrarian sector. High levels of inequalities have been shown to reduce the growth elasticity of poverty: in other words, if inequalities are high, a country will need higher levels of growth to reduce poverty. However, levels of inequalities differ across countries; and some successful developmental states achieved both high growth and low inequalities, even if recent trends suggest that inequalities are exacerbated as more market-oriented reforms are adopted.

Social policy and poverty reduction

78 Research in this area will address issues of social protection and social services. Even when employment levels are high, social policies are often decisive in lifting people out of poverty. Here we are interested in the role of social policy in aiding development and in providing protection and basic services to the broad mass of the population. It has been shown that poverty levels are drastically reduced in most Organisation for Economic Co-operation and Development (OECD) countries after social transfers have been effected, with the most significant reductions apparent in social democratic countries that have comprehensive social policies. The developmental role of social policy is captured in data showing that successful late developers have high social investments; and that social insurance funds are often used to speed up industrialization, especially in the building of infrastructure. The state's active role in human capital development also helps to stabilize employment as firms may be reluctant to shed skilled labour; and in some cases such social investments may even help firms and labour to accept flexible employment policies if they are necessary for development. However, not all development-oriented social policies impact positively on the poor. In some successful cases, poverty reduction is largely a function of employment expansion, given the strong link between social protection or insurance and employment. Post-transfer redistributions in such cases may not

necessarily favour the poor and the unemployed, especially in countries with low rates of formal wage employment.

79 Systematic data will be collected on social expenditures; social security expenditures as a proportion of gross domestic product (GDP), disaggregated according to programmes; institutional divisions (state, market, community, family, non-governmental sector) in welfare provision; funding of social security programmes (proportions allocated through the budget and through voluntary or compulsory contributions); comprehensiveness and monetary value of programmes; coverage levels of programmes; eligibility criteria (whether they are targeted at certain groups and the conditions attached, or whether they are universal); replacement rates (proportion of lost income covered by benefits); spending on human capital development (education and training); and use of social funds for development purposes.

80 Research will also focus on three basic social services: education, health and water. It will examine the evolution of policies and institutions for the provision of these services; the role of basic services in the welfare regime and development strategy; and the role of universalism and targeting in general service provisioning, and in relation to each of the three services. It will examine trends in aggregate public spending on basic services covering periods of growth, crisis and adjustment (whether expenditures rise in good times and are protected or retrenched in bad times); distribution of expenditures in the social sector (salaries, inputs and services; primary, tertiary, specialized sectors; regional, rural, urban locations; income groups, gender); sources of funding for basic services; and effects of commercialization/privatization on coverage, quality, and price/affordability of services, with outcomes disaggregated according to income groups, gender and location.

81 Research should reveal in each case study the extent of redistribution and impact on poverty and inequality after social transfers have been effected.

Politics of poverty eradication

82 Two sets of issues will be addressed: organized interests and poverty reduction, and developmental state capacity and institutional reform. The first will examine the strategic interactions of organized groups and state actors in policy making that have a bearing on development, social policy and poverty in each policy regime. It will address the institutional arrangements that structure relations between the state and organized groups of business, workers, farmers and informal sector artisans in pursuing development, social risk management and poverty reduction; conditions under which organized groups, acting separately and collectively, have impacted development strategies and social policies; situations in which groups are likely to internalize goals of national development and macroeconomic stability in their policy preferences; how the interests of the unorganized poor can be incorporated in the preferences of organized groups and in public policy; the links between organized groups and political parties in influencing the direction of social policy and poverty reduction strategies; and how different groups have coped with pressures for neoliberal policy reform in advancing group welfare. The second will address the importance of state capacity in development, welfare policy and poverty reduction. It will examine efforts by countries to develop bureaucratic capacity and developmental ethos in the state system, as well as analyse current market-driven approaches to state reform that assume an ideal set of institutions for winning the confidence of investors, stimulating growth, and making service providers responsive to the needs of clients.

Overview papers

83 Nine countries have been identified as cases where the comparative research will take the form of overview papers: China, Finland, Ireland, Mauritius, Mozambique, Republic of Korea, Singapore, Sri Lanka and Viet Nam. These represent four types of cases: late industrializers that have experienced high levels of structural change; countries with a good record in poverty reduction in recent years that have pursued heterodox economic policies; countries that historically have done well in human development with low per capita incomes; and countries in transition from communism to capitalism. These countries have also been classified according to the comparative framework developed for the eight in-depth case studies. They will address most of the issues outlined above for the eight case studies. The following researchers were identified in 2006, and research outlines were received for the first three studies.

- Huck-ju Kwon (Sung Kyun Kwan University, Republic of Korea) — *Development Strategies, Welfare Policies and Poverty Reduction in Korea*
- Peadar Kirby (Dublin City University, Ireland) — *Development Strategies, Welfare Policies and Poverty Reduction in Ireland*
- Jaakko Kiander (Government Institute for Economic Research, Finland) — *Development Strategies, Welfare Policies and Poverty Reduction in Finland*
- Saman Kelegama (Institute of Policy Studies, Sri Lanka) — *Development Strategies, Welfare Policies and Poverty Reduction in Sri Lanka*

Thematic papers

84 The third part of the work on comparative research involves commissioning of thematic papers on policy regimes and poverty reduction. The following papers were commissioned during the reporting period:

- Alice Amsden (Massachusetts Institute of Technology, United States) — *Development Strategies and Poverty Reduction in Historical Perspective*
- Robert Boyer (Centre pour la recherche économique et ses applications [CEPREMAP], France) — *Institutional Complementarities, Growth Strategies and Poverty Reduction*
- Adrian Leftwich (University of York, United Kingdom) — *Developmental State Capacity and Institutional Reform*
- Sanjay Reddy (Columbia University, United States) — *Tracking Global Inequality and Poverty: Problems of Methods, Data and Outcomes*
- Franklin Serrano (University of Rio de Janeiro, Brazil) — *Functional and Personal Distribution of Income*
- John Stephens (University of North Carolina, United States) — *Welfare Regimes and Poverty Reduction*

Workshop

85 By the end of the reporting period, plans were well under way for the project methodology workshop, to be held in Geneva in February 2007. Outlines of the thematic papers, overviews of research to be conducted in the project's eight cases studies, and the papers on Finland and Ireland were to be discussed at the workshop. Staff from the ILO, UNCTAD and WHO working on poverty and development were also expected to participate.

Flagship report on poverty

86 The second component of the project involves preparatory work for a flagship report on poverty, to be published in 2009. The following tasks were carried out during the reporting period.

- A draft outline of the report, with brief summaries of issues to be covered in each chapter, was prepared by the project coordinator. This document was discussed internally and later revised.
- The outline provided a basis for the preparation of chapter outlines by UNRISD research coordinators who will be responsible for preparing the chapters of the report. Three internal meetings were held to discuss these chapter outlines.
- A series of papers were identified for commissioning as inputs to the chapters to be prepared for the report.

87 The planned structure of the poverty report is as follows:

- *Introduction*
- *Section One: Economic development and poverty*
 1. Development strategies and poverty reduction in different policy regimes
 2. Macroeconomic policies
- *Section Two: Inequality and poverty*
 3. Wealth and income inequality
 4. Gender inequality
 5. Ethnic and spatial inequalities
- *Section Three: Social policy and poverty*
 6. The multiple goals of social policy
 7. Institutions of social provisioning
 8. Social protection
 9. Universal basic services
 10. Care and poverty
 11. Financing social policy
- *Section Four: The politics of poverty eradication*
 12. Organized business and social policy
 13. Social movements and poverty reduction
 14. Democratization and the politics of poverty reduction strategies
 15. Developmental state capacity and institutional reform
- *Conclusion*

Financing Social Policy

Background

Context

88 This new research, which was initiated in 2006, builds on the extensive body of research carried out under the previous five-year research project, *Social Policy in a Development Context*. Social policy is a central instrument to achieve a socially inclusive and democratically anchored development process. This project explores the kinds of financial arrangements that allow social policy to be sustainable, equitable and conducive to economic development. It seeks to identify the options that are available, the challenges and constraints, the necessary institutional reforms, and the lessons that can be drawn from past experience.

89 The financing of social policy is at the interface between social and economic policy. However, due to the prevailing reductionist approach to social policy in the current literature, which tends to interpret social policy as a mere subcategory of fiscal policy, the precise links between economic and social policy are not well understood. The experience of welfare politics in the post-war era, together with lessons derived from late-industrializing countries and the literature on developmental states, show strong synergies between the two spheres of policy making. In this sense there is an urgent requirement for more policy coherence between the “economic” and the “social”. On the other hand, the trade-offs and constraints that define the “policy space” have to be taken into account.

90 From a macroeconomic perspective, funds are fungible and social spending has to be financed out of aggregate current income and debt. Therefore, the “fiscal space” (as well as the availability of private resources) depends on general economic performance and the capacity of an economy to generate income. On the other hand, social policy is not just a dependent variable of the broader macroeconomy. There is strong evidence that social policy has a positive effect on growth and income generation through strengthening skill development, capabilities and productivity and via its contribution to stabilization, cohesion and security. When such positive synergies are exploited, higher investment in social protection and social provisioning can be financed out of (and contribute to) a growing economy, whereas funding conditions can also improve as consequence of stronger links and enhanced trust between the state and its citizens. This can lead to higher tax compliance and raise support for a social contract based on principles of equity and universal rights for all.

91 Because the way social expenditure is financed is not neutral in its distributional or developmental effects, a deeper understanding of financial issues related to social policy requires a more complex approach. More research is needed to understand whether public expenditures follow different “rules”, compared with private spending, and whether domestic resources have a different bearing on welfare policies and development than foreign resources. Ideally, revenue and expenditure policies for social provisioning have to respond to principles of efficiency, equity and democratic accountability, and they should be embedded in and support a broader macroeconomic framework that is conducive to productive investment and employment.

92 Theories of social policy and public finance suggest a link between the source of finance and the character of the benefit. For example, universal benefits are financed out of general taxes; individual insurance plans by workers’ contributions; and occupationally based social insurance by workers’ and employers’ contributions. However, the relationship becomes less clear if external resources and private resources are taken into account. As is the case with financing sources, different financing techniques (pay-as-you-go versus partially or fully funded schemes, user fees, targeted programmes) are associated with different impacts on production, redistribution and protection. Social insurance funds, for example, have frequently been used to support the needs of industry and infrastructure development. Private pension funds are said to contribute to the development of domestic financial and capital markets and to increase national savings in the long term.

93 Studies on the financing of social policy are usually integrated into a public finance framework using public accounting techniques. Sector-specific approaches are frequently chosen, wherein different methods of financing health care, pensions, education and social assistance are discussed. Innovative approaches (summarized under the label “new public finance”) offer instructive insights on how governments channel public and private financing to national and global public policy challenges. This rich body of existing literature will provide important inputs for the research project and is especially relevant as a conceptual background for the case studies.

Approach

94 In a departure from more common approaches, this project is framed around the revenue side of social policy. Several subprojects will be developed to look at taxation, social insurance contributions and social funds as well as the specific

possibilities and challenges associated with foreign-exchange resources like mineral rents, remittances and aid. As regards the expenditure side, this project refers to the debate on selective versus universal social policy interventions (“targeting versus universalism”), reflecting the current paradigmatic division in the scholarly and development community. Country case studies will attempt to account for impacts, patterns and problems associated with resource allocation, as the way states finance social policies can have a direct bearing on development objectives. Because social policy is not only concerned with protection and redistribution, but also with social cohesion, equality, rights, democratization, and the productive and reproductive system, each revenue source considered in this project—taxation, social insurance, social and pension funds, remittances, mineral rents, and aid—will be systematically analysed according to its potential to affect these multiple roles of social policy.

95 The following overarching questions guide UNRISD research on financing social policy:

- What are the financial options for developing countries that aim to implement social policies in order to build societies that are economically productive, democratically anchored and socially inclusive?
- How is the funding of social policies shaped by market constellations, legacies of the past, and political and institutional capacities of the present?
- What is the link between the quantity and quality of social expenditure and social development, and how do different developmental regime types differ in this respect?
- What is the role of external actors and advisors, policy models and ideologies? What is the impact of globalization and related governance structures on financing social policies in a development context?
- How are issues of solidarity, equity, vertical and horizontal inequalities addressed?
- What specific challenges are associated with crisis states and (post-) conflict societies?

96 Related work being carried out within the UN system includes that by the ILO on social security, financing social protection and pensions; by UNU-WIDER on “globalization, finance and growth” and on fiscal policy and poverty reduction, including publications on taxation and public finance; by the International Organization for Migration (IOM), ILO, the Inter-American Development Bank (IADB) and the World Bank on remittances and migration; and by the International Monetary Fund (IMF) and World Bank on taxation, social protection and pensions. The design of the UNRISD project—looking at different revenue sources and linking them to social development and social policy on the basis of a common analytical framework—is innovative and unique. The approach is comprehensive and multidisciplinary and brings together separate theoretical literatures like public finance, political economy of policy reform, financing of social security, policy and welfare regimes, and development economics.

97 The project *Financing Social Policy* is funded by a research grant from the Ford Foundation and is coordinated by Katja Hujo. Further fundraising will be necessary in order to carry out the planned research under the different subprojects. For this purpose, donors have been contacted and invited to the first workshop on this project.

Progress

98 During the current reporting period, a background paper was prepared, outlining the broad framework for research activities and comparative country case studies. Eleven papers were commissioned, as follows:

- Mukul G. Asher (Lee Kuan Yew School of Public Policy, Singapore) — *Provident and Pension Funds and Economic Development in Selected Asian Countries*
- Enrique Delamonica (St. Peter's College, New Jersey, United States) and Santosh Mehrotra (independent researcher) — *Pro-Poor Financing of Social Services*
- Erling Holmøy (Statistics Norway) — *Mineral Rents and Social Policy: The Case of the Government Oil Fund in Norway*
- Hein De Haas (Oxford University, United Kingdom) — *Remittances and Social Development*
- Rubén M. Lo Vuolo (Centro Interdisciplinario para el Estudio de las Políticas Públicas, Argentina) — *Social Exclusion and Labour Markets in Latin America: Limits and Potential of Different Approaches*
- Carmelo Mesa-Lago (Emeritus Professor, University of Pittsburgh, United States) — *Social Insurance, Labour Markets and Coverage in Latin America*
- Oliver Morrissey (University of Nottingham, United Kingdom) — *Aid and the Financing of Public Social Sector Spending*
- Manuel Orozco (Inter-American Dialogue, United States) — *Remittances and Social Development: The Latin American Experience*
- Andrew Rosser (University of Adelaide, Australia) — *Natural Resource Wealth and Development: Evidence and Issues*
- Alice Sindzingre (Centre National de la Recherche Scientifique, France) — *Financing Developmental Social Policies in Low-Income Countries: Conditions and Constraints*

Workshop on Financing Social Policy

99 By the end of the reporting period, planning of the first project workshop was well under way. The workshop, to be held in March 2007, is intended to serve three purposes: (i) bring together the commissioned authors and other experts in social policy and the political economy of the various revenue sources, for discussion and debate; (ii) refine the methodology for subsequent stages of the project to ensure that the comparative dimensions and methods for assessing them are clearly defined; and (iii) narrow down the selection of country case studies for the subprojects on taxation, social insurance, social and pension funds, mineral rents, remittances and aid.

Social Policy Index

Background

100 This project aims to develop a social policy index (SPI), that is, a composite index that can contribute to understanding different types of social policy regimes within the broader economic and social structures of each country. The SPI is an input-based index that quantifies each country's priorities in terms of social policy and development. As such, the SPI can contribute to academic inquiries on social policy, and it can also be a useful advocacy tool for policy actors. The construction of the SPI is the first phase of a larger research project on determining the social policy "effort" of countries.

101 While recognizing the breadth of the social policy area and the necessity of rich, qualitative socioeconomic and political data for understanding the real situation in any country, the project has the following objectives:

- to compile statistics on social policy;
- to construct an SPI;
- to rank countries and assess their performance over time;
- to compare this input index with outcome measures, in order to evaluate policy effectiveness;
- to initiate public and scholarly debate on social development and the usefulness of relevant policies; and
- to classify countries according to the type of their social policy regime.

102 Many international organizations—such as the World Bank, the OECD and various UN agencies—have been active in generating and compiling socioeconomic statistics. However, there is currently no index of social policy. The closest to this initiative would be the OECD’s annual publication, *Society at a Glance*, and the Social Expenditure Database. However, these are compilations of socioeconomic statistics from OECD countries, and are not in the form of an index.

103 This research is supported by UNRISD core funds and coordinated by Naren Prasad.

Progress

104 The project issues paper was finalized during the current reporting period, and another paper was also prepared by the project coordinator (*Impact of Economic Globalization on Social Spending*). Together these documents provide the background and rationale for the research, and present the theoretical framework and methodology to be used.

Theoretical framework

105 The theoretical framework follows closely from the findings and approach of the project *Social Policy in a Development Context*: social policy is defined as state intervention that directly affects social welfare, social institutions and social relations. It involves overarching concerns with redistribution, production, reproduction and protection and works in tandem with economic policy in pursuit of national social and economic goals. Esping-Andersen’s pioneering work on welfare regimes, and how state activities are interlocked with the market’s and the family’s role in social provision, is also relevant to this framework.

Methodology

106 Composite indicators are capable of integrating large amounts of information in straightforward formats that can be easily understood by a general audience. Such indicators provide simple illustrations of complex and sometimes abstract economic, social, environmental and technological issues. Their trends are often easier to interpret than those of the various separate indicators. They are increasingly recognized as useful tools in policy analysis and public communication—that is, for initiating policy debates and attracting attention to particular issues.

107 Based on definition of social policy presented above, the SPI can be constructed as follows:

$$SPI = \alpha(\text{human capital}) + \beta(\text{distribution}) + \delta(\text{protection}) + \lambda(\text{reproduction})$$

where

- *human capital* includes spending on education, health, housing, water supply and sanitation;
- *distribution* comprises progressivity of taxes and other redistributive policies; there are several forms of distribution, including vertical redistribution (from rich to poor), horizontal redistribution (on the basis of needs), redistribution between different groups, lifecycle smoothing (education mainly goes to the young, health care and pensions mainly to the old), compensation for unequal distribution within the family, and the national minimum wage;
- *protection* stands for social protection measured by a social security index and social welfare spending; this is the traditional meaning of social policy in terms of social risks such as poverty, homelessness, disability, violence, sudden death, unemployment, old-age illness, income loss; and
- *reproduction* signifies policies for the family and gender equity; the family is an important actor influencing decisions regarding welfare and labour market issues.

Expert group meeting

108 An expert meeting was held on 8 December 2006 in Geneva to discuss the feasibility of this project. The participants endorsed the construction of an SPI and the proposed framework (production, protection, distribution and reproduction), and agreed that, if done correctly and kept simple, it could generate significant interest among policy makers, academics and the general public.

109 It was agreed that background papers would be commissioned (on methodologies of constructing indices and sensitivity analysis; multiple indicators–multiple cause [MIMIC] approach to SPI; and using the capabilities approach for a social policy index).

110 The dataset covering various social, economic and institutional variables compiled during the previous reporting period was regularly updated.

Programme Development

Transnational Economic Migration and Social Development

111 A proposal for a new project, *Transnational Economic Migration and Social Development*, was completed during the reporting period and submitted to potential donors. If funded, the project will examine the linkages between international labour migration, social policy and development in the context of South-South migration flows. Thematic papers and six country case studies are foreseen to address the relevance of phenomena such as remittances, “brain drain” and “transnationalism” for migration and social policy in developing countries. This project will be carried out over a period of two years and will be led by an external coordinator.

112 Work is being carried out by the ILO on international labour migration, and related issues are raised in the context of the United Nations High-Level Dialogue on Migration and Development. However, the link between migration, social development and social policy has not been made so far in a systematic manner. The UNRISD project will draw on the literature of the migration-development nexus, and will go beyond the productivist focus of parts of that literature. The

empirical research will focus on South-South migration flows, which is a fairly under-researched area, with an emphasis on implications for social policy, including at the regional level.

Social Policy in Russia

113 A group of Russian social policy experts was contacted in March 2006 to carry out a book project on *Social Policy in Russia*. Eight commissioned papers are planned, as is a workshop and the publication of edited volumes in two languages (English and Russian). The planned papers will cover issues like macroeconomic trends and institutional change, demographic transformations (for example, low fertility), health care policy, the education system, the pension system, the influence of state policy on inequality and poverty, regional inequalities, and changes in the value system observed through public opinion surveys. The project will be financed by UNRISD core funds.

114 UNDP Russia is carrying out work on adapting the MDGs for the Russian context, and the UN Resident Coordinator System in Russia hosts various theme groups, some of which relate to areas of social policy, but these are not research-focused. The UNRISD project will be one of the first to systematically and holistically examine the transformations that have occurred in Russian social policy in the context of dual transitions.

Social Policies in Small States

115 A research proposal was prepared for a new project on *Social Policies in Small States*. The rationale for this research is based on the observation that many small economies have succeeded in formulating ingenious social development policies to overcome their vulnerabilities. Numerous smaller countries have relatively higher rates of economic growth, GDP per capita or Human Development Index compared with the rest of the world. This research will investigate the reasons behind such results, starting from the hypothesis that small countries tend to entertain more durable “social pacts” and consensual democracy, effectively use their jurisdictional resourcefulness, and are richer in social capital. Such assets can lead to social policies that promote social development, equity and cohesion, and, eventually, better quality of life. If funded, this research is planned as a two-year project including 10 to 15 case studies.

116 Other UN agencies are concerned with a range of issues facing small (island) developing states—the United Nations Educational, Scientific and Cultural Organization (UNESCO) (mainly related to science), the Food and Agriculture Organization of the United Nations (FAO) (related to food production), the United Nations Environment Programme (UNEP) (related to environment), UNCTAD and WTO (related to trade). The United Nations Commission on Sustainable Development continuously reviews the implementation of the Barbados Plan of Action (considered the blueprint based upon which small island developing states and the international community aim to address the economic, social and environmental aspects of national and regional sustainable development in such states) and the Mauritius Strategy of Implementation. The proposed UNRISD project would aim to contribute through a coherent research effort that brings together the social, environmental, political and economic spheres.

PROGRAMME ON DEMOCRACY, GOVERNANCE AND WELL-BEING

117 Democracy currently enjoys the status of a core value in the discourse of the international development community, where a consensus seems to have emerged that democracy improves the quality of public policies. However, the performance of many countries in promoting basic rights, public services and the well-being of citizens is inadequate. Research under this programme area will seek to understand the constraints that new democracies face in improving citizens' well-being, defined as improvements in livelihoods, social services and social protection. It will also aim to study how different democracies promote the well-being of their citizens, and the role of social policies in consolidating complex transitions to democracy.

118 The final Programme Paper from the past project, *Technocratic Policy Making and Democratization*, was published during the reporting period, as was the synthesis volume from another past project, *Public Sector Reform in Developing Countries: Capacity Challenges for Improved Services* (Yusuf Bangura and George Larbi, eds.). Two Programme Papers were published from the more recent work on *Ethnic Structure, Inequality and Governance of the Public Sector*, as were three copublications: *Ethnic Inequalities and Public Sector Governance* (Yusuf Bangura, ed.), *Post-War Bosnia: Ethnicity, Inequality and Public Sector Governance* (Florian Bieber), and *Representing India: Ethnic Diversity and the Governance of Public Institutions* (Niraja Gopal Jayal). These were the first three of an 11-volume series with Palgrave Macmillan. The manuscript for the fourth volume, *Trinidad and Tobago: Ethnic Conflict, Inequality and Public Sector Governance* (Ralph Premdas), was submitted to the publisher in May 2006.

119 Progress made during 2006 under two of the new research topics in this programme area, *Politics of Poverty Reduction Strategies* and *Organized Groups and Welfare Development*, is covered under the project *Poverty Reduction and Policy Regimes* (pp 17–23). There was no additional programme development during the current reporting period.

120 This programme area is coordinated by Yusuf Bangura.

PROGRAMME ON MARKETS, BUSINESS AND REGULATION

Introduction

121 Business-state relations and the role of the market in social development have undergone profound changes in recent decades as a result of policy and institutional changes related to economic liberalization, privatization, commodification, and new approaches to regulation and governance. The implications of these developments for social well-being, equity and democratic governance are profound and are the focus of research under this programme.

122 Work on these issues is organized under the following research areas:

- social effects of the privatization of public services;
- role of business in poverty reduction;
- business influence on social policy and development strategies; and
- social and policy responses to “corporate globalization”.⁵

123 Work undertaken in these areas builds on research completed under previous projects, including: *Business Responsibility for Sustainable Development*; *Commercialization of Health Care: Global and Local Dynamics and Policy Responses*; and *Commercialization, Privatization and Universal Access to Water*.

124 Three projects were under way during the reporting period in this programme area. The final workshop of the project *Social Policy, Regulation and Private Sector Involvement in Water Supply* was held to present and discuss the main findings; a research wrap-up is presented in this report. Research on *Business and Poverty Reduction* got under way with a project on *Public-Private Partnerships for Sustainable Development*. In collaboration with the Copenhagen Business School (CBS), UNRISD commissioned seven papers and co-hosted a conference in Copenhagen, and one Programme Paper was published. Work was carried out on a background paper for the project *Organized Business and Social Policy*, and a call for papers was prepared.

Social Policy, Regulation and Private Sector Involvement in Water Supply

Research Wrap-Up

125 Privatization of public utilities is often proposed within the general context of liberalization and deregulation that has been taking place in recent decades. The water sector is no exception, with the biggest challenges being maintenance of water infrastructure and increasing coverage. Over 1.1 billion people worldwide—especially in the developing world—currently lack access to drinking water, and this has now been recognized by the international community as a major obstacle to poverty reduction. Target 10 of the Millennium Development Goals (MDGs) is

⁵ Work in this area forms part of a broader project on *Social Responses to Inequalities and Policy Changes*, which is carried out in collaboration with the UNRISD programme on *Civil Society and Social Movements* (see pp. 51–52).

to “Halve by 2015 the proportion of people without sustainable access to safe drinking water and basic sanitation”.

126 The most commonly proposed approach entailed market-based reform, which includes operating systems on a full cost-recovery principle, commercialization, or private sector participation (PSP). Yet such reforms (including privatization) have encountered considerable challenges and failures, especially in developing countries. This led policy makers to focus on regulation. However, previous UNRISD research has shown the shortcomings of concession-type contracts and has documented how regulation in developing countries is faced with major challenges that render it ineffective. This takes us back to square one.

127 This research studied how and why social policies can contribute to ensuring affordable access to water while independent regulatory instruments are still being developed. The following questions were addressed: How do social policies address issues of affordability and access? What is the role of tariffs (social tariffs, increasing block tariffs, metering)? How are policies designed to help the poor (minimum service levels, subsidies)? Are the poor able to benefit from the social policies in place? More generally, how can social policies oblige the private sector to serve poor customers?

128 This project was funded through UNRISD core funds, and research was coordinated by Naren Prasad.

129 Seven country studies were undertaken:

- *Brazil* — André Luís Rossi de Oliveira, University of Brasilia
- *Colombia* — Marcela Meléndez, Fundación para la Educación Superior y el Desarrollo (FEDESARROLLO), Bogotá, and Andrés Gómez-Lobo Echenique, Department of Economics, University of Chile
- *England, Wales and Scotland* — John W. Sawkins and Valerie Dickie, School of Management and Languages, Heriot-Watt University, Edinburgh
- *France* — Arnaud Reynaud, National Institute for Agronomic Research (INRA) and University of Toulouse 1
- *Hungary* — Zsolt Boda, Institute of Political Science, Hungarian Academy of Sciences, in collaboration with Public Service International Research Unit (PSIRU)
- *Malaysia* — Cassey Lee Hong Kim, Faculty of Economics and Administration, University of Malaya
- *Burkina Faso* — Issaka Kouanda, University of Paris II Pantheon-Assas and University of Paris XII, and Mouhamad Moudassir, independent researcher

130 The selection of country studies was based on regional balance, geographic settings, level of economic development, level of poverty, degree of PSP, degree of regulatory instruments in place, and availability of reliable data. The studies examined the debates surrounding PSP within the specific political, cultural and economic settings of each country. Household data were used to analyse the issues related to access and affordability.

131 The final project workshop was held in Geneva on 11 and 12 September 2006 to present and discuss the main research results. Around 40 people participated in the meeting, including academics, representatives of United Nations (UN) agencies, the private sector, non-governmental organizations (NGOs) and policy makers.

Main findings

132 Most of the findings of the country studies show the shortcomings of PSP, and how social policies are crucial in addressing the issues of access and affordability. Social policies related to water are actually quite common in developing and developed countries alike, with the most widespread forms being income support and tariff adjustment. The former are linked to welfare systems, and include housing benefits, tariff rebates, flexible payment methods, connection subsidies and vouchers. The latter comprise increasing block tariffs, cross-subsidies and special tariffs for low-income households. The choice of social policies varies from country to country. In France and Great Britain, heavy public investment was initially used to ensure that everyone had access to piped water. It took one to two generations, with a high level of subsidies from urban to rural areas, to achieve quasi-universal coverage.

133 In terms of affordability in France, there were still 4.31 per cent of households in 2001 (representing 1.16 million households) who spent over 3 per cent of income on water bills.⁶ About 3 million people are late in paying their water bills and around 700,000 households request to reschedule their bills. Water tariffs are 33 per cent higher in areas where the private sector operates, compared with the regions supplied by the public companies. Social policies consist predominantly of ex-post assistance to those who cannot afford to pay water bills, operating a fund for rural water supply, and prohibition of disconnection. The study shows that PSP has negatively impacted the poor, and that the ex-post financial assistance has not succeeded in solving affordability problems for them.

134 In England and Wales, data reveal that in 1988, the poorest were using 3.5 per cent of their gross household income for water bills, compared with 0.4 per cent for the richest. In the aftermath of privatization, this figure increased for the poorest in 1991 and remained virtually unchanged for the richest, i.e., the poorest bore most of the brunt. In 1997 the poorest were still using 4 per cent of gross household income on water and sewerage charges, whereas the richest spent only 0.5 per cent. The 2002–2003 figures show that this burden for the poorest has started to decrease whereas it has increased for the middle class. In addition, problems related to late and outstanding payments have also been increasing recently. When comparing England and Wales (privatized) with Scotland (public), the study shows that there is no marked difference between private and public delivery of service, and that the poor do not seem to be more or less affected by either model. However, with public management in Scotland, there is more emphasis given to social equity concerns. Effective regulation (an independent economic regulatory body) and appropriate social policies seem to cushion the adverse effects of privatization. Social policies in England and Wales include income support based on property values, subsidies, a ban on disconnections, various forms of social security support and social assistance in paying water bills.

135 In Colombia, data on access show that only around 68 per cent of the poorest have access to piped water, compared with around 96 per cent of the richest. The poorest pay more in terms of share of expenditure on water bills: 0.049 per cent compared to 0.012 per cent for the richest (this figure remained unchanged between 1997 and 2003). Colombia has a large subsidy scheme, where the poorest households pay a tariff below the average cost of provision. This subsidy scheme is financed by the higher income and business sector groups, by the national and local

⁶ Although still subject to debate, there is an international norm that expenditure on water should not exceed 3–5 per cent of total household expenditure (or, in the absence of expenditure data, 3 per cent of household income).

governments, and by a special “solidarity and income distribution fund” which was designed as a cross-subsidy scheme for the poorer regions. The subsidy is based on the socioeconomic stratification of dwellings. The study shows that over 80 per cent of households are eligible for subsidies. This system is progressive and has a significant impact on poverty since most of the poor receive some benefits (low errors of exclusion). As such, it is more akin to a universal subsidy scheme than a targeted social programme.

136 In the Brazilian case, the desire to make water supply universal led to heavy investment in the 1970s and effective social policies (cross-subsidies) helped to increase the coverage to the poor. However, only 52 per cent of the poorest households had access to water supply in 1995, compared with nearly 100 per cent of the richest. This figure increased to 68 per cent in 2003 for the poorest. This implies that 45 million Brazilians still do not have access to water supply. Nonetheless, social policies gave more priority to increasing access than to issues of affordability. The study shows that water and sewage bills are much more burdensome for low-income families than high-income families. For the poorest households, around 1.4 per cent of total expenditure goes to water bills, compared with only 0.29 per cent for the richest. The affordability problem is generally dealt with through the tariff structure and all companies (public or private) practice social tariffs such as increasing block tariff and use other ex-post measures designed to help the poor households. There is currently an impasse on who has the right to grant concessions (the state or municipality) to the private sector, which is jeopardizing further progress.

137 Although piped water is available to almost all the settlements in Hungary, connection is still not universal. The proportion of the poorest without access to piped water has remained relatively unchanged since 1992, at 20 per cent. This is mainly due to financial constraints and therefore the issue of access can be redefined as an affordability question. Most households pay less than 3 per cent of their income on water bills, but the proportion paid by the poorest increased from 1.1 per cent to 1.5 per cent over the period 1992–2003. The government provides subsidies to the regions that have a high cost of production. In addition, industrial users cross-subsidize domestic consumption, and income transfers by central or local authorities absorb some of the burden of household water expenditures. Tariffs are kept low (“hidden social policy”), and no disconnection is allowed due to non-payment of bills. The private sector has increased efficiency in the system, but the investment is financed by the state. In terms of the differences between public and private provision, the study finds that PSP did not lead to price increases. This has been due to strict political control of prices, or due to the practices of the water companies that seek compensation from fixed management fees, increasing efficiency, or by choosing regions with a low cost of production (cherry picking).

138 The development of the water sector in Malaysia has been fairly uneven, with the more developed states achieving almost universal coverage, while the less developed states continue to have great difficulties in increasing access, particularly in the rural areas. This study shows that only 56 per cent of the poorest had access to water in 1994, compared with 94 per cent for the richest. These figures rose to 74 per cent and 96 per cent, respectively, in 1999. Water affordability for the households with lower income worsened during the same period. On the other hand, the affordability for the richer households improved. In 1999 the poorest used 1.45 per cent of household expenditure on water, compared with 0.68 per cent for the richest. Some of the social policies that are in place comprise state financing of water supply in rural areas, cross-subsidy (industrial

users to domestic), and lifeline block tariff. The impact of PSP on issues of access and affordability is rather mixed. PSP does not seem to have improved access to water, and it did not necessarily worsen water affordability. PSP has neither brought in additional investments to increase coverage, nor has it increased efficiency. As a result of strict policies and political sensitivity regarding tariff increase, there does not seem to be an association between PSP and higher tariffs or affordability problems.

139 The Burkina Faso study shows that the share of population with access to safe drinking water has been constantly increasing from 43 per cent in 1994 to 52 per cent in 1998 and to 61 per cent in 2003, benefiting all income groups. The time spent fetching water has also decreased as a result of putting to use more public water fountains. Yet the study shows how commercialization through private management has tried to prioritize economic efficiency to the detriment of social objectives. The effects have included increasing tariffs, dismantling social policies, privileging larger consumers, and decreasing the level of lifeline consumption. As a result, the share of expenditure on water increased for the poorest quintile but decreased for the richest income groups. The fact that the number of poor people using more than 3 per cent of expenditure on water has increased also illustrates this point. Although the efficiency of the network has substantially improved with commercialization through PSP, it is putting pressure on social policies. Moreover, the study also highlights that the poorest are often not connected to the network and therefore have to purchase water from private vendors.

140 Research findings include a growing number of failures of large-scale privatization schemes, the ambiguities of private sector participation in the water sector, and increasing public pressure against privatization. There is a need to rethink the strategy of private sector participation in water supply, which was oversold during the 1990s without giving sufficient attention to the challenges of such policy reforms. The country studies show that any reform intending to increase coverage (either through commercialization, PSP, additional investment or increasing efficiency) should be accompanied by a strengthening of social policies. These policies should be able to address the issue of affordability, especially for the poor.

Output

141 One output of this research was published during the current reporting period: "Privatisation results: Private sector participation in water services after 15 years", *Development Policy Review*, Vol. 24, No. 6, pp. 669–692 (November 2006).

142 Palgrave Macmillan accepted the collected case studies for publication in an edited volume, and a contract was concluded in September 2006.

Business and Poverty Reduction

Background

143 Business enterprises are assuming a more active role in poverty reduction programmes and projects that aim to improve the well-being of low-income groups and the socially excluded. This has occurred in a context where poverty reduction has moved up the ladder of international development priorities, state capacity and responsibility for social protection in developing countries have been constrained,

and the principle of “co-responsibility” for social development is being promoted as a core aspect of good governance. Many large corporations and business organizations have responded through pro-poor philanthropy, anti-sweatshop initiatives, corporate social welfare, corporate social investment in local community development, and participation in global, national and local public-private partnerships associated with poverty reduction.

144 Parallel to these developments, there has been an expansion of so-called social or solidarity economy, involving small producers and enterprises engaged in forms of production and trade that potentially combine mainstream economic objectives with social protection, redistribution and empowerment. This expansion is particularly evident in relation to fair trade schemes that pay small agricultural producers above-market prices for raw materials. Some countries have also witnessed a revival of cooperatives. More recently, the attention of scholars and donor agencies has focused on ways in which companies can contribute to poverty alleviation by stimulating entrepreneurship, consumer markets and supply chain networks at the “bottom of the pyramid”, that is, among low-income groups and poor communities that account for the majority of the world’s population.

145 Various United Nations (UN) commissions, conferences and agencies have promoted these approaches. They include the World Summit on Sustainable Development (WSSD), the World Commission on the Social Dimension of Globalization, the United Nations Development Programme (UNDP) Commission on the Private Sector and Development, the United Nations Millennium Project and the United Nations Global Compact, as well as public-private partnerships such as various global health programmes and numerous projects in developing countries. The international financial institutions, bilateral agencies, business associations and non-governmental organizations (NGOs) are also supporting such approaches.

146 There is considerable debate surrounding the effectiveness of these initiatives for alleviating poverty. Some see increasing corporate engagement in poverty reduction efforts as a necessary and innovative way of mobilizing much needed resources, pooling state-business-NGO capacities and competencies, and engaging dynamic private sector individuals and organizations that can complement the efforts of governments and NGOs. There are, however, concerns that the engagement of large corporations in poverty reduction efforts may be mere tokenism, and may be incongruent with national development priorities and needs. Some fear it is a smokescreen for increasing corporate competitive advantage and market share, and for institutional capture, or an approach that focuses too narrowly on social protection, as opposed to other crucial aspects of poverty reduction related to rights, empowerment and redistribution.

147 This project, which is coordinated by Peter Utting, examines the effectiveness of the contemporary poverty reduction agenda of business enterprises, both in relation to specific initiatives and, more generally, as a strategic approach to reduce poverty and enhance the contribution of business to social, sustainable and economic development.

Progress

Public-Private Partnerships for Sustainable Development

148 An increased role for public-private partnerships (PPPs) in the developing world was one of the outcomes of the WSSD in Johannesburg in 2002. PPPs have also been promoted as part of the MDG process, and the United Nations Global Compact and several other UN entities actively encourage companies to participate

in partnership projects with multilateral, governmental and civil society organizations. While the number of PPPs and intergovernmental backing for these initiatives are significant, relatively little is known about their effects.

149 The first phase of work under the project on *Business and Poverty Reduction* commenced in 2006 with a subproject on *Public-Private Partnerships for Sustainable Development*. In collaboration with the Copenhagen Business School, UNRISD commissioned seven papers and co-hosted a conference on 15 August 2006 in Copenhagen. The conference was funded by the Center for Business and Development Studies, and the Research Network for Environment and Development (ReNED), and brought together researchers and representatives of UN agencies, bilateral donor agencies and NGOs.

150 The commissioned papers focused on the following aspects:

- the role of PPPs in shaping particular models of development;
- the effectiveness of different partnership models in promoting inclusive and sustainable development;
- the reasons why UN–business partnerships have expanded significantly in recent years, and what is known about their impact; and
- appropriate methodologies for assessing the impacts of PPPs.

151 The conference provided an update on the debate about the potential and limitations of PPPs for sustainable development in relation to service delivery, poverty reduction and political participation, assessed the concrete experiences of PPPs since the WSSD, and reviewed appropriate assessment methodologies.

152 Several papers presented at the meeting were revised for publication in a special issue of the *Journal of Business Ethics*:

- Darryl Reed and Ananya Mukherjee Reed — *Corporate Social Responsibility, Public-Private Partnerships and Human Development: Towards a New Agenda (and Beyond)*
- Shaheen Rafi Khan, Ali Shahrukh Pracha and Nazima Shaheen — *The Quest for Sustainable Forest Management: Exploring Public-Private Partnerships in the Forestry Sector in Pakistan*
- Mariene Ferguson — *The Political Economy of Public-Private Partnerships*
- Mette Jørgensen — *Evaluating Cross-Sector Partnerships*

153 The three following papers were selected to be published as UNRISD Programme Papers, in addition to appearing in the journal:

- Peter Utting (UNRISD) and Ann Zammit (independent researcher) — *Beyond Pragmatism: Appraising UN–Business Partnerships*
- Uwafiokun Idemudia (doctoral candidate, University of Lancaster) — *Corporate Partnerships and Community Development in the Nigerian Oil Industry*
- Peter Lund-Thomsen (Copenhagen Business School) — *Assessing the Impact of Public-Private Partnerships in the Global South: The Case of the Kasur Tanneries Pollution Control Project*

154 The paper on UN–business partnerships identifies the key ideational, institutional, political and economic forces that underpin the rise of PPPs in recent years and reveals the multiple, sometimes contradictory agendas and interests involved. Both the theory of partnerships and empirical studies suggest that the effects of such partnerships must be assessed from a political economy perspective: will they strengthen local capacities or simply facilitate faster and deeper penetration of foreign capital and globalization; are they really compatible with the

nature, mandates and priorities of the United Nations in general and UN agencies in particular; and how do they affect power relations among different development actors and institutions? The paper calls for a more active, critical intellectual culture in and around UN partnership activities.

155 Different models of company-community partnerships are examined in the paper on the Niger Delta region in Nigeria, where oil companies have responded to civil society pressures by adopting a variety of partnership strategies as a means of contributing to community development, building a mutually beneficial relationship with local communities and reinventing themselves as a force for good in their host communities. This paper critically examines the strengths and weakness of the different community development partnership (CDP) initiatives employed by Shell, Exxon Mobil and Total. The analysis suggests that CDPs that are “bottom-up” have more positive impact on host community development than those that are “top-down” in nature. However, neither has had any real impact on how the core business activities of oil multinational companies (MNCs) are undertaken, nor have they ameliorated the negative social and environmental impact of oil production on host communities.

156 Some of the key assumptions underlying the current debate on PPP impact assessment are scrutinized in the third paper, which argues that while insights generated through impact assessments may be used as a learning resource, what works in one place may not work in another. The paper tests the usefulness of an impact assessment framework developed by the Organisation for Economic Co-operation and Development (OECD) for aid evaluations, using a case study of a PPP between 237 leather tanneries, local government agencies, and UNDP/United Nations Industrial Development Organization (UNIDO) in Pakistan that aimed at reducing environmental pollution in the city of Kasur. The paper shows that the impact assessment methodology may be helpful in terms generating insights into the relevance, effectiveness, efficiency, impact and sustainability of PPPs in developing countries. The paper highlights, however, some of the inherent limitations associated with tools-oriented approaches to assessing the impact of PPPs. In fact, the growing interest in PPP impact assessment generally draws on approaches that turn complex questions of economic, social, and environmental justice into technical problems, often ignoring how power relations between a variety of actors, and struggles over the distribution of social and environmental benefits and risks, shape the content and outcome of PPPs.

157 Following the conference, discussions took place with researchers from the Copenhagen Business School and York University, Canada, to explore possibilities for ongoing research collaboration focusing on the role of business in poverty reduction and social development. Two activities were identified: the co-hosting of an international conference on Business, Social Policy and Poverty Reduction (see page 43: paras. 169–170); and a submission in early 2007 by York University to the Canadian Social Sciences and Humanities Research Council (SSHRC) for a project planning grant to develop a proposal to work jointly on *Competing Models for Promoting Business Contributions to Development and Poverty Reduction*. This project would compare the corporate social responsibility (CSR) and “social economy” approaches.

Organized Business and Social Policy

Background

158 Policy regimes conducive to inclusive development have often featured social pacts or compromises in which organized business interests supported, accommodated, or at least did not overtly resist, government policies associated with universal social protection, corporate social welfare, progressive labour market policies, and macroeconomic policies favourable to both economic growth and broad-based private sector development. With globalization and neoliberalism, traditional social pacts in many countries have unravelled and some business associations have supported policies with problematic effects from the perspective of social protection, equality and small enterprise development. Such policies have been associated with labour market flexibilization, the shift from progressive to regressive fiscal regimes, the weakening of universalist social protection, the privatization of public services, and certain patterns of foreign direct investment (FDI) and trade liberalization.

159 Research on the nexus between organized business and policy suffers from a number of limitations. It often generalizes about the positive or negative developmental impacts of business associations and fails to differentiate the policy positions of organized business. Much research on the role of business associations in developing countries has focused on their implications for growth and democracy, with less attention paid to social and labour market policy, or to the social implications of macroeconomic policies promoted by business associations. The current discourse on the role of organized business interests in “embedded liberalism” and “good governance”, which suggests a positive role for business associations and transnational corporations identified with CSR, often ignores the complex dynamics of business-state relations and the determinants of business support for social policies and development strategies conducive to inclusive and equitable development.

160 Within the UN system there is very little work carried out in this area. The United Nations Global Compact sponsored a one-off publication, *Towards Responsible Lobbying: Leadership and Public Policy*, but currently has no further plans to work in this area. Work at the International Institute of Labour Studies (IILS) on Social Goals in the Governance of the Global Economy is currently investigating the likely impact of emerging institutional innovations on enterprises and workers in both Europe and Latin America. The IILS Decent Work in Development research programme partly deals with understanding the impact of diverse development paths on labour, and how employment contributes to development. Wherever possible, UNRISD will collaborate with IILS on points of mutual interest.⁷

161 This research is funded out of the UNRISD core budget and is coordinated by Peter Utting.

⁷ As a first step, programme staff attended the IILS conference on *Decent Work, Social Policy and Development* from 29 November to 1 December 2006. Participation in other IILS research seminars, and informational meetings between UNRISD and IILS staff, are also planned.

Progress

Call for papers

162 Following the recommendation of the Nordic evaluation that UNRISD explore new ways of identifying and mobilizing research talent, it was decided that a call for papers would be made under this project. The topic of the call for papers would be Business, Social Policy and Corporate Political Influence in Developing Countries, and it would aim to identify innovative research on (i) how changing patterns of state-business relations are affecting development strategies, and social and labour market policy, in developing countries; and (ii) the institutional, political and economic conditions that encourage organized business interests to support progressive social policy and inclusive development strategies.

163 The call for papers was prepared and dissemination was to begin in February 2007. It was planned that selected authors would be invited to present their findings at a conference in November 2007. UNRISD also contacted potential donors in view of securing funding to commission a number of papers in this field.

Background paper

164 Work was carried out on a background paper:

- José Carlos Marques (UNRISD) — *Organized Business in Comparative Context: Understanding Business Interests and Progressive Social Policy*

165 The paper compares three capitalist “models”, highlights how the literature explains employers’ social policy preferences, and examines the role of organized business interests in the development of high-growth economies and equitable societies. It reviews how this literature explains the interrelationship between employer coordination, employee skill development, industrial competitiveness and the character of social development, while integrating key insights from other research strands including business power, CSR, organizational theory and the developmental state. The paper suggests a framework for understanding the nested configuration and feedback effects of business interests, conflict management and economic organization, and highlights the implications for current policy prescriptions concerning private sector development in developing countries.

Other Programme Activities

Conference on CSR, Popular Economy and Civil Society

166 In January 2006, UNRISD co-hosted a half-day conference on CSR, Popular Economy and Civil Society, in collaboration with the Centro para la Promoción, la Investigación y el Desarrollo Rural y Social (CIPRES). Held in Managua, Nicaragua, the event brought together 150 researchers, activists and policy makers to discuss the potential and limits of CSR, and the question of how civil society organizations and networks should relate to the CSR agenda. A diverse range of perspectives emerged. They included those that saw CSR as fundamentally a public relations exercise on the part of large firms that were interested first and foremost in short-term profit maximization at the expense of workers and the environment. According to this position, civil society organizations should not be seduced by the rhetoric of CSR and should continue to concentrate their energies on strengthening state regulatory capacity and promoting alternative forms of production and exchange associated with social economy. Others saw some potential in CSR as providing new spaces to improve the social and environmental performance of big

business, and to set higher standards of corporate behaviour. Those adopting this perspective urged civil society organizations to engage with business in social dialogues and technical assistance activities. Another perspective emphasized the need for civil society organizations to adopt an eclectic approach to CSR, collaborating through dialogue and partnerships, but also exposing contradictory corporate practices and exerting pressure for tighter government regulation.

167 Papers and presentations by the following speakers, as well as commentaries from the participants, were published in the volume *Responsabilidad Social Empresarial, Economía Popular y Sociedad Civil* (Cuadernos del CIPRES No. 30, CIPRES, Managua).

- Matthias Dietrich (Executive Director, Unión Nicaraguense para la Responsabilidad Social Empresarial [UNIRSE]);
- Orlando Nuñez (Director, CIPRES);
- Gustavo Porras (Co-ordinator, Frente Nacional de los Trabajadores); and
- Peter Utting (UNRISD).

168 The event was reported by various media outlets in Nicaragua and was important in shaping the opinions of several persons in senior policy making positions in government.⁸

International Conference on Business, Social Policy and Poverty Reduction

169 In response to the recommendation of the Nordic evaluation that UNRISD take steps to increase its visibility, and the Institute's decision to host an annual international conference on a topical development issue, planning took place for a conference on Business, Social Policy and Poverty Reduction. The planned event will bring together specialists working in two areas of academic inquiry that often remain disconnected: CSR and development, and welfare state and policy regime analysis. Subject to funding, the conference will be held in Geneva in late 2007. The conference aims to:

- assess and debate the contemporary role of large corporate interests in the international poverty reduction agenda;
- examine how business interests shape public policy, and consider whether the discourse and practice of CSR is compatible with lobbying and other forms of corporate policy influence; and
- better understand the institutional and political conditions that encourage organized business interests to move beyond rent-seeking and support broad-based development strategies and transformative social policy.

170 Selected papers identified through the call for papers (see page 42: paras. 162–163), and other papers commissioned specifically for the conference, will be presented.

Research Proposal

171 To complement work being conducted under the project *Social Responses to Inequalities and Policy Changes* (see pages 51–52), which focuses on social contestation and policy reform in Europe, a proposal was developed to examine different models of international trade and regional integration that are emerging in Latin America, and the role of civil society activism and business elites in shaping government policies associated with such models. The proposed work would

⁸ Following the change of government in January 2007.

examine the cases of Bolivia, Brazil, Chile and Nicaragua, and would be carried out in collaboration with the University of Geneva and the Geneva-based Graduate Institute of Development Studies (IUED).

PROGRAMME ON CIVIL SOCIETY AND SOCIAL MOVEMENTS

Introduction

172 The focus of current research under this programme area is on social movements and activism at the international level, as well as their impact on popular mobilization and initiatives at the national and local levels. It seeks to explore the nature, diversity and connectivity of selected transnational movements, their attempt to advance alternative proposals, including the utilization of various means and forums (e.g., international summits) and emerging policy responses on the part of the political and development establishment.

173 The current reporting period saw publication of five Programme Papers. An issue of the journal *Development*, on Funding Social Change (Vol. 49, No. 2), was produced in collaboration with UNRISD, containing 11 contributions based on work commissioned by the Institute.

174 During the current reporting period, three projects were implemented under this programme area: *UN World Summits and Civil Society Engagement*, *Global Civil Society Movements: Dynamics in International Campaigns and National Implementation*, and *Social Responses to Inequalities and Policy Changes*. Research under this programme is coordinated by Kléber Ghimire.

UN World Summits and Civil Society Engagement

Research Wrap-Up

175 The increasing engagement of civil society activism with mainstream development institutions is particularly apparent in relation to the United Nations (UN) summits. The literature shows how these forums have provided civil society organizations with new outlets for advocacy. But there is little empirical research on experiences of civil society actors in countries that have hosted summits and related processes. This UNRISD project attempted to fill this gap. The project began in 2003 and ended in 2006 (with the exception of the preparation of documents for publication). It was coordinated by Kléber Ghimire and was supported by the Ford Foundation and UNRISD core funds.

176 Brazil, Chile, China, Indonesia, Senegal and South Africa, which have held important UN conferences or preparatory meetings, were chosen to appraise the impact of UN summits on civil society at the national level. The research focused, first, on the extent to which UN summits were a meaningful mechanism for creating a political space for increased civil society density and activism. Second, it examined the range and quality of civil society activities. Third, it looked at the stimulus created by UN summits for coalition building among civil society organizations (CSOs).

Impacts on the national political space

177 World summits and prepcom activities generated opportunities for enhanced dynamism in civil society in the countries hosting UN summits. CSOs took advantage of the political space created by both formal and non-formal events to advance their claims and proposals. The broader democratization processes that had been taking place in the majority of the case study countries further reinforced their position.

178 In the case of Brazil, the United Nations Conference on Environment and Development (Rio de Janeiro, 1992) occurred in a context of ongoing political and civic activism associated with the processes of re-democratization and attempts to reconquer broader civil rights and ensure their application. The conference gave visibility to Brazilian CSOs and to their diverse perceptions of and proposals for resolving key environmental and development issues.

179 The Regional PrepCom for the Americas for the World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance held in Santiago de Chile in 2000 took place in a similar context where democratic processes were being consolidated with an important part of civil society—especially non-governmental organizations (NGOs)—actively collaborating with the state. But the need for financial resources to maintain basic organizational activities meant that CSOs often lost some measure of political independence vis-à-vis the state, and also created tensions between those CSOs working with the government and those seeking to function outside its structures.

180 In Senegal, the Fifth African Regional Conference on Women in Dakar in 1994 added dynamism to national civil society. CSOs were able to frame the international feminist political discourse in the national context, and partnered with the government in the formulation of policies on gender and the implementation of various programmes. The principal difficulty for CSOs was, however, to remain politically and financially autonomous from the government and donor agencies.

181 The organization of the World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance in Durban in 2001 and the World Summit on Sustainable Development in Johannesburg in 2002 had major impacts on South African civil society. While certain trade unions and civic organizations participated in the conferences, others chose to mount counter-mobilizations outside the conference venues. In the view of the latter, the government's neoliberal economic policies were having considerable negative impacts on public welfare and the conferences served to confer legitimacy on the related approaches of international financial and trade bodies. The confrontation of these positions marked the divisions within and among South African CSOs, thereby reducing their united voice.

182 The Bali Preparatory Committee for the World Summit on Sustainable Development, which took place in Indonesia in 2002, four years after the fall of the Suharto regime, proved, for the most part, to be an important consolidation opportunity. Many CSOs attended the prepcom, especially the parallel Indonesian People's Forum (IPF). The Indonesian government made the IPF a member of the national committee responsible for the organization of the prepcom, as well as allowing a representative to join the official summit delegation. But the legacy of the past regime, characterized by corporatist and clientelistic power structures, made it difficult to implement the principles of sustainable development, including

the participatory approach of collaboration initially conceived between the government and civil society.

183 The research concerning the Fourth World Conference on Women, held in Beijing in 1995, revealed a significant impact in raising public and government awareness of gender issues in China. While this awareness was also related to wider processes of economic reform, development of a market economy and the gradual separation of civil society from the state, the conference magnified the efforts made by such organizations as the All China Women's Federation. The government began to perceive the importance of the views and work of these bodies, facilitating certain legal changes and consultative processes, as well as allowing them increased autonomy in their work.

Impacts on the range and quality of civil society activities

184 The principal issue of interest here was to assess whether participation in UN summits and related processes intensified CSO mobilization, especially long-term advocacy and lobbying activities. Many CSOs participated in various preparatory stages—national consultation processes to draw up country position documents, expert seminars and national and regional conferences. But it was often parallel events, such as NGO meetings, citizen forums and protest rallies, that had the most significant impacts.

185 Social movements more autonomous from the government often took on a critical role that pointed to the limited scale of proposed reforms. They chose to denounce the inherent contradictions in policy measures involving, on the one hand, economic liberalization and cuts in public spending, and, on the other, rhetoric of sustainable development and human rights (of women and indigenous peoples). In South Africa, for example, following the UN summits many CSOs chose to follow an opposition line and sought to influence public opinion through the media, although other major civil society networks chose to work with the government looking for useful contacts and additional resources for the implementation of their activities.

186 Similarly, following the Bali PrepCom, many CSOs oriented their work toward building public awareness in Indonesia of the effects of international agreements on local living and working conditions.

187 In Brazil, many CSOs intensified their work in the area of environmental preservation, frequently combining this with the protection of customary rights of indigenous peoples. There was growing scope for environmental awareness campaigns in urban areas. Some environmental NGOs also integrated the lack of urban housing for low-income groups and rural land reform into their activist agendas.

188 In China and Senegal, CSOs sought direct engagement with the government in pushing forward summit agendas and action plans. In China, as the government integrated some of the ideas of the Beijing conference into its official programme by issuing new laws to raise the sociopolitical status of women and protect women's rights, it gave further legitimacy to organizations working on the gender question. In the same way, Senegalese CSOs played a role in the elaboration of a national women's action plan and in implementation of some of the activities foreseen therein, despite financial constraints.

189 In Chile, implementation of the action plans against racial discrimination, xenophobia and related intolerance remained weak. This was due in part to limited mobilization of the organizations representing some of these groups.

Impacts on coalition building among CSOs

190 One of the most important impacts of the UN summits and related processes was the possibility of forming alliances and articulating proposals jointly and coherently with other organizations. At the national level, the preparatory activities for a conference usually constituted the first opportunity for local organizations to meet for the purpose of exchanging ideas, harmonizing general approaches and planning joint initiatives. This effort was then consolidated during the official conference and, especially, the parallel forums, thus making it possible to construct horizontal networks and coalitions.

191 In Brazil, Indonesia and Senegal, these events opened up significant spaces for constructing a common vision and developing stronger networks for popular action. Even in the case of China, activities around the women's conference helped to improve dialogue among key organizations responsible for promoting gender issues, thereby breaking the monopoly of a single quasi-governmental organization in the field and allowing the construction of networks of small and regional organizations. In South Africa, on the other hand, there was a clear division between those working with the government and those preferring to operate outside its influence, with numerous networking activities occurring between these poles.

192 During a summit, it was also feasible for national CSOs to make contacts with regional and international CSO networks—exchanges that were strengthened during the post-summit period. In Brazil, the experience of organizing a parallel forum, combined with the ability to maintain contacts with regional and global networks, allowed the national CSO network to become an influential protagonist in international civil society activism.

193 In spite of these stimuli for alliances and activism among national, regional and international initiatives and networks, UNRISD research revealed that national CSOs usually confronted two major problems: a rigid institutional structure and a lack of financial sustainability. This resulted in horizontal divisions within national civil society, between those working with the government and those choosing to operate outside; between NGOs and social movements; and between those with international connections for funding and those without. As such, maintaining durable linkages among major civil society groups and mounting large-scale, long-term advocacy campaigns—in areas covered by the summit's agenda, or wider citizen interests—has proved to be an increasingly intricate endeavour in most countries, despite significant initial gains.

Lessons from the research

194 In all six countries, UN summit-related processes helped to popularize important issues, such as environmental degradation, gender inequality and racism. Many actors, including CSOs, found an increased voice during these events. Public perceptions concerning summit topics evolved, and awareness was raised concerning the need to promulgate favourable policies.

195 There was a perceptible opening for civil society engagement with political processes shortly before, during and immediately after the summits. National legal frameworks had improved; official consultations with civil society had increased;

and overall, governments seemed to recognize the value and role of civil society in addressing the issues raised by the summits.

196 UN summit-related processes stimulated linkages among civil society groups. Local organizations managed to build ties with national networks; likewise, national organizations forged links with regional and international advocacy campaigns. Some organizations even attained prominence at the international level.

197 CSO alliances and coalitions continued to function during the post-summit period, although they were sometimes weakened by increased competition for ideas, resources and contacts, as well as differing political perceptions and strategies.

198 Political engagement of CSOs during the post-summit period proved complex. Governments sought to cope with many contending demands and priorities, often engaging with CSOs primarily as service providers in the context of official policies and programmes.

199 The overall role of CSOs in stimulating citizen engagement in public policy formulation, implementation and monitoring during the post-summit period remained rather weak. A lack of adequate financial means also constrained the quality and sustainability of civil society activism during the post-summit period.

200 A dissemination meeting was being planned for early 2007 at the Ford Foundation in New York, bringing together representatives of donor agencies, UN organizations, academic institutions and NGOs.

Publications

201 The following publications were associated with this project:

- Mario Pianta — *UN World Summits and Civil Society: The State of the Art*, Programme Paper CSSM 18, 2005
- Constanza Tabbush — *Civil Society in UN Conferences: A Literature Review*, Programme Paper CSSM 17, 2005
- Britta Sadoun — *Political Space for NGOs in UN World Summit Processes*, Programme Paper CSSM, forthcoming
- Xiaoyuan Shang — *UN Summits and Civil Society: China Report* (in Chinese), UNRISD and China Social Sciences Press, Beijing, forthcoming

202 UNRISD was in the process of identifying appropriate publishers for the remaining country reports in national languages. Publishing options were also being considered for the manuscript by Nora McKeon, as well as for a synthesis volume being prepared by the research coordinator.

- Nora McKeon — *Building Links between Global and Local in the UN System: The Civil Society Dimension*
- Silvana De Paula — *De Rio-92 ao Fórum Social Mundial: O impacto de reuniões internacionais da ONU sobre na sociedade civil brasileira*
- Juan Carlos Gómez Leyton — *La Sociedad Civil chilena y la Pre-Conferencia Ciudadana contra el Racismo, la Xenofobia, la Intolerancia y la Discriminación*
- Antonio Pradjasto, Patra Zen, Donni Edwin, Sofyan Asgart, Kokkoh — *Pengaruh Pertemuan Puncak PBB Terhadap Gerakan Masyarakat Sipil Indonesia*
- Ashwin Desai and Peter Dwyer — *The World Conference against Racism and The World Summit on Sustainable Development (WSSD): A Window into South African Civil Society Relations in Post-Apartheid South Africa*

- Fatou Sarr, Pape Demba Fall, Cheikh A. Diop and Mamadou Kamara —
Impact des conférences de Dakar et Beijing sur les organisations de la société civile au Sénégal et les influences sur les politiques

Global Civil Society Movements: Dynamics in International Campaigns and National Implementation

Background

203 This project is looking at how global civil society movements are actually faring in national and local contexts. In particular, movements related to debt relief, international trade rules, global taxation, anti-corruption and fair trade/solidarity economy are assessed. Key questions for research are: How are citizens and civil society groups able to articulate their concerns and propose concrete suggestions within these movements? How are civil society movements able to facilitate exchange of information, ideas, knowledge and practical experiences among national and international bodies and civil society forces, including those population groups at the grassroots level facing socioeconomic deprivation and political marginalization?

204 The main activities include the preparation of background and thematic papers, and carrying out in-depth national studies in five countries. A conceptual paper was prepared by the research coordinator to illustrate the key concepts and methodological questions involved in contemporary global civil society movements.

205 The project is coordinated by Kléber Ghimire and is funded by the Swiss Agency for Development and Cooperation (SDC) and UNRISD core funds.

Progress

Background papers on selected movements

206 The commissioned background paper by Nelson J.V.B Querijero and Ronnie V. Amorado, on transnational anticorruption efforts, was published as a Programme Paper during the current reporting period. The papers on the global debt movement by Yovana Reyes Tagle and Katarina Sehm Patomäki, and on global tax initiatives by Heikki Patomäki, were forthcoming as Programme Papers in January 2007. A new author (Manuel Mejido, Department of Sociology, University of Geneva) was identified and a contract issued for the paper on the movement to change international trade rules and barriers.

Thematic papers

207 A set of critical thematic papers have been prepared looking more closely at the key features, processes and related implications of transnational activism to complement the background papers and national studies. The following papers were published as Programme Papers in 2006:

- Alejandro Bendaña — *NGOs and Social Movements: A North/South Divide?*
- Marco Giugni, Marko Bandler and Nina Eggert — *The Global Justice Movement: How Far Does the Classic Social Movement Agenda Go in Explaining Transnational Contention?*
- Wendy Harcourt — *The Global Women's Rights Movement: Power Politics around the UN and WSF*

Country studies on national dynamics

208 In-depth country studies have been carried out in Argentina, Bolivia, the Philippines, Senegal and Turkey, seeking to examine the resourcefulness, capacity and potential for action of the selected civil society movements in national contexts as well as their international linkages.

209 During the past twelve months, the national research teams processed the information collected through literature review, fieldwork and interviews and prepared draft national reports. In order to inform the wider audience about the research initiative at the national level, as well as to disseminate the preliminary research outcomes, each of the national teams published the second and third issues of their national newsletters.

210 The principal findings of national research as well as various background and thematic papers were to be presented at a meeting at the Nairobi Social Forum in January 2007, following which the researchers would finalize their reports for publication.

Social Responses to Inequalities and Policy Changes

Background

211 North-South inequalities and the general well-being of the mass of the Southern population are important and recurring themes of civil society mobilization and activism. Numerous studies have documented instances of contestation, grassroots resistance and NGO or transnational activism related to neoliberal policies and corporate globalization, and it is generally assumed that policy makers respond in various ways. The precise dynamics of such interaction remain obscure; particularly unclear is the issue of how activism and movements interact with traditional policy actors and institutions, and how such relationships vary under different policy regimes.

212 This research is funded by the European Union (EU) within the Sixth Framework Programme, Priority 7: Citizens and Governance in a Knowledge-Based Society, and forms part of a larger project on Inequality: Mechanisms, Effects and Policies (INEQ) being implemented by a research network of seven European universities. It is being carried out jointly by two UNRISD research programmes—*Civil Society and Social Movements* and *Markets, Business and Regulation*—and is coordinated by Kléber Ghimire and Peter Utting.

213 The project investigates the nature of social contestation, activism and policy change related to North-South inequality. Particular attention is focused on a number of areas of macroeconomic policy and institutional reform. These include:

- development aid;
- debt relief;
- international taxation;
- trade and subsidy policy; and
- corporate accountability and responsible finance.

214 In order to better understand the nature and scale of contestation and activism linked to North-South inequality and its relationship to the policy process,

in particular the extent to which mainstream policy actors and institutions respond to activists' demands, the research examines recent shifts in policies in two EU countries, the United Kingdom and France. The Institute has also been seeking to mobilize additional resources to conduct research on the civil society-public policy nexus related to North-South trade and development issues in Southern countries (see pages 43–44).

Progress

215 During the current reporting period, researchers were identified to undertake data collection and prepare reports on France and the United Kingdom. The principal researchers and themes are as follows:

- Daniela Barrier (independent consultant based at UNRISD) — Shaping and Framing Development Policy: A Comparative Analysis of Actors, Institutions and Discourse in France and the UK
- Béatrice Begué and Ismael Le Bret (University of Paris IX Dauphine, France) — Debt Relief, France
- Jem Bendell (independent consultant based at UNRISD) — Trade, Corporate Accountability and Responsible Finance, United Kingdom, and work on how activism and advocacy are adapting to changes in governance systems and the nature of public policy making
- James Brassett (Department of Politics and International Studies, Warwick University, United Kingdom) — International taxation, United Kingdom
- Michel Capron (University of Paris VIII – Vincennes-St Denis, France) — Corporate Accountability and Responsible Finance, France
- Benoît Daviron and Tancrede Voituriez (Centre de Coopération Internationale en Recherche Agronomique pour le Développement [CIRAD], France) — Trade and Agricultural Subsidies, France
- Kléber Ghimire (UNRISD) — Development Aid, France
- Edouard Morena (independent consultant based at UNRISD) — International Taxation, France
- Tasos Papadimitriou and Claire Saunders (University of Kent, United Kingdom) — Debt Relief, United Kingdom
- David Seddon (University of East Anglia, United Kingdom) — Development Aid, United Kingdom
- Peter Utting (UNRISD) — The Changing Nature of Policy Making and Activism

216 UNRISD research coordinators participated in the project launch meeting in Rome in April 2006; and the Conference of the European Association for Evolutionary Political Economy (EAEPE), in Istanbul, in November 2006. The UNRISD research team has also collaborated with the organization of a Summer School on Inequality: Mechanisms, Effects and Policies, to be held in June 2007 in Siena, Italy.

PROGRAMME ON IDENTITIES, CONFLICT AND COHESION

Introduction

217 This programme aims to demonstrate how development, social change and public policies shape identities and can contribute to marginality, inequality and conflict. The focus on identity formation and transformation among majority and minority communities, as well as their descendants, draws attention to the complexity of ethnic and national identities. With research based on this focus, this programme examines the complex ways identities and socioeconomic conditions can propel conflicts. By revealing how such identifications evolve over time and are reconfigured by political and economic changes, the research contests and offers new perspectives for terms such as “indigeneity” and “nation”. Understanding the relationships between identities, development and social change can provide direction for the future of public policies, and contribute to a greater sense of social cohesion between all groups within society.

218 Work progressed during the current reporting period on the project *Identity, Power and the Rights of Indigenous Peoples*. Project proposals on *Religion, Identity and Business* and on *Minority Groups, Generational Change and Identity Formation* were finalized and submitted to potential funders, and a proposal was developed for a project on *Affirmative Action, Identity and Conflict*. Work in this programme area is coordinated by Terence Gomez.

Identity, Power and the Rights of Indigenous Peoples

Background

219 This project draws attention to the severe marginalization of tribal communities, leading to the infringement of their rights by their own governments and certain international institutions. As a result of a long-established link to the land, indigenous peoples have historically pursued livelihood patterns consonant with generating and managing environmental resources for human subsistence and social nurturance. This approach has frequently clashed with popular notions of development and progress, leading to conflict between different groups within society.

220 Since this conflict over conceptions of development is closely linked to identity and power, there are two main dimensions to this project—power and development, and development and identity. The focus on power and development is on forms of concentration of power and its impact on the well-being and welfare of indigenous peoples. By assessing the links between the state, international financial institutions (IFIs) and transnational corporations (TNCs), the research aims to determine how power is deployed within governments and multinational institutions and between governments and indigenous groups. The research aims to draw attention to the need for states and international agencies to reconfigure authority structures and create inclusive consultative platforms so as to provide indigenous peoples with an avenue to participate in decisions that could affect their way of life.

221 The project deals with a number of issues related to the theme of development and identity, including the complex nature of the identity of indigenous peoples; the multifaceted dimensions of indigenous development; the controversial concepts of autonomy, self-determination and pluralistic governance; and the prospect of introducing and implementing new or alternative forms of institutional representation. International institutions have introduced charters noting that, in order to respect the desire of indigenous communities to continue to live in their own particular way, these communities must be accorded rights to resources that allow them to protect and maintain their livelihoods and cultural practices. But numerous problems have emerged because of the difference between the rhetoric of these charters and the realities of national and international development initiatives.

222 This project involves in-depth study of indigenous peoples in eight countries: Australia, Bolivia, Canada, Chad (and Cameroon), India, Nigeria, Peru and the Philippines. The project is funded by the International Fund for Agricultural Development (IFAD). Research commenced in 2006 and is scheduled to end in May 2007.

223 Throughout the project, UNRISD has worked closely with United Nations (UN) agencies and non-governmental organizations (NGOs) that focus on indigenous peoples, exchanging information and monitoring any developments in the field. The United Nations and the International Labour Organization (ILO) have carried out significant research and consultation on the subject of the rights of indigenous peoples. The Project to Promote ILO Policy on Indigenous and Tribal Peoples works at the policy level, through the promotion of the rights of indigenous and tribal peoples. Based on ILO Convention 169, this project produces regular reports documenting the situations of indigenous populations in Africa, Asia and Latin America. Other significant research and advocacy activity is carried out by the United Nations Working Group on Indigenous Populations (which reviews developments pertaining to the promotion and protection of human rights and fundamental freedoms of indigenous peoples), and the United Nations Permanent Forum on Indigenous Issues (an advisory body to the Economic and Social Council, with a mandate to discuss indigenous issues related to economic and social development, culture, the environment, education, health and human rights). This UNRISD research builds on the significant base already provided by these international bodies, and adds a unique dimension—through looking at the interplay between identity, power and development, the project highlights the similarities and differences between the case studies, in order to provide concrete and sustainable recommendations to empower indigenous peoples in the future.

Progress

Researchers and papers commissioned

224 Eight case studies were commissioned during the reporting period, and two additional researchers joined the project team, one serving as external coordinator and the other as co-author of the conclusion to the planned edited volume. The researchers come from a wide variety of backgrounds, including academics at leading research institutes and social activists linked with international NGOs. The researchers are:

- External Coordinator: Suzana Sawyer (Department of Anthropology, University of California, Davis, United States)
- Case study on Australia: Jon Altman (Centre for Aboriginal Economic Policy Research, Australian National University)

- Case study on Canada: Megan Davis (Indigenous Law Centre, University of New South Wales, Australia)
- Case study on Chad/Cameroon: Korinna Horta (Senior Economist, Environmental Defense, United States)
- Case study on Nigeria: Ben Naanen (Department of History and Diplomatic Studies, University of Port Harcourt, Nigeria)
- Case study on Bolivia: Thomas Perreault (Program on Latin America and the Caribbean (PLACA), Syracuse University, United States)
- Case study on the Philippines (co-authored): Raymundo Rovillos (College of Social Sciences, University of the Philippines Baguio) and Victoria Tauli Corpuz (Chair, United Nations Permanent Forum on Indigenous Issues and Executive Director, Tebtebba)
- Case study on Peru: Patricia Urteaga-Crovetto (Pontificia Universidad Católica del Perú)
- Case study on India: Professor Virginius Xaxa (Department of Sociology, Delhi School of Economics, India)
- Co-author of the conclusion (with project coordinators): Joan Martínez Alier (Department of Economics and Economic History, Universitat Autònoma de Barcelona)

225 The case studies cover a range of issues, including examination of specific TNC practices in the context of IFI-funded mega-projects; assessment of the indigenous entity with which the TNC chooses to engage (none, individuals, families, communities, associations, federations, nationalities); and IFI initiatives during project implementation to create forums for stakeholder negotiations. The studies aim to determine whether government policies, TNC practices and IFI initiatives have led to disempowerment, complacency, local fragmentation and regional division, or whether they have promoted greater cohesion, intensified convictions, empowerment and more sophisticated transnational engagement.

Workshop

226 A project workshop was held in Geneva in July 2006, involving the project researchers, UNRISD staff and representatives from other UN bodies (the International Labour Organization's Project to Promote ILO Policy on Indigenous and Tribal Peoples, the Indigenous and Minorities Unit from the Office of the High Commissioner for Human Rights, and the United Nations Institute for Training and Research [UNITAR]), and NGOs working on indigenous peoples (including Third World Network, and the International Forum on Globalization). This workshop, the first of two planned under the project, was convened to confirm the parameters of the research and to obtain feedback from experts on weaknesses in the project outline that needed to be addressed.

227 Additional issues for further research were also identified, relating to the themes of NGOs, technology and biodiversity. Workshop participants also noted the need to determine the extent to which a specific indigenous identity is collectively and internationally espoused, specifically in response to forms of marginalization that may arise during the implementation of IFI-funded projects.

228 Indigenous peoples practice a variety of economic development forms, suggesting that they are stewards of biodiversity. Indigenous identity has materialized and gained strength through local, grounded practice in good part due to transnational links—links with an international network of UN agencies, as well as with national and international human rights, indigenous rights and environmental NGOs. Such transnational networks advocate for the rights of communities that have been systematically marginalized. Similarly, where

indigenous peoples and their allies have been able to press for constitutional reforms, whereby states accord distinct rights to them, this has often gone hand-in-hand with the efforts of transnational NGOs to compel states to ratify international conventions. By helping indigenous peoples articulate their demands more coherently, NGOs have also helped empower indigenous communities. The case studies aim to draw attention to these important issues.

229 Fieldwork and preparation of the draft case studies was to be completed by March 2007, prior to the final workshop planned for April 2007 at which the research results would be discussed, and following which the papers would be finalized for publication.

Outreach

230 UNRISD dissemination staff organized an interview of Ben Naanen, a researcher for this project, on Sky News. The interview was broadcast on 13 December 2006, and covered the researcher's work as well as the ruling concerning the Kalahari people in Botswana.

231 Korinna Horta and Joan Martínez-Alier, researchers for this project, submitted articles to the press in the United Kingdom and in India, and these were to be published in early 2007.

Programme Development

Religion, Identity and Business

232 A project proposal to carry out research on *Religion, Identity and Business* was finalized in early 2006 and submitted to potential funders. By the close of the reporting period funding had not yet been secured. While new movements have emerged from within all major religions, different religious groups within the same faith strive to achieve extremely dissimilar goals. This project seeks to understand how non-mainstream groups of different faiths have evolved and developed. It will examine the processes of identity formation and transformation among members of religious groups through an analysis of their commercial ventures, in order to understand the social, economic and political factors that have influenced or attracted people to join these groups. The corporate ties and activities of these religious groups will provide insights into the scale and scope of their impact on communal cohesion and co-existence in multi-ethnic societies.

233 The research will study whether religious groups in business are reactionary in their orientation, contributing ultimately to exclusionary practices that serve to undermine social cohesion and, as in more zealous cases, promoting extremist activities. It will also contest recurrent and simplistic analyses that reduce the multi-faceted nature of identity to a single affiliation.

Minority Groups, Generational Change and Identity Formation

234 A project proposal to carry out research on *Minority Groups, Generational Change and Identity Formation* was finalized and submitted to potential funders. By the close of the reporting period funding had not yet been secured. The focus of this project is on the complex and intricate interplay of ethnic and national identities in the lives of young minorities in multi-ethnic societies. The study will

adopt a structural and historical perspective to analyse social and economic changes in society that have had a bearing on youth identity formation. It will also assess the outcome of government policies to promote social cohesion. By looking at the structure of the state and its policies, and at societal relations between majority groups and the descendants of migrants, this study aims to generate insights that will aid policy planning to help integrate minority youths so that they see no need to resort to crime, violence and warfare as forms of protest against marginalization. The primary hypothesis of this project is that new generations of minority youths are not merely holding on to a prior or ancestral identity; rather, they are grappling to construct a unique form of identity that includes aspects of their cultural heritage as well as the cultural traditions and practices of the country of their birth. By providing a comparative narrative of the social and economic history and circumstances of young ethnic minorities, the study seeks to understand processes of identity formation among members of these communities in a national and transnational perspective.

235 The themes of racism and religion, political participation and social movements, gender and public policies will inform this study. Government policies that bear centrally on the issues of integration, nation building, citizenship and rights will be reviewed. By focusing on the concept of generational change, this study will assess if young descendants of immigrant communities have a strong national identification, and the form of ethnic identity that they profess. A historical assessment of evolutionary changes in identity among minorities will provide insights into the specific causes of their marginalization, their coping strategies and their responses to their sense of exclusion or isolation.

Affirmative Action, Identity and Conflict

236 Work was carried out on the development of a research proposal for a project on *Affirmative Action, Identity and Conflict*, and funding sources were being investigated.

237 Two broad schools of thought have emerged in the literature on policy mechanisms to resolve structural inequalities in societies. One argues that the implementation of social policies should be universal in orientation. The other contends that it is more viable to develop policies that target disadvantaged groups, such as those lagging behind economically, along, for instance, class or ethnic lines. The implementation of policies based on either of these schools of thought has enormous implications in the context of multi-ethnic countries, as the outcome of these policies can lead to racial tensions or add to already existing grievances, erupting into conflict.

238 On the related issue of policy implementation and ethnic conflict, some scholars have more recently argued that one reason for the persistence of racial strife in multi-ethnic societies is that policies have been viewed from a perspective that is vertical in orientation, that is, broadly speaking, one that addresses social inequities from a universal perspective. Vertically based policies address the plight of individuals in need, regardless of their ethnic background. The counter argument is that ethnic conflict, and inter-ethnic social and economic differences, can be better resolved by adopting a horizontal perspective—that is, by targeting ethnic groups that are in most need of help.

239 This project will explore the structural bases and cultural expressions of inequality, and the ways in which ethnic inequities provoke differing policy responses in different national contexts. The successes and failures of state policies

to address poverty by tackling inequalities will be examined, as will the outcomes of models addressing ethnic inequalities from horizontal and vertical perspectives.

240 For this project, the primary hypothesis is that a policy based on a horizontal perspective reinforces racial identities, consolidating and perpetuating ethnic differences that can hinder social cohesion. The second hypothesis is that the idea of the value of horizontal policies may contribute to the use of a “politics of identity” by political parties to secure support that can exacerbate ethnic difference and lead to racial strife

241 This project will involve a comparative study of selected multi-ethnic countries that have adopted affirmative action to target particular communities as a means to resolve social and economic inequalities.

242 Affirmative action is a social policy that reflects implementation of policies along horizontal lines, by compartmentalizing people into groups. Through an examination of this policy, the study will assess whether horizontal inequality is a construct which is grounded in reality, and whether targeting does in fact help to promote social justice.

243 While the various forms of affirmative action around the world have been well documented, there has been no comprehensive comparative study of the long-term effects of such policies on ethnic cohesion and inter-ethnic inequality. The countries to be studied are Brazil, India, Malaysia, South Africa, Sri Lanka, the United States and Zimbabwe. The research results should shed light on the diversity of real factors that contribute to inequalities. Given the flaws apparent in the existing models of addressing social inequalities, this study will help offer an alternative model, combining both horizontal and vertical aspects, to provide innovative and context-specific policy recommendations.

PROGRAMME ON GENDER AND DEVELOPMENT

Introduction

244 In recent decades the presence of women in public life has grown, whether in politics, in the workforce, or in the migrant streams that cross international borders. At the same time, the intensive engagement of activists and researchers with the development establishment has turned “gender” into a legitimate policy issue for institutions and movements operating at different levels. Yet gender inequalities in power continue to be a persistent and integral feature of the modern world and its institutions—whether markets and macroeconomic flows; states, political parties and social movements; or the intimate sphere of family, household and community. Transformative agendas of social change are constrained not only by the continued dominance of market orthodoxy in some important arenas of policy making, but also by shifts in geopolitics, and new forms of religious and cultural politics that are being played out at global, national and sub-national levels.

245 Dissemination activities for the *Policy Report on Gender and Development* continued during the current reporting period. In regard to new research, four projects are being developed in a sequential manner under this programme area: *Political and Social Economy of Care*; *Religion, Politics and Gender Equality*; *Gender Dimensions of Judicial Reform*; and *Decentralization, Redistribution and Women’s Access to Welfare*. In the present report only the first two are elaborated. Work on the other two projects is still at a preliminary stage. Research under this programme is coordinated by Shahra Razavi.

Policy Report on Gender and Development

Background

246 The 2005 “Beijing Plus 10” review process provided an occasion for UNRISD to launch its publication, *Gender Equality: Striving for Justice in an Unequal World* (hereafter *Gender Equality*)—the product of nearly two years of research and writing, as reported previously to the Board.

247 The Progress Report for the last two reporting periods analysed the key findings and messages of *Gender Equality*, the financing and institutional mechanisms put in place for its preparation and the background papers commissioned. Progress made during the current reporting period is presented below.

Progress

248 During the current reporting period *Gender Equality* was produced in Spanish and Arabic; four more papers were published under the Occasional Paper series; an UNRISD/Routledge book series was initiated; and a series of events were organized to launch the report in diverse regional contexts.

Translation of the report

249 The Spanish version of the report was published in April 2006, and the Arabic version (and its summary) in November 2006. The report and its summary were translated into Chinese and proofreading commenced in December 2006.

Occasional Paper Series

250 During the reporting period, and following a strict external reviewing process, four more papers were published, bringing this series of 15 papers to a close.

- Elissa Braunstein — *Foreign Direct Investment, Development and Gender Equity: A Review of Research and Policy*, OPGP 12, January 2006
- Onalenna Doo Selolwane — *Gendered Spaces in Party Politics in Southern Africa: Progress and Regress since Beijing 1995*, OPGP 13, February 2006
- Le Anh Tu Packard — *Gender Dimensions of Viet Nam's Comprehensive Macroeconomic and Structural Reform Policies*, OPGP 14, February 2006
- Maxine Molyneux and Shahra Razavi — *Beijing Plus 10: An Ambivalent Record on Gender Justice*, OPGP 15 March 2006

Edited volumes

251 A co-publishing arrangement between UNRISD and Routledge was concluded for a new series on Gender and Development, with six volumes intended for the series. Two of the volumes were completed by December 2006 and sent out to external referees: *Gendered Peace: Women's Struggles for Post-War Justice and Reconciliation* (edited by Donna Pankhurst); and *New Perspectives on Gender and Migration: Livelihoods, Rights, and Entitlements* (edited by Nicola Piper).

Dissemination Activities

252 A half-day meeting was held at the Graduate Institute for Development Studies (IUED) in Geneva on 16 January 2006. The keynote speech was delivered by Patricia Schulz, Director of the Bureau fédéral de l'égalité entre femmes et hommes (Switzerland); two of the researchers involved in the preparation of the report presented their work, and colleagues from IUED acted as discussants.

253 A two-day event was held in Cape Town on 7 and 8 February 2006, jointly organized by UNRISD and the African Gender Institute (AGI). The report was discussed by a wide range of researchers and activists from the Africa region, and officially launched at the University of Cape Town. A conference report was prepared and posted on the UNRISD Web site.

254 A two-day seminar was held in Buenos Aires on 10 and 11 May 2006, jointly organized by UNRISD, Instituto de Desarrollo Económico y Social (IDES) and the United Nations Population Fund (UNFPA-Argentina). The report was discussed by a wide range of scholars from the Latin America region, and officially launched at the Argentine Congress. A conference report was prepared in Spanish and English and posted on the UNRISD Web site.

255 A one-day meeting was held at the Mairie de Paris on 5 October 2006, jointly organized by UNRISD and *Cahiers du Genre*. A keynote address was delivered by Jacques Charmes, and eight researchers presented their comments on the report. A conference report was prepared in French.

256 Planning was well under way for a joint event in collaboration with the International Development Research Centre (IDRC), the Arab Women's

Organization (AWO) and Cairo University to launch the Arabic version of the report in Cairo on 27 and 28 March 2007.

257 In addition to the above-mentioned events, the research coordinator was invited to present the report at various externally organized conferences, seminars and meetings (as reported in the section on Advisory Work).

Academic Reviews and Media Coverage

258 *Gender Equality* has been commended in refereed journals, including *Population and Development Review* (Vol. 31, 2005), *International Feminist Journal of Politics* (Vol. 8, No. 3, 2006), *The European Journal of Development Research* (Vol. 18, No. 1, 2006), and a review is forthcoming in *Feminist Economics* (Vol. 13, No. 2, 2007). Within the United Nations (UN) system, UNRISD contributed to the *Report of the Secretary-General on "Women in development"* (Sixtieth session of the General Assembly, Second committee, Agenda item 58[b]) and *Gender Equality* is cited two times therein. *Gender Equality* is also cited once in the *Report of the Secretary General on "Improvement of the situation of women in rural areas"* (Sixtieth session of the General Assembly, Third committee, Agenda item 66); and twice in the Division for the Advancement of Women (UNDESA/DAW) document *Enhancing Participation of Women in Development through an Enabling Environment for Achieving Gender Equality and the Advancement of Women* (Report of the Expert Group Meeting, Bangkok, Thailand).

259 Media coverage of the report during the reporting period included *Le Courrier* (17 January 2006), *Tribune de Genève* (17 January 2006), *Clarín* (12 May 2006), *Buenos Aires Herald* (12 May 2006), and *Neue Zürcher Zeitung* (16 September 2006). The UNRISD report was on university reading lists in North America (Carleton University [Canada], Rice University, Tennessee State University, University of North Carolina, University of Washington, University of California-Davis [United States]), Europe (London School of Economics, University of Sheffield [United Kingdom], Università degli studi di Bari and University of Modena [Italy]), and Africa (University of Ibadan [Nigeria]). The Swiss Agency for Development and Cooperation consulted the report in the preparation of a gender and governance training course.

Political and Social Economy of Care

Background

260 The dynamics of care are receiving increasing attention from activists, researchers, and policy actors. While this may be in part a reflection of women's greater political visibility and agency, and the fact that once in office they have sometimes championed issues such as family and care policy, there are also economic and social pressures underpinning academic and policy interest in this area.

261 Women's entry into the paid workforce—a near-global trend—has squeezed the time hitherto allocated to the care of family and friends on an unpaid basis. While the decline in fertility across many regions means that there are fewer children to be cared for, demographic aging in some countries, and major health crises in others, have intensified the need for care services. In many developing countries where public health services have been severely weakened during the

decades of reform, much of the care burden has inevitably fallen back on women and girls. Paid care services have become a growing sector of the economy in many contexts, especially in the more developed economies, as a result of women's increasing participation in the paid labour force. These services in turn employ many women. In this context, the quality of care, and the pay and working conditions of carers, have become contested policy issues. Paid care services have been susceptible to competitive pressures that generate low pay–low quality outcomes, adversely affecting both care workers and the recipients of care.

262 Recent years have seen a growing literature, from diverse disciplinary perspectives, converging around the issue of care. These intellectual currents include efforts within feminist economics to construct analytical frameworks for understanding the “other economy” where the direct production and maintenance of human beings takes place, as well as methodologies for measuring and valuing it. From within social policy research there have been concerted efforts to engender welfare regimes analysis by bringing in issues of care. Dovetailing, and enriching, these diverse conceptual and empirical engagements has been a philosophical conversation about the “ethics of care”, contesting the narrowness of an ethic of paid work that drives policy agendas and reforms across welfare states.

Key features of the project

263 This project is undertaking comparative research on the multiple institutions of care (households and families; states; markets; and the not-for-profit sector), their gender composition and dynamics, and their implications for poverty and social rights of citizenship. It is undertaking empirical research on the care sector in different developing regions, and connecting this to some of the conceptual debates on care that have the developed capitalist economies as their point of reference. The research spans across eight countries drawn from four different regions: Argentina and Nicaragua; South Africa and Tanzania; the Republic of Korea and India; Switzerland and Spain. From each region one country with a more developed welfare infrastructure and another where this is less developed have been identified; all countries have at least one recent time use survey (TUS) available.

264 The institutions involved in the provision of care may be conceptualized in a stylized fashion as a “care diamond”, to include the family/household, markets, the public sector, and the not-for-profit sector (although typologies are always problematic). The research seeks to understand the gender inequalities and power dynamics that are embedded within these different institutions and to capture the implications of different care arrangements for those who provide care, on a paid or unpaid basis, in terms of poverty and access to social rights (differentiated by class, gender, race or caste). While the institutions captured by the care diamond need to be systematically explored across all country studies, the type of care being studied (care of children, the elderly, the chronically ill) will vary across countries.

265 The project combines a variety of qualitative and quantitative methods of examining how care is provided in different countries. Some of these methods will be country specific, but there will also be attempts to use some methods and approaches across all countries so as to facilitate comparison. While the availability of time use data is critical, the intention is not to limit the research questions to the data that are easily available through the TUS; other data sources will also be used.

Cross-cutting research questions and methods

Historical context and processes of social change (desk research)

266 Political and economic trajectories and their impacts on labour market institutions, welfare and care institutions, and poverty and inequality will be delineated. Socio-demographic changes, including changes in household structure and size across social groups; changes in fertility, age structure, and marriage practices will also be documented. Economic and labour force changes from a gender perspective will be elaborated: size, age and gender composition of the paid work force, as well as different contractual forms.

Unpaid care provision (within households) and its intersections with the paid economy (analysis of primary data from TUS)

267 The household constitutes a key institution where unpaid care is provided. The research seeks to explore how the provision of unpaid care is combined with paid work for different household members. The aim is to obtain a disaggregated analysis of these dimensions across income or expenditure categories; household types, and other social stratifications depending on context (e.g., race, caste).

Institutional frameworks and policies related to care

268 A comprehensive overview of institutional frameworks and policies related to care services in non-household institutions will be undertaken (based on primary evidence and interviews with key informants). This will include the analysis of non-household institutions involved in the provision of care: the form, role and significance of public sector institutions; the extent and character of different types of market provision; as well as the character and significance of care provided by the not-for-profit sector.

In-depth view of selected forms of non-household care provision (using qualitative research techniques)

269 While labour force surveys provide macro-quantitative indicators on how various care occupations have grown over the years, there is also a need for a more textured analysis of some of these forms of care provision. The research will explore both how care-givers (domestic workers; nurses and other health sector workers, home-based care workers; and non-household family carers) give care and how they receive and organize care for themselves.

Policies and programmes

270 Some policies and programmes have a direct and explicit intention to provide care services that can substitute and/or complement unpaid care provided by household members. This includes provision of care services for young children, the elderly, the chronically ill and people with disabilities. Other policies aim explicitly to assist unpaid carers (only mothers, or mothers and fathers) to care for the young by providing paid or unpaid leave from employment, with varying levels of generosity; these policies may be maternalist (only mothers get the “right to care” but not fathers) or transformative (both parents have the right to care, and fathers in particular are encouraged to do so). Pensions and insurance systems may also include some care-related features: for example, in several European countries and in Japan, “bonuses” or “credits” are provided for individuals who provide unpaid care for children or adults needing care.

271 In developing countries many of the above-mentioned policies are poorly developed, and poorly implemented. But there are other social programmes that are impacting on the care economy, such as cash transfers (child benefits, pensions) and work programmes (employment guarantee and public works programmes).

Some of these programmes may not be about care—pensions, for example, are not about care per se, but pensions may allow recipients to purchase care or to receive care from their children because they can use their pension to assist the carer with some of her/his household needs. Other kinds of social programmes may have a larger and indirect impact on care; for example, health care assumes some of the responsibility for the care of the elderly and chronically ill, while education services perform a care task with respect to children who are in school.

Valuing the unpaid and paid care sectors: A cross-country comparison

272 The project is also developing a small number of simple quantitative “macro” measures that would compare the size of the paid and unpaid economies—and especially the care element of these economies—in the different countries, using comparable data sets. In so doing, these measures will give broad indications of the size of different parts of the “care diamond”. Work in this area takes into account the nature and limitations of the different data sources in the different countries. The aim is to derive estimates that are not too complicated so that readers of the research can relatively easily understand what has been done and what the findings mean. The following types of comparisons will be explored:

- The value of total paid work in the economy versus the value of total unpaid work, including the sex breakdown for the total paid and unpaid.
- The value of unpaid care work compared with different types of tax revenue. This comparison would support the argument that caring for others constitutes a type of tax. Ordinary monetary taxes constitute a contribution that people are forced to make to the welfare of society in general rather than for their own benefit, and often include a larger contribution by men than women (because of men’s greater labour force participation and higher earnings). In contrast, unpaid care work constitutes a contribution to general welfare, made primarily by women.
- The value of unpaid care work compared with different types of government expenditure on salaries. The chosen government expenditures would be those which represent public care work, such as in schools and hospitals.
- A measure of care produced by care workers falling within the SNA (System of National Accounts) production boundary. This measure would be based on the occupations recorded for workers in a survey such as a labour force survey. Possible measures include the number of workers (male and female) involved, the number of hours worked and the income earned.
- The value of unpaid care work expressed as a percentage of gross domestic product (GDP).

Sources of funding

273 Partial funding for the project has been secured from the International Development Research Centre (IDRC, Canada) and the Swiss Agency for Development and Cooperation (SDC). Discussions were also under way with a number of other funding agencies.

Progress

274 The following papers were prepared during the reporting period:

- Shahra Razavi — *The Political and Social Economy of Care in a Development Context: Conceptual Issues, Research Questions and Policy Options* (under review for publication)
- Debbie Budlender — *A Critical Review of Selected Time Use Surveys* (being processed for publication)

275 The following case-study research teams were identified:

- *South Africa*: Debbie Budlender (Community Agency for Social Enquiry, Cape Town); Frances Lund (University of KwaZulu-Natal, Durban)

- *Nicaragua*: Isolda Espinosa (independent consultant, Managua); Gilma Tinoco, (independent consultant, Managua)
- *Argentina*: Valeria Esquivel (Universidad Nacional de General Sarmiento, Instituto de Ciencias, Buenos Aires); Eleonor Faur (Universidad Nacional de General San Martín and Instituto de Desarrollo Económico y Social, Buenos Aires)
- *South Korea*: Huck-ju Kwon (Sung Kyun Kwan University, Seoul); Mi-young An (Handong Global University, School of Counseling, Psychology and Social Welfare, Seoul); Ito Peng (University of Toronto, Canada)
- *India*: Rajni Palriwala (Delhi School of Economics, New Delhi); Neetha Pillai (Women's Development Studies, New Delhi)
- *Switzerland*: Mascha Madoerin (independent consultant, Basle); identification of collaborators under way

276 Researchers for the case studies on Spain and on Tanzania were in the process of being identified.

277 A small advisory group was set up to provide substantive inputs on the research design and research reports. The members of the team are:

- Marzia Fontana, Institute of Development Studies, Brighton, United Kingdom
- Haris Gazdar, Collective for Social Science Research, Karachi, Pakistan
- James Heintz, Political Economy Research Institute (PERI), University of Massachusetts, Amherst, United States
- Evelyne Huber, Department of Political Science, University of North Carolina, United States
- Elizabeth Jelin, Instituto de Desarrollo Económico y Social (IDES), Buenos Aires, Argentina
- Thokozile Ruzvidzo, African Centre for Gender and Social Development, and United Nations Economic Commission for Africa, Addis Ababa, Ethiopia

Research

278 Each country team was asked to produce a research proposal guided by the UNRISD project proposal; all country proposals were submitted by late November 2006.

279 A research methodology workshop was convened in Geneva on 30 November and 1 December 2006. In addition to the two background papers, the country proposals were presented and discussed, as were the cross-cutting comparative dimensions of the research. Two country proposals were considered to be unsatisfactory, requiring alternative arrangements.

280 Following the workshop, written comments by the research coordinator and one member of the advisory group were sent to each research team. A “guidance note” was also prepared by the research coordinator, drawing on the exchanges at the workshop and the wider literature. The document was circulated to assist the revision of the proposals and to strengthen the comparative dimensions of the project.

281 Substantive and revised proposals were expected by end-January 2007 (except for Tanzania and Spain).

282 Discussions were under way with the United Nations Department of Economic and Social Affairs, Division for the Advancement of Women (UNDESA/DAW) on how to use the research findings of this project to feed into the preparatory work for the next two sessions of the Commission on the Status of

Women (CSW): “Financing for gender equality and empowerment of women” (topic of the 2008 session) and on “The equal sharing of responsibilities between women and men, including caregiving in the context of HIV/AIDS” (topic of the 2009 session).

Programme Development

Religion, Politics and Gender Equality

Background

283 The prediction that secularism would sweep the world has been confounded in recent years as religion has left the place assigned to it (by theories of modernity) in the private sphere and thrust itself into the public arena. What are the social and political implications of religion assuming such prominent and contested public and political roles? Some observers, including many feminists, see incompatibilities between democracy, human rights and gender equality, on the one hand, and a world in which religious issues and organizations have an active presence in public affairs, on the other. Others, however, argue that religion (at its best) can act as a significant counterweight to the otherwise hegemonic institutions of the state and the market, revitalizing public debate on their moral underpinnings and their social outcomes. The task of research, therefore, is to develop analytical and normative criteria to differentiate between the various forms of “public religion” and their social and political consequences, including the implications for gender equality.

Research questions and methods

284 It has been argued that religion can “go public” at three different levels: the state level (e.g., theocratic states; or state religions or state-established churches); the level of political society (e.g., European Christian Democrats, Islamist political parties); and the more amorphous level of civil society. This tripartite model, however, presupposes what is broadly recognized as a modern society. But in many contexts it is equally important to conceptualize the interface between what can be labelled “the customary sphere” and formal religion. As far as women’s rights are concerned, it is in that nexus that many of the dangers and challenges lie, with religious precepts being selectively applied or totally disregarded. Similarly, there is a need for a broader conception of civil society, which can include the nature of “society” itself. This is very important because it can explain resistance, or absence of pressures, from below to pluralize and democratize religion.

285 This project raises two key questions: first, how can religion and politics become intertwined? Are there distinct modes of insertion in different settings? And second, what are the social and political effects, especially from a gender perspective, of this blending of religion and politics? When is it likely to pose a danger to modern normative structures associated with gender equality and democracy?

286 Based on comparative historical analysis (of mainly European and American experiences), it has been hypothesized that only public religions at the level of civil society are consistent with modern universalistic principles and modern differentiated structures. How well can this hypothesis hold for other contexts? Can this hypothesis be substantiated far as gender equality is concerned?

287 Research would be carried out in 11 countries—Chile, India, Indonesia, Iran, Israel, Nigeria, Poland, Serbia, Turkey, Uganda and the United States—that present

maximum variation with respect to (i) religious denominations; and (ii) the level at which the blending of politics and religion takes place (e.g., state or civil society). Furthermore, a regional balance has been sought, including at least some developed countries, since a certain degree of economic development is a prerequisite for the existence of civil societies (and a pluralist party system). In terms of religion, the world's three largest denominations (Christianity, Islam and Hinduism) have been included, as has Judaism.

Progress

288 The project proposal was completed in July 2006 and sent to numerous funders. In December 2006, the United Nations Development Fund for Women (UNIFEM) (Regional Office for Central and Eastern Europe) expressed interest in the project and in funding a few of the proposed country studies. An UNRISD/UNIFEM joint proposal was prepared; and an Expert Group Meeting to discuss the research questions and the proposed studies was planned. The Expert Group Meeting was to take place in Bratislava on 28 February 2007. Discussions with a number of other potential funders, in particular the Heinrich Böll Foundation, were also under way.

ADVISORY WORK

289 UNRISD staff members are frequently called upon to act in a range of advisory roles for United Nations (UN) agencies, multilateral and bilateral organizations, governments, non-governmental organizations (NGOs), research institutes and universities. This provides UNRISD with opportunities to make substantive contributions to the thinking and programmes of other institutions and groups, while staff members benefit from the exchange of ideas and are also able to network, identify potential researchers and explore funding opportunities. In 2006, UNRISD staff carried out advisory and consultancy activities on nearly 80 occasions.

Yusuf Bangura

- Acted as chairperson and discussant, regional workshop on Inequality, Human Security and Ethnicity in West Africa, organized at the University of Ghana, 23–24 March 2006 by the Centre for Research on Inequality, Human Security and Ethnicity (CRISE), Oxford University, and the Institute of Statistical, Social and Economic Research of the University of Ghana.
- Attended editorial board meeting of the *Refugee Survey Quarterly* (Journal of the UNHCR), 6 March 2006.
- Member of the group of independent experts for *State of the World's Refugees 2006* (Human Displacement in the New Millennium), published by Oxford University Press for the United Nations High Commissioner for Refugees (UNHCR).
- Reviewed articles for *Development and Change*.
- Provided comments in July 2006 on an international conference proposal titled *Between Tradition and Modernity: Which Governance for Africa?* prepared by the Paris-based Institute for a New Reflection on Governance, for a conference to be held in Bamako, Mali, on 23–25 January 2007.
- Participated in the International Labour Organization (ILO) Academic Research Seminar on Challenging the Development Paradigm: Rethinking the Role of Social Security in State Building, 4–5 September 2006, Geneva.

K.B. Ghimire

- Acted as a resource person for the journal *Development* (49.2, January–February, 2006), published by the Society for International Development.
- Acted as a member of the jury for a postgraduate thesis submitted to the Department of Social and Political Sciences, University of Lausanne, April 2006.
- Reviewed a paper for *Development and Change*, June 2006.
- Provided inputs to the *International Civil Society Index* report discussed at a Civicus World Assembly, Glasgow, June 2006.
- Reviewed a paper for *Canadian Journal of Development Studies*, July 2006.
- Reviewed a paper for *Society and Natural Resources*, October 2006.

Terence Gomez

- At the request of the Office of the High Commissioner for Human Rights, Working Group on Indigenous Populations, provided feedback on their project on affirmative action in the Democratic Republic of the Congo; also provided feedback on the paper prepared by the government of the Democratic Republic of the Congo on its proposed implementation of affirmative action.
- Made a presentation on the programme area *Identities, Conflict and Cohesion* to a group of students from the School for International Training, Geneva, at the Palais des Nations, 10 October 2006.

- Presented a paper on research projects and perspectives under the programme area *Identities, Conflict and Cohesion* at the workshop on Towards Building a Human Security Network at Waseda University, Japan, 25 February 2007.
- With project staff, attended the 24th session of the Working Group on Indigenous Populations at the Palais des Nations, 31 July to 4 August 2006.
- Presented the paper *Malaysian Investments in China: Transnationalism and the “Chineseness” of Enterprise Development*, at the international workshop on China in the World: The World in China, Copenhagen Business School, Denmark, 10–11 March 2006.
- Presented the paper *Business, Identity and Transnationalism: The Chinese in Britain*, at the 7th Association of South East Asian Nations (ASEAN) Inter-University Seminars on Social Development, Hanoi, Viet Nam, 19–21 July 2006.
- Presented the paper *Enterprise Development, Ethnic Relations and Affirmative Action in Malaysia*, at the international workshop on Managing Cultural Diversity: War and Peace in South and Southeast Asia, Helsinki, Finland, 24–25 August, 2006.
- Presented the paper *Between Theory and Reality: Minority Groups, Identity, and Rights in Malaysia*, at the 4th Norwegian-Asia Conference, Oslo, Norway, 8–10 September 2006.
- Evaluated seven book-length manuscripts for the “Chinese Worlds” and “Malaysian Studies” series with Routledge, London.
- Reviewed an article for *British Journal of Political Science*.
- Reviewed a research proposal for the Department for Research Cooperation of the Swedish International Development Cooperation Agency (Sida/SAREC).
- Served as external examiner for the PhD dissertation submitted by Esther Zwart at Vrije University, Holland.

Katja Hujo

- At the request of the United Nations Children’s Fund (UNICEF), provided substantive comments on their planned research project on Transformative Social Policies and Cash Transfers.
- At the request of the United Nations Department of Economic and Social Affairs (UNDESA)/United Nations Development Programme (UNDP), provided substantive comments on their Social Policy Guidance Notes.
- Reviewed 2 research proposals for Sida/SAREC.
- Made a presentation on the programme area *Social Policy and Development* to a group of PhD students and faculty from Suan Sunandha Rajabhat University, Thailand, at the Palais des Nations, 7 December 2006.
- Participated in the ILO Academic Research Seminar on “Challenging the development paradigm: Rethinking the role of social security in state building”, 4–5 September 2006, Geneva.
- Participated in the Swissaid Conference Oil is Not Necessarily a Curse for Africa: How Sub-Saharan Africa Can Make the Most of its Oil Resources, 2 November 2006, Geneva.
- Participated in the International Institute of Labour Studies (IILS) Research Conference on Decent Work, Social Policy and Development, 29 November to 1 December 2006, Geneva.

Thandika Mkandawire

- Panellist at Economic and Social Research Council (ESRC)–UK Department for International Development (DFID) workshop, London, 2 March 2006.
- Keynote speaker at workshop on Shaping a New Africa 2006: Debate 2 “African Intellectuals”, Amsterdam, 9 March 2006.
- Gave keynote speech at the conference on Education for Development in a Globalizing World, Dublin, 23–24 March 2006.

- Panellist/discussant at development forum on Productive Employment and Decent Work, New York, 8–10 May 2006.
- Panellist at ESRC–DFID workshop, London, 23 May 2006.
- As member of the Advisory Council, attended the Queen Elizabeth House (QEH) meeting, Oxford, United Kingdom, 24 May 2006.
- Gave keynote speech at seminar on Korea International Cooperation Agency’s (KOICA) Development Cooperation with Viet Nam: From a Governance Perspective, Seoul, 9 June 2006.
- Participated at United Nations University (UNU)–World Institute for Development Economics Research (WIDER) Board meeting, Helsinki 14 June 2006; and attended conference on Aid: Principles, Policies and Performance, Helsinki, 15–16 June 2006.
- Speaker at Unidea-UniCredit Foundation conference on Food Security and Famine Prevention, Rome, 14 July 2006.
- Participated at task force meeting on Africa hosted by Initiative for Policy Dialogue (IPD), Manchester, United Kingdom, 2–4 August 2006.
- Presented paper at UK Department for International Development (DFID)–ILO seminar on Challenging the Development Paradigm: Rethinking the Role of Social Security in State Building, Geneva, 4–5 September 2006.
- Panellist at ESRC–DFID workshop, London, 14–15 September 2006.
- Speaker at 2006 Social Science Conference: Social Sciences in an African Context, Johannesburg, 25–30 September 2006.
- Attended Centre for Research on Inequality, Human Security and Ethnicity (CRISE) Centre Advisory Review Group (CARG), Oxford, 17 October 2006.
- Speaker at expert meeting on Social Policy for Development in a Globalizing World, Helsinki, 1–3 November 2006.
- Discussant at the ILS Board meeting, Geneva, 10 November 2006.
- Speaker at conference organized by UniCredit Foundation on Food Insecurity and the Right to Food, Rome, 24 November 2006.
- Chaired the United Nations Educational, Scientific and Cultural Organization (UNESCO) Forum on Higher Education, Research and Knowledge Colloquium on Research and Higher Education Policy, Paris, 29 November to 1 December 2006.
- Chaired UNESCO Global Scientific Committee meeting, Paris, 2 December 2006.
- Speaker at African Research and Resource Forum (ARRF), Nairobi, 14–16 December 2006

Naren Prasad

- Attended workshop on Measuring Well-being and Societal Progress organized by OECD and the Center for Research on Lifelong Learning, Milan, Italy, 19–21 June 2006.
- During home leave (Fiji), made a presentation on results of private sector participation in the water sector to the Minister of Public Enterprise, and the Public Sector Reform Committee in Fiji, 2 August 2006.
- Attended the United Nations Conference on Trade and Development (UNCTAD) Expert Meeting on Universal Access to Services, 14–16 November 2006
- Presented a paper and acted as a discussant at the UNCTAD Expert Meeting on Enabling Small Commodity Producers and Processors in Developing Countries to Reach Global Markets, 11–13 December 2006.
- At the request of Palgrave Macmillan, acted as referee for a book manuscript on *Agua Latina: Institutional Reform for Urban Water Supply in Latin America*.

Shahra Razavi

- Presented the report, *Gender Equality*, at the Roundtable on Poverty Eradication, Hamyaran Association, Tehran, 2 January 2006.
- Delivered a Keynote Address on Agrarian Change, Gender and Land Rights at the International Conference on Land, Poverty, Social Justice and Development, Institute of Social Studies, The Hague, 9–14 January 2006.
- Made presentation on Gender and Social Policy at a seminar on Gender Perspectives, Social Science and Social Policy, organized by the Argentine Association for Social Policy and the Social Observatory, Buenos Aires, 21 February 2006.
- Attended Board Meeting of Poverty and Peace Programme, Norwegian Research Council, Oslo, 2–3 March 2006.
- Made presentation on Women, Work and Social Policy at the 31^{ème} Rencontre de la Conférence suisse des déléguées à l'égalité entre femmes et hommes, Berne, 14 March 2006.
- Made presentation on Gender and Land Rights at the Workshop of the High-Level Commission for Legal Empowerment of the Poor organized by the Norwegian Ministry of Foreign Affairs, Oslo, 23 March 2006.
- Made presentation on the report, *Gender Equality*, to the United Nations Graduate Studies Programme, Palais des Nations, Geneva, 18 July 2006.
- Provided comments on the UNDESA/UNDP Social Policy Guidance Note, July 2006.
- Peer reviewed a Sida/SAREC project proposal, August 2006.
- Made presentation on Women, Work and Social Policy at Graduate Seminar, University of Berne, Switzerland, 1 September 2006.
- Presented the report, *Gender Equality*, at a meeting organized jointly by the City Council of Zurich and CFD, Stadt Zurich, 15 September 2006.
- Evaluated eight research proposals submitted for funding to the Poverty and Peace Programme of the Norwegian Research Council, October 2006.
- Participated in the Expert Consultation on Intersections of Culture and Violence against Women, convened by the Special Rapporteur on Violence against Women and the Office of the High Commission on Human Rights, 2-3 November 2006, Palais des Nations, Geneva
- Evaluated book-length manuscript on gender and social protection for the Commonwealth Secretariat, July 2006.
- Acted as a peer referee for papers for the following journals: *Feminist Economics*, *Third World Quarterly* and *Global Social Policy*.
- Editorial board member of *Global Social Policy* and *Development in Practice*.
- Member of Programme Board of Research on Poverty and Peace of the Research Council of Norway; member of International Advisory Committee of Social Protection Programme of WIEGO (Women in Informal Economy Globalizing and Organizing).

Peter Utting

- Resource person at the launch of the United Nations Global Compact in Nicaragua, Managua, 20 January 2006.
- As member of the steering committee of the UNESCO International Forum of the Social Science–Policy Nexus, attended two committee meetings in Paris and Buenos Aires, 19 and 23 February, 2006.
- Presented paper on *CSR and Equality* at the conference Beyond CSR?: Business, Poverty and Social Justice, University of Warwick/Middlesex University, London. May 22 2006.
- Provided comments on the UNDESA/UNDP Social Policy Guidance Note, July 2006.
- Peer reviewed two Sida/SAREC project proposals, August 2006.

- Presented the paper *Running in the Dark?: The Rise of UN-Business Partnerships* at the University of South Africa (UNISA) Centre for Corporate Citizenship/The Global Compact/Marc Lindenberg Center conference, Is Corporate Citizenship Making A Difference?, Accra, Ghana, 20–22 November, 2006.
- Organized and chaired three sessions, and presented the paper *Social and Environmental Liabilities of Transnational Corporations: New Directions, Opportunities and Constraints*, at the biennial conference of the International Society for Ecological Economics: Ecological Sustainability and Human Well-being, 16–18 December 2006, New Delhi.

OUTREACH: PUBLICATIONS AND DISSEMINATION

Introduction

290 In order to fulfil its mandate, UNRISD must not only conduct rigorous comparative research on a range of questions and challenges of social development. The Institute must also endeavour to publish and disseminate research findings as widely as possible so that they contribute to policy dialogues and debates.

291 Through its outreach activities, UNRISD seeks to communicate the results of its research to the academic community; policy makers at international, regional, national and local levels; civil society and the non-governmental sector; and the general and specialized media. The Institute's publication and dissemination strategies make use of a range of outputs relevant for, and accessible to, an ever-expanding audience. In-house publications, copublications with internationally renowned publishers, and the UNRISD Web site are the main outputs.

292 The 2006 evaluation of UNRISD activities between 1996 and 2005 raised serious concerns regarding the effects and impacts of dissemination efforts: "UNRISD is not known enough in the outside world. And even where UNRISD is known, its work is not sufficiently recognized." (p. 5) Recognizing that much can always be done to strengthen dissemination, the view of the Institute was that the report had not acknowledged sufficiently the progress that had been made on the dissemination front since the mid-1990s. The evaluation also raised concerns about the cost-effectiveness of dissemination. However, most of the "dissemination" budget is accounted for by the editing, layout, translation and printing of publications. In other words, much of this funding contributed to the Institute's good performance in terms of published outputs, which was acknowledged by the evaluation.

293 Nonetheless, the findings of the evaluation require that UNRISD reassess the ways information about the Institute is packaged, the types of publications produced, the dissemination activities and mechanisms pursued, and the strategies that guide outreach activities. A strategy paper proposing ways to improve outreach efforts, including publication and dissemination activities, was prepared and discussed by UNRISD staff (*Directions for UNRISD Outreach through 2009*). As a corollary of the strategy, UNRISD will pay greater attention to more systematic tracking of the use of its research among key constituencies, in order to improve reporting on results and impacts.

Publications

294 The Publication and Dissemination Unit manages the production of publications (including peer review, editing, layout and printing for in-house publications, and contractual negotiations for copublications). In 2006, 39 publications were issued. Eight books and one journal issue were produced, as were two reports (one in Spanish and one in Arabic), four Research and Policy Briefs (two in English, one in French and one in Spanish), 22 papers, one issue of Conference News and one brochure.

295 Publication staff outsource some translation, editorial, design and layout work. In-house management of freelancers' work includes testing and training of freelancers, drawing up detailed contractual terms of reference, and working in close collaboration with the freelancers to ensure that their work meets quality and standards.

Web Site

Content Development and Visibility

296 Redevelopment work on the UNRISD Web site (www.unrisd.org) took place in 2006 based on the results of a user survey, in order to better tailor the site to users' needs and to ensure that UNRISD research, events and publications are presented as clearly and comprehensively as possible. In August 2006 UNRISD launched a redeveloped site, the fourth version of the site since 1996. The site includes new features, such as RSS feeds and a simple form that users are requested to complete before downloading publications (to provide UNRISD with data about the use of its publications). UNRISD has monitored the number of downloads since this form was introduced and has not detected any decline in usage of this mechanism for widely disseminating its publications.

Statistics

297 UNRISD uses software called WebAbacus to monitor traffic to its Web site, and statistics showed an average of 30,514 unique visitors to the site each month during 2006.⁹ (However, it should be noted that during the month of July the site was not updated due to the redevelopment work. Excluding that month, the site averaged 31,367 unique visitors per month.)

298 It is worth highlighting the positive trend revealed by these Web site statistics. They show 670 per cent growth in usage of the UNRISD site between 2000 and 2006 (compared to global Internet usage growth of 182 per cent over the same period).

299 Similarly, by the end of the current reporting period, UNRISD had made available free of charge over 1,000 full text documents and publications on its Web site. The number of PDF versions of the Institute's publications downloaded directly from the site grew from 133,780 in 2005 to 248,763 in 2006, an annual increase of 86 per cent, and there were 5,195 requests to receive PDF versions via email.

300 On average, nine email alerts were released each month, excluding the month of July (all types of alerts included). At the end of the reporting period, 8,072 emails were registered in the UNRISD Email Alerts service, of which 2,364 (29.3 per cent) were subscribed to receive daily alerts, 2,641 (32.7 per cent) to receive weekly alerts, and 3,067 (38 per cent) to receive monthly alerts. This represents 35 per cent growth in the total number of subscribers over 2005. Email alert subscribers can be identified from all UNRISD target audiences. For example, over 300 subscribers are from the United Nations (UN) system and other multilateral agencies.

⁹ Web statistics can be distorted by what is known as "spiderbot" traffic, that is, traffic generated automatically by Internet search engines such as Google, MSN, Yahoo and so on. With WebAbacus, it is possible for UNRISD to eliminate a large proportion of such traffic and thereby obtain a fairly accurate estimation of the actual ("human") traffic to the site.

Web Exchanges

301 In September 2006, UNRISD was invited to become a Principal Partner of the Swiss-based International Relations and Security Network (ISN), a free public-service Web portal that encourages information access and exchange in the areas of international relations and human security. Over 40 UNRISD publications are currently available via the ISN site. UNRISD also established links to relevant online publications from the United Nations Poverty Forum Web site, and the United Nations Educational, Scientific and Cultural Organization (UNESCO). Online documents are regularly “linked to” from such well-known portals as ELDIS and RePEc, as well. UNRISD intends to intensify this cost-effective method of increasing visibility.

Dissemination

302 UNRISD research results are disseminated via the Institute’s publications; in targeted mailings to a wide range of constituencies; through conferences, seminars and workshops organized by UNRISD and other organizations and institutions; in articles and interviews in specialized journals and general media outlets; and via the UNRISD Web site. During this reporting period, dissemination staff pursued outreach efforts to universities; the media; governments and parliaments; and policy makers, field offices and information centres in the UN system.

Mailing List

303 The UNRISD mailing list database included 11,649 addresses at the end of the reporting period. A survey had been prepared and would be sent to all addresses in early 2007 in order to determine (i) accuracy of contact information and (ii) whether recipients would be retained or removed from the list.

Mailing list breakdown into sectors (2006)

Sector	Number	% of total
Universities	2654	22.78
Non-governmental organizations (NGOs)	2537	21.77
Academic and research institutions	2108	18.09
Miscellaneous categories, including civil society, students and the private sector	1472	12.63
Public libraries	1200	10.30
Governmental and parliamentary representatives	914	7.84
United Nations Resident Coordinators/United Nations Development Programme (UNDP) Resident Representatives	305	2.61
Diplomatic missions	184	1.50
Foundations	160	1.37
UN Information Centres	60	0.51
UN Heads	55	0.47

Mailing list breakdown South/North (2006)

Addresses in the South	6149	52.79
Addresses in the North	5500	47.21

Dissemination to International Conferences

304 UNRISD publications were made available at a range of important events organized by the United Nations, specialized agencies, universities, NGOs and national governments. During the reporting period, 16,534 printed publications were disseminated to 42 events in 21 countries around the world. Compared with the previous reporting period, this represents a 24 per cent increase in the number of copies distributed, and a 61 per cent increase in the number of countries covered. While 48 per cent of these were developing countries and 52 per cent were industrialized countries, participants at most events hail from both South and North as well as from a range of the Institute's sectoral constituencies. For example, by disseminating publications at UN events in Switzerland and New York, UNRISD reaches not only international civil servants and the diplomatic community, but also representatives of civil society organizations, researchers and activists from the developing world who attend these events.

Country	Event	Quantity disseminated
Argentina	Conference on Social Policy and Equality (Sida-SAREC/UNESCO/UNRISD)	5,180
	Gender Report Launch (UNRISD/IDES/UNFPA)	150
Brazil	Conference on Equitable Access to Health (WHO)	180
	International Conference on Agrarian Reform and Rural Development ^a	
China	China Social Policy Symposium (Beijing Normal University)	312
Denmark	Public-Private Partnerships for Sustainable Development (Copenhagen Business School/UNRISD)	180
Egypt	25th General Assembly of the International Social Science Council	650
Finland	Social Policies for Development in a Globalizing World Expert Meeting (Ministry of Social Affairs and Health/Ministry for Foreign Affairs/STAKES)	161
	Advancing Health Equity (UNU-WIDER)	150
France	International Day for the Eradication of Poverty (UNESCO Commemoration)	292 ^b
	International Colloquium on Research and Higher Education Policy (UNESCO)	400 ^b
Ghana	Is Corporate Citizenship Making a Difference? International Academic Symposium (UN Global Compact, University of South Africa Centre for Corporate Citizenship, Lindenberg Center for Global Citizenship)	200
India	International Society for Ecological Economics Ninth Biennial Conference	338
Japan	Conference on Human Welfare and Public Policy (Chiba University)	460
	International Political Science Association World Congress	250
Malta	Conference on Internet Governance (DiploFoundation)	310
Netherlands	International Conference on Land, Poverty, Social Justice and Development (Institute of Social Studies/Interchurch Organization for Development and Cooperation)	495
Portugal	Conference on Social Protection and Inclusion: Converging Efforts from a Global Perspective (European Commission/Government of Portugal/ILO)	174
South Africa	Social Sciences in an African Context (2006 South African Social Science Conference)	890
	Gender Report Launch (UNRISD/African Gender Institute)	170
Sweden	Social Policy in a Development Context: Lessons from UNRISD Research 2000–2005 (Sida/UNRISD)	345

<i>Switzerland</i>	A New Equity Agenda Workshop (WHO/UNRISD)	104
	Challenging the Development Paradigm: Rethinking the Role of Social Security in State Building (DFID/ILO/GTZ)	72
	Conference suisse des déléguées à l'égalité de genre (Bureau fédéral de l'égalité entre femmes et hommes)	40
	ECOSOC Substantive Session (July 2006)	489
	Eine Bilanz zu Frauenrechten und Gleichstellung (Stadt Zürich and CFD Frauenstelle für Friedensarbeit)	180
	Gender Report Launch (UNRISD/IUED)	220
	Human Rights Council, 1st Session (OHCHR)	425
	International Labour Conference 95th Session (ILO)	165
	International Conference for the Reform of International Institutions: Dialogues between Different Levels of Governance and Civil Society Actors	835
	Subcommission on the Promotion and Protection of Human Rights, Working Group on Minorities (OHCHR)	370
	Civil Society Forum on Implementation of the Programme of Action for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States)	75
	School for International Training students (UNRISD Information Session)	42
	59th World Health Assembly (WHO)	120
<i>Thailand</i>	Suan Sunandha Rajabhat University, Ph.D. Programme in Development Administration (UNRISD Information Session)	55
<i>Tunisia</i>	African Economic Conference on Accelerating Africa's Development (African Development Bank) ^a	
<i>United Kingdom</i>	International Conference on HIV/AIDS and Business (Westminster Business School)	100
	University of Derby (UNRISD Information Session)	35
<i>United States</i>	International Day for the Eradication of Poverty Commemoration (DESA)	90
	International Forum on the Eradication of Poverty (DESA)	890 ^b
	Commission on the Status of Women, Publications Fair (ECOSOC)	100
<i>Viet Nam</i>	7th ASEAN Inter-University Seminars on Social Development	240

^a Web posting of documents; ^b plus Web posting of documents.

Tracking Results

305 In 2006, dissemination staff recorded a total of 707 entries in the Media Hound database, which is used to record mentions of UNRISD and its publications (including articles, abstracts, bibliographic citations, book reviews, interviews, Web postings, etc.).

306 Of the 707 items entered in 2006, 104 were from a source dated 2006: 28 bibliographic citations, 21 web postings, 15 staff members' journal articles, 12 articles, eight general mentions, eight book reviews (including peer reviewed journals), six abstracts, four interviews, one mention as "book received" and one advertisement.

307 As reported to the Board last year, in the last quarter of 2005 UNRISD initiated a project with Thomson Scientific in order to carry out a cited reference search in the 8,000 academic journals of the Web of Science. This project, which was completed in February 2006, identified 327 bibliographical citations of UNRISD publications during the period 1995–2005, as well as 17 book reviews.

308 Another project aiming to track and record results of UNRISD work was initiated by dissemination staff in March 2006: a cited reference search in selected

UN publications, official documents and reports. A total of 196 items were identified during a preliminary search: 125 bibliographic citations, 45 general mentions, 21 cases of full-text postings on UN agencies' Web sites, two cases of staff outreach and three abstracts. More information will be found in *UNRISD and the UN System: A Report on Contributions and Dissemination Results*.¹⁰

309 The remaining 167 items entered in 2006 were 61 bibliographic citations; 24 articles; 23 abstracts; 21 Web listings from varied sources, such as academic journals, newsletters of NGOs, regional advocacy network bulletin (e.g., Southern African Regional Poverty Network), documents of multilateral organizations (e.g., African Development Bank, the Organisation for Economic Co-operation and Development [OECD], European Commission), documents of government agencies (e.g., Australian Development Gateway, UK Department for International Development), media outlets and newspapers; 15 staff members' articles; 15 book reviews; five interviews; and three general mentions.

Permissions Granted and Other Use

310 UNRISD tracks permission requests regarding the use of the Institute's publications.

311 UNRISD received and granted 33 permission requests for publications to be used as educational materials (in course packs and Internet-based educational supports) at 21 universities in nine countries (Australia, Canada, Denmark, France, Republic of Korea, South Africa, Turkey, the United Kingdom and the United States), as follows:

- Publications on gender and development — University of California, Tennessee State University and Rice University, United States; Malaspina University, Canada; University of Sussex and University College London, United Kingdom
- Publications on HIV/AIDS and health — University of Provence, France; La Trobe University, Australia; University College London, United Kingdom
- Publications on information technologies and globalization — University of Pretoria, South Africa; University of Sussex, United Kingdom
- Publications on CSR — University of Gloucestershire, UK; University of California, Berkeley, United States; Copenhagen Business School, Denmark
- Publications on social policy — Oxford University and London School of Economics, United Kingdom; University of Guelph and University of Manitoba, Canada; Bogazici University and METU University, Turkey; Sung Kyun Kwan University, Republic of Korea
- Publications on land reform — University of Sussex, United Kingdom
- Publications on urban governance — Monash University, Melbourne, Australia

312 In 2006, permission requests were received and granted for translation of UNRISD publications into Bengali, Chinese, Italian, Japanese and Spanish. Permission requests for reprinting UNRISD publications were received and granted from India, Switzerland and the United States.

313 Actual usage of UNRISD materials far exceeds permission requests, however, and during the current reporting period dissemination staff sought to supplement this information through Internet searches and a summary analysis of data obtained through publication downloads from the Web site.

¹⁰ This report will be distributed at the Forty-fifth Session of the Board.

314 Analysis of Web site data from August to November 2006 showed that 7,866 publications were downloaded by visitors from the following constituencies:

- *Governments* (Argentina, Australia, Brazil, Canada, Fiji, Guyana, Malaysia, Montenegro, Nepal, New Zealand, the Philippines, Serbia, South Africa, Trinidad and Tobago, Turkey, United Kingdom)
- *UN organizations and regional offices* (United Nations Economic Commission for Latin America and the Caribbean [ECLAC], United Nations High Commissioner for Human Rights [OHCHR], United Nations Conference on Trade and Development [UNCTAD], United Nations Development Programme [UNDP], United Nations Economic Commission for Africa [UNECA], United Nations Educational, Scientific and Cultural Organization [UNESCO], United Nations Children's Fund [UNICEF], United Nations Industrial Development Organization [UNIDO], United Nations Development Fund for Women [UNIFEM], United Nations Institute for Training and Research [UNITAR])
- *Specialized agencies* (International Organization for Migration [IOM], International Fund for Agricultural Development [IFAD], International Labour Organization [ILO], Food and Agriculture Organization of the United Nations [FAO], World Bank)
- *Multilateral organizations* (European Union [EU], Organisation for Economic Co-operation and Development [OECD], Organization for Security and Co-operation in Europe [OSCE])
- *Government development agencies* (UK Department for International Development [DFID], Deutsche Gesellschaft für Technische Zusammenarbeit [GTZ], International Development Research Centre [IDRC], Swedish International Development Cooperation Agency [Sida])
- *Civil society and NGOs* (ActionAid International, American Red Cross, Amnesty International, Care-Cambodia, Council for the Development of Social Science Research in Africa [CODESRIA], Oxfam, Save the Children, Transparency International, World Economic Forum)
- Approximately 5,700 downloads were for teaching and research from universities and academic institutions from around the world, including Harvard University, Princeton University, Tufts University, Columbia University, Yale University, Stanford University, University of California Los Angeles, and Michigan State University in the United States; Cambridge University, Oxford University, London School of Economics, Institute of Development Studies, School of Oriental and African Studies, Sussex University, and University of Warwick in the United Kingdom; University of Lausanne, University of Geneva, and University of Zurich in Switzerland; University of Strasbourg in France; and Tsing Hua University in China
- Six Programme Papers (Social Policy and Development series) were downloaded by LexisNexis to be included in its Index to International Statistics, which provides current coverage of statistical publications from all major international intergovernmental organizations

315 This pilot survey did not permit identification of the provenance of numerous users with @hotmail and @yahoo email addresses who downloaded publications for lecture, class use, thesis writing and for policy development and policy review. Many such users may be based in developing countries where technological infrastructure does not yet provide for an institutionalized network structure.

Copublications

316 Copublishing arrangements with commercial and academic publishing houses confer academic status on the work commissioned under UNRISD projects, and provide valuable “legitimacy” functions for scholars (especially for those from developing countries). Such arrangements allow the Institute to benefit from the expertise and distribution networks of experienced and internationally renowned companies. This is intended to enhance visibility, as publications appear not only in

UNRISD's own promotional materials and on its Web site, but also those of the partner copublishing institutions, with their own distribution networks and retail agents that complement the Institute's efforts. Publishers ensure marketing and distribution to important library markets in Europe and North America. However, books published commercially in the North are priced beyond the means of individuals and institutions in the South, and this constrains the dissemination of results in the countries that host much of UNRISD research. The 2006 evaluation recommended that UNRISD make special efforts to expand the accessibility of its books, and the relatively limited dissemination of commercially published books in the South needs to be addressed within the means available to UNRISD. Options for expanding dissemination—including agreements for publication of low-cost editions in developing countries, translations, diversifying copublishing partners, and distribution agreements—were developed and are presented in the dissemination strategy document (*Directions for UNRISD Outreach through 2009*).

317 During the reporting period, UNRISD had two copublishing contracts for multi-volume series with Palgrave Macmillan, *Social Policy in a Development Context* (10 volumes) and *Ethnicity, Inequality and Public Sector Governance* (11 volumes). A new contract was signed with Routledge for a series on *Gender and Development*, to be edited by Shahra Razavi. Six volumes were foreseen initially for the series.

318 Nine copublications came out in 2006.

- Giovanni Andrea Cornia (ed.) — *Pro-Poor Macroeconomics: Potential and Limitations*, UNRISD/Palgrave Macmillan, 2006
- Yusuf Bangura and George Larbi (eds.) — *Public Sector Reform in Developing Countries: Capacity Challenges to Improve Services*, UNRISD/Palgrave Macmillan, 2006
- Niraja Gopal Jayal — *Representing India: Ethnic Diversity and the Governance of Public Institutions*, UNRISD/Palgrave Macmillan, 2006
- Yusuf Bangura (ed.) — *Ethnic Inequalities and Public Sector Governance*, UNRISD/Palgrave Macmillan, 2006
- Shahra Razavi and Shireen Hassim (eds.) — *Gender and Social Policy in a Global Context: Uncovering the Gendered Structure of "the Social"*, UNRISD/Palgrave Macmillan, 2006
- *Funding Social Change*, Special Issue of the Journal *Development*, Vol. 49, No. 2, June 2006
- Peter Utting — *Reclaiming Development Agendas: Knowledge, Power and International Policy Making*, UNRISD/Palgrave Macmillan, 2006
- Florian Bieber — *Post-War Bosnia: Ethnicity, Inequality and Public Sector Governance*, UNRISD/Palgrave Macmillan, 2006
- Massoud Karshenas and Valentine M. Moghadam (eds.) — *Social Policy in the Middle East: Economic, Political, and Gender Dynamics*, UNRISD/Palgrave Macmillan, 2006

In-House Publications

319 Two reports (one in Spanish and one in Arabic), four Research and Policy Briefs (two in English, one in French and one in Spanish), 22 papers, one issue of Conference News and one brochure were issued in 2006, as follows:

Reports

- UNRISD, *Igualdad de género: La lucha por la justicia en un mundo desigual*, Geneva, 2006

- UNRISD, *Gender Equality: Striving for Justice in an Unequal World* (Arabic version), UNRISD and MERIC, Cairo, 2006

Research and Policy Briefs

- RPB 5 *Transformative Social Policy: Lessons from UNRISD Research*, October 2006
- RPB 4s *Reforma agraria e igualdad de género*, February 2006
- RPB 4f *Réformes foncières et égalité des sexes*, February 2006
- RPB 4 *Land Tenure Reform and Gender Equality*, January 2006

Gender Occasional Papers

- OPGP 15 Maxine Molyneux and Shahra Razavi, *Beijing Plus 10: An Ambivalent Record on Gender Justice*, March 2006
- OPGP 14 Le Anh Tu Packard, *Gender Dimensions of Viet Nam's Comprehensive Macroeconomic and Structural Reform Policies*, February 2006
- OPGP 13 Onalenna Doo Selolwane, *Gendered Spaces in Party Politics in Southern Africa: Progress and Regress since Beijing 1995*, February 2006
- OPGP 12 Elissa Braunstein, *Foreign Direct Investment, Development and Gender Equity: A Review of Research and Policy*, January 2006

Programme Papers

Civil Society and Social Movements

- PP CSSM 26 Nelson J.V.B. Querijero and Ronnie V. Amorado, *Transnational Civil Society Movements: The State of Anticorruption Efforts*, August 2006
- PP CSSM 25 Wendy Harcourt, *The Global Women's Rights Movement: Power Politics around the United Nations and the World Social Forum*, August 2006
- PP CSSM 24 Marco Giugni, Marko Bandler and Nina Eggert, *The Global Justice Movement: How Far Does the Classic Social Movement Agenda Go in Explaining Transnational Contention?*, June 2006
- PP CSSM 23 Catherine Agg, *Trends in Government Support for Non-Governmental Organizations: Is the "Golden Age" of the NGO Behind Us?*, June 2006
- PP CSSM 22 Alejandro Bendaña, *NGOs and Social Movements: A North-South Divide?*, June 2006

Democracy, Governance and Human Rights

- PP DGHR 24 Abdul Raufu Mustapha, *Ethnic Structure, Inequality and Governance of the Public Sector in Nigeria*, November 2006
- PP DGHR 23 Devesh Kapur and Pratap Bhanu Mehta, *The Indian Parliament as an Institution of Accountability*, January 2006
- PP DGHR 22 Wolf Linder and Isabelle Steffen, *Ethnic Structure, Inequality and Governance of the Public Sector in Switzerland*, January 2006
- PP DGHR 21 Thandika Mkandawire, *Disempowering New Democracies and the Persistence of Poverty*, January 2006

Social Policy and Development

- PP SPD 30 Elisabete Inglesi with Ana Lucia Weinstein, Celi Denise Cavallari, Octavio Valente Junior and Glaury Coelho, *Implicações do Financiamento do Banco Mundial para as Respostas das ONGs e OBCs ao HIV/Aids no Sul e Sudeste do Brasil*, December 2006
- PP SPD 29 María Angélica Alegría Calvo and Eugenio Celedón Cariola, *Historia del Sector Sanitario Chileno: De la Gestión Estatal hasta el Proceso de Privatización*, December 2006
- PP SPD 28 Joseph Tumushabe, *The Politics of HIV/AIDS in Uganda*, August 2006

- PP SPD 27 Laila Smith, *Neither Public Nor Private: Unpacking the Johannesburg Water Corporatization Model*, May 2006
- PP SPD 26, Sandhya Srinivasan and Mini Sukumar, *Liberalization and HIV in Kerala*, April 2006
- PP SPD 25, Olli E. Kangas, *Pensions and Pension Funds in the Making of a Nation-State and a National Economy*, March 2006
- PP SPD 24, Carole J.L. Collins, *Mozambique's HIV/AIDS Pandemic: Grappling with Apartheid's Legacy*, February 2006

Technology, Business and Society

- PP TBS 18 Atul Sood and Bimal Arora, *The Political Economy of Corporate Responsibility in India*, November 2006

*Markets, Business and Regulation*¹¹

- PP MBR 1 Peter Utting and Ann Zammit, *Beyond Pragmatism: Appraising UN-Business Partnerships*, October 2006

Newsletters and brochures

- CN 16 *Ethnic Inequalities and Public Sector Governance* (Report of the International Conference organized by UNRISD, UNDP Latvia and the Latvian Ministry of Integration, 25–27 March 2004, Riga), 2006
- UNRISD, *Social Development Research at UNRISD 2005–2009*, Geneva, 2006

¹¹ This series supersedes Technology, Business and Society.

UNRISD Staff External Publications

- Catherine Agg, “Winners or losers? NGOs in the current aid paradigm”, *Development*, Vol. 49, No. 2, June 2006.
- Yusuf Bangura, “Ethnic inequalities in the public sector: A comparative analysis”, *Development and Change*, Vol. 37, No. 2, 2006.
- Liliana Diaz, “Resources for creating another world: Financial strategies of the world social forum”, *Development*, Vol. 49, No. 2, June 2006.
- Kléber Ghimire, “Introduction: Financial independence among NGOs and social movements”, *Development*, Vol. 49, No. 2, June 2006.
- Terence Gomez (previously as Associate Professor at the Faculty of Economics and Administration, University of Malaya), book review of “Chinese capitalism in a global era: Towards hybrid capitalism”, by Henry W.C. Yeung, London: Routledge, 2004, in *Journal of Contemporary Asia*, Vol. 36, No. 3, 2006.
- Terence Gomez, “Chinese networks and enterprise development: Malaysian investments in China”, *Journal of Contemporary Asia*, Vol. 36, No. 3, 2006.
- Terence Gomez, “Enterprise reform in corporate Malaysia: The state and capital development in the post-currency crisis period”, in Chang Sea-Jin (ed.), *Business Groups in East Asia: Financial Crisis, Restructuring, and New Growth*, Oxford: Oxford University Press, 2006.
- Terence Gomez, “Foreword” in Collin Abraham, *The Finest Hour: The Malaysian-MCP Peace Accord in Perspective*, Petaling Jaya: SIRD, 2006.
- Katja Hujo, “Privatizing pensions: Experiences from Latin America”, in World Economy, Ecology and Development (WEED) (ed.), *Globalization of Financial Services. Political Struggles, Experiences and Alternatives*. Bonn: WEED, 2006.
- Thandika Mkandawire, “Incorporating social policy into the development agenda in Africa”, *News from the Nordic Africa Institute*, No.3, October 2006.
- Edouardo Morena, “Funding and the future of the global justice movement”, *Development*, Vol. 49, No. 2, June 2006.
- Santiago Daroca Oller, “Power relations in the financial aid chain”, *Development*, Vol. 49, No. 2, June 2006.
- Naren Prasad, “Perils of unmanaged exports growth: Fiji’s kava sector”, *Journal of Business and Entrepreneurship*, Vol. 19, No. 4, 2006.
- Naren Prasad, “Privatisation results: Private sector participation (PSP) in water services after 15 years”, *Development Policy Review*, Vol. 24, No. 6, 2006.
- Shahra Razavi, “‘New frontiers of social policy’? and the silences of the ‘Arusha Statement’”, *Global Social Policy*, Vol. 6, No. 3, December 2006.
- Shahra Razavi, “Islamic politics, human rights and women’s claims for equality in Iran”, *Third World Quarterly*, Vol. 27, No. 7, October 2006.
- Shahra Razavi (with Shireen Hassim), “Gender and social policy in a global context”, *News from the Nordic Africa Institute*, No. 3, October 2006.
- Shahra Razavi, “Agrarian change, gender and land rights”, in Mona Elizabeth Brother and Jon-Andreas Solberg (eds.), *Legal Empowerment: A Way Out of Poverty*, Norwegian Ministry of Foreign Affairs, Issue No. 1, June 2006.
- Britta Sadoun, “Donor policies and the financial autonomy of development NGOs”, *Development*, Vol. 49, No. 2, June 2006.
- Peter Utting, “Corporate responsibility and the movement of business”, in Deborah Eade and John Sayer (eds.), *Development and the Private Sector: Consuming Interests*, Bloomfield, CT: Kumarian Press, 2006.
- Peter Utting, “The missing dimension of UN reform: Regaining the intellectual high ground for social development”, *Harvard International Review* (online journal), <http://hir.harvard.edu>, 2006.
- Peter Utting, “Corporate social responsibility” in Roland Robertson and Jan Aart Scholte (eds.) *Encyclopedia of Globalization*. New York: Routledge, 2006.

- Peter Utting, “Rethinking business regulation and corporate responsibility”, in British Council (ed.), *Corporate Social Responsibility and Leadership*, New Delhi: British Council, 2006.
- Peter Utting, “Responsabilidad social empresarial, economía popular y sociedad civil”, in CIPRES (ed.), *Responsabilidad Social Empresarial, Economía Popular y Sociedad Civil*, Cuadernos del CIPRES No. 30, Managua: Centro para la Promoción, la Investigación y el Desarrollo Rural y Social, June 2006.
- Peter Utting, “UN–Business Partnerships and Policy Coherence”, in *The UN–Business Focal Point* (Information Bulletin for UN Private Sector Focal Points), Issue 3, New York: Global Compact Office, October 2006.
- Peter Utting and Kate Ives, “The politics of corporate social responsibility and the oil industry”, *St. Anthony’s International Review: The International Politics of Oil*, Vol. 2, No. 1, May 2006.
- Murat Yilmaz, “Funding social movements through fair trade”, *Development*, Vol. 49, No. 2, June 2006.

UNRISD Reference Centre

320 The Reference Centre holds all UNRISD publications and documents, including materials of historical significance. It also maintains a small collection of journals, books and monographs, and specialized publications for use by the Institute’s staff. UNRISD has 10 paid subscriptions to key journals dealing with its research programme (and which are not available in the United Nations Geneva Library). UNRISD has 15 exchange agreements with other institutions from developing and developed countries.

RESEARCH ASSISTANTS AND INTERNS

321 Young scholars participate in the UNRISD programme of work as research assistants and as interns. A limited number of outstanding students and scholars from around the world are thus offered the opportunity to gain experience in an international research setting. Research assistants and interns are selected on the basis of their academic experience and interests, with interns spending two to three months (on average) at UNRISD, and research assistants a maximum of two years.

322 Research assistants and interns provide essential support to research coordinators in developing project proposals, compiling annotated bibliographies and data, and organizing research seminars and conferences. In the past year, they also authored and co-authored papers; prepared, reported on and participated in conferences; and made presentations to visiting groups of students on UNRISD research and on opportunities for young scholars at the Institute.

Research Assistants (2006)

- Daniela Barrier, Brazil/France
- Maria Victoria Avilés Blanco, Spain
- Santiago Daroca, Bolivia
- Alexandra Efthymiades, Brazil/Switzerland
- Carl-Johan Hedberg, Sweden
- Eleanor Hutchinson, United Kingdom
- Kate Ives, United Kingdom
- Thomas Lavers, United Kingdom
- José Carlos Marques, Portugal/Canada
- Shea McClanahan, United States
- Robert Mukiza, Uganda
- Zarine Rocha, New Zealand
- Anna Sagan, Poland

Interns (2006)

- Paola Ballon, Bolivia
- Beatrix Boonekamp, France
- Stefania Errico, Italy
- Amélie de Flaugergues, Switzerland
- Thomas Frings, Switzerland
- Daniel Malouf, Australia
- Edouard Morena, France/United Kingdom
- Mouhamad Moudassir, Chad
- Nora El Qadim, Morocco/France
- Anders Rafn, Denmark
- Izabela Zydek, Poland

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Sylvie Brenninkmeijer-Liu
Jenifer Freedman
Véronique Martinez
Richard Warren* (to September 2006)
Maria Zaballa* (to November 2006)

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Manuel Riesco
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Tina Nebe (March-August 2006)

* consultant based at UNRISD

¹² See also Research Assistants and Interns (page 87).