**Danish Development Research Network**
*Bringing together knowledge and development*

# Strategic Collaboration on Research for Development

## A Review of the Institutional Framework in Selected European Countries

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# Abbreviations

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| AUCC | Association of Universities and Colleges of Canada |
| BMZ | Federal Ministry for Economic Cooperation and Development |
| BMBF | Federal Ministry of Education and Research |
| CIDA | Canadian International Development Agency |
| CPRC | Chronic Poverty Research Centre |
| Danida | Danish International Development Agency |
| DDRN | Danish Development Research Network |
| DFG | German Research Foundation |
| DGIS | Dutch Ministry of Foreign Affairs |
| ESRC | Economic and Social Research Council |
| Formas | Swedish Research Council for Environment Agricultural Sciences and Spatial Planning |
| FORSKSEK | Secretariat for Research Collaboration |
| IDPM | Institute for Development Policy and Management |
| IDRC | International Development Research Centre |
| IVO | Development Research Institute of Tilburg University |
| Norad | Norwegian Agency for Development Cooperation |
| NUFU | Norwegian Program for Development, Research and Education |
| NUFFIC | Netherlands Organization for International Cooperation in Higher Education |
| ODID | Oxford Department of International Development |
| R4D | Research for Development |
| SANPAD | South Africa-Netherlands Research Program on Alternatives in Development |
| SAREC | Swedish Agency for Research Cooperation |
| SciDevNet | Science and Development Network |
| Sida | Sweden International Development Cooperation Agency |
| SIU | Norwegian Centre for International Cooperation in Higher Education |
| SNV | Netherlands Development Organization |
| SUM | Centre for Development and the Environment at Oslo University |
| UTISØR | Multi- and interdisciplinary Research on Development Paths in the South Program |
| ZEF | The Center for Development Research of the University of Bonn |

# Chapter 1. Introduction

The Paris Declaration[1] on Aid Effectiveness has heralded an accelerated focus on partnership and has included a number of commitments for both donors and partner countries, based on five key principles: Ownership, Alignment, Harmonization, Managing for Results and Mutual Accountability.

These principles and commitments have implications for international collaboration on Research and Development as well as for the development assistance paradigm in general and require donor countries to:

- Put less emphasis on visibility for their international efforts and tie aid to their own suppliers;
- Accept and manage risks in relying on country and other donor systems rather than insisting on applying their own;
- Agree to delegate greater decision-making power to in-country staff; and
- Assure more predictable aid flows[2].

Since 2005, progress has been made by all donors included in this review, in terms of adjusting strategies and policies that are supportive of the five key principles in the Paris Declaration. Greater emphasis has been placed on respecting ownership, though limited administrative capacity in partner countries remains a barrier. Also, donors are increasingly aligning their development aid to countries with Poverty Reduction-type Strategies and national or thematic strategies[3]. As part of adjusting to changes in development policies and strategies, several donor agencies have reorganized their institutional set-up towards a more decentralized structure.

Changes in the development aid paradigm are reflected in policies, strategies and the institutional framework for research funding in donor countries. These changes require universities, research networks and other entities that seek to engage in North-South research collaboration to adjust their strategies.

In order to address these and other changes in the "research environment" Oxford Research has, on behalf of the Danish Development Research Network (DDRN), carried out a review of institutional frameworks for research collaboration in a selected group of countries.

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[1] International agreement intended to improve the quality of aid and its impact on development. Endorsed in March 2005 by OECD countries.

[2] Wood et. Al. 2008.

[3] Ibid.

## 1.1 Executive summary

The Danish Development Research Network expects to launch a second phase of operation later this year. It is envisaged that extended cooperation with similar European organizations will be a permanent feature of the operation of the network. At the same time, processes of globalization involve rapidly changing patterns and policies of collaboration on higher education and research between industrialized and developing countries. On this background, the DDRN has considered it relevant to take stock of past experiences and to clarify options for future interventions.

The purpose of this review is to provide inputs to a discussion of ways forward for research collaboration by synthesizing and documenting institutional arrangements, lessons learned and strategies for research collaboration in a selected group of European countries and Canada. Though findings and recommendations in the following are relevant for the future work of the DDRN, they are primarily targeted at universities or organizations which carry out development research and seek to strengthen future development research collaboration.

'The Danish Development Research Network does not carry out research but works with dissemination and exchange of information; Promotion and exchange of research-based knowledge and facilitation of a network for its members´.

### 1.1.1.1 Summary of main findings

*Detailed summaries of findings are found in Chapter 3: National Frameworks for Research Collaboration and Chapter 4: Strategies, Methods and Lessons Learned on Research Collaboration*

The *main differences* between institutional frameworks for research collaboration in countries reviewed are in terms of organization and strategy. At one end there is the Department for International Development (DFID) in Great Britain with a comprehensive research strategy for 2008-2013. Development research is managed through a central department consisting of six teams which coordinate research on specific areas of expertise including research uptake in the South and communication. Furthermore, DFID employs high profile university scientists/researchers to strengthen their capacity for identifying and assessing new research areas as well as assessing the quality of the research being supported.  At the other end, there is the German development agency BMZ which does not have a single centralized department or agency governing the administration of funds for development research. Research for development falls somewhere between the jurisdiction of the German Federal Ministry of Education and Research and the BMZ and both have influence over policies and strategy for development research.

*Decentralization:* Until recently, the organizational set-up for research collaboration in the Swedish Development Cooperation Agency (Sida) was somewhat similar to that of DFID. However, as part of a decentralization process, research staff has been stationed at embassies and in country offices. The decentralization of development research indicates a move towards integrating or strengthening the alignment of research with other development components e.g. sector program support. An example of this is the Canadian development agency, CIDA, which does not have an overall research strategy. Instead

research support is delivered through multilateral organizations, as components of bilateral and other programs or through Canadian and international research organizations such as the International Development Research Centre (IDRC).

*Increased competition:* Following this tendency towards decentralization and integration of research in other development components is a move towards spending more resources on building research capacity in partner countries and less money on core funding of development research environments in donor countries. Combined with a move towards the untying of research funding and use of research councils as distributers of funding through challenge funds or similar, competition for research funding in donor countries is increasing. In addition to the increase in competition, focus on research results and their usability in policy making has also increased.

Increasing competition for funding of research can diminish strategic research flexibility as it forces universities to prioritize grant winning to meet universities' salary bills which takes time away from research as well as pushes researchers into areas, which are fashionable, rather than stimulating them to pursue long-term research programs.

## 1.1.1.2  Recommendations

*Diversify funding base:* As the competition for research funding increases, research organizations should seek to broaden their funding base. National government contributions could be supplemented with non-governmental funding; e.g. foundations such as Wellcome Trust, the Gates or Rockefeller Foundation and untied funds from other countries (Though currently, DFID is the only development agency with untied funding)

*Pool competencies and increase visibility:* As competition for research funding increases and becomes international or global, it is necessary to sharpen research profiles and strengthen visibility. One way forward could be to establish research centers around specific research areas. Competencies of researchers from different universities could be pooled around such centers. To strengthen visibility, a high priority would be to create a virtual platform with easy access to competencies at specific centers and perhaps the Danish resource base in general.

*Build and maintain network:* Building relations to current researchers and future researchers can strengthen research collaboration in the long run and in short run. Ways forward could be to introduce summer schools for top students from South and strengthen Alumni Network of development-oriented academics and policymakers who have been affiliated with the university. Ways of strengthening networks could be through annual meetings, and integrating alumni in the centre's policy advice activities.

*Align research priorities with partner countries:* In line with overall development policies, an increasing part of support for development research is being distributed directly to South partners. Those funds that are delivered to researchers in North, e.g. through annual calls, are distributed to research projects which shows a clear understanding of development priorities within the given topic or geographical area. Therefore, when applying for funds, time should be spend on assuring that the research project is described in relation to e.g. a country strategy and  that it is clear how the research can contribute to future policy making.

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*Strengthen focus on evaluation of research results:* A continuous challenge in development cooperation is to document the results of outputs. In regards to research collaboration this challenge can seem particular challenging as the outcome and impact of research outputs such as workshops, conferences, research publications and advocacy material etc. are difficult to document. Nevertheless, research projects need to strengthen their results focus through use of log frames in order to facilitate more systematic evaluation. Though the impact of research outputs might be difficult to trace, anecdotal evidence can be gathered which indicate the contribution of outputs to build capacity, influence important policies and increase awareness of key issues.

*Strengthen focus on communication of results:* There is an increasing demand from development agencies for communication strategies as part of research projects. Dissemination of research reports to other researchers or development practitioners is not sufficient. Illustrative of the weight given to communication is that DFID in their research unit has a team which focuses only on communication and furthermore has set aside 30 % of their total budget for research to communication. Universities and research organizations have to think in innovative ways for communicating research results to a broader audience. One possibility is partnerships with local media in developing countries. DFID reports that integrating research results on hygiene and health in local soap operas etc. has been a success.

*Challenge funds:* Financing funding through a competitive process makes sense as a mechanism for selecting the most relevant research projects. However, applying for funding can be resource demanding, especially for researchers in the South which may not have the necessary administrative capacity. Greater use of challenge funds could be accompanied with greater capacity support to researchers in South or a simplification of the application process.

# Chapter 2. Approach

The purpose of this review as stated in the Terms of Reference (ToR) is to provide a knowledge base on the institutional framework in selected European countries for strategic collaboration on higher education and research for development.

More specifically the task has been:

- To document strategies and modalities for collaboration on higher education and research for development between North and South, relevant to discussions in a Danish context
- To profile potential partner organizations in Europe
- To document lessons learnt and future plans of these organizations

A specific purpose of the review has been to provide inputs to discussions at the DDRN conference on 'Strategic Collaboration on Higher Education and Research for Development' including changing patterns and policies of collaboration on higher education and research between industrialized and developing countries and possibilities for extended cooperation with European organizations.

### 2.1.1.1 Scope

The review was carried out during April and May 2009. Due to time constraints the review has primarily focused on research collaboration. Desk research and interviews with key persons indicated that covering both research and higher education equally, would demand more resources than available, as these two areas are often treated separately in country strategies and are covered by different resource persons in development agencies. Nevertheless, focus on higher education is increasing and it would be relevant to carry out a more focused review of this topic alone.

However, research and higher education are of course closely related and outputs of research organizations, institutes or knowledge intermediaries are highly relevant for higher education activities e.g. as a provider of training courses or relevant research results for training. When possible topics related to higher education are therefore included.

The review focuses on strategies and policies for research collaboration and not how research collaboration is carried out. The review does include perspectives from organizations which carry out research activities, but the main focus has been on strategies for future North-South collaboration and lessons learned in regards to a continuation or strengthening of North-South Research collaboration.

The following countries are included in the review: Sweden, Norway, Netherlands, Germany, Canada and Great Britain. These countries were selected as they are all part of the group of 'like-minded donors'.

The review includes country profiles of each of the above mentioned countries. Country profiles include descriptions of the framework for funding North-South research collaboration and descriptions of organizations applying for funding of North-South research collaboration.

Three elements are covered in describing frameworks in donor countries

1. Main *policies and strategies* for North-South collaboration on research for development.
2. The *institutional set-up* and main funding hubs at country level for strategic collaboration on research for development.
3. Description of *research modalities* for strengthening North-South research collaboration applied by donor agency e.g. Public private partnerships, preference for single or multi-year projects etc.

For each country one or more research organizations (institute, knowledge intermediary, association or foundation) have been identified as either a potential partner organization for DDRN or as relevant in terms of strategies and lessons learned in regards to research collaboration. Profiles of these organizations are found in appendix I.

Organizations included in the review have been identified according to their degree of involvement in development research and their innovative or original strategies and or methods for facilitating North-South research collaboration. However, the number of potential research entities which could be of relevance for DDRN and members of the network seeking collaboration partners is plentiful. Organizations in this review only represent a shortlist which could easily be extended further given the necessary time and resources.

### 2.1.1.2 Method

Findings in this review are based upon comprehensive desk research of websites of national development agencies, research councils, organizations, networks and universities and recent papers on research collaboration. To qualify and supplement findings from the desk research phone interviews have been carried out with key persons in development agencies. Phone interviews have also been carried out with representatives from relevant research councils, networks, organizations and universities.

In general, it has been a challenge to carry out this review. Time has been limited and, as pointed out in a 2007 scoping study commissioned by DFID, there is an absence of comparable published data as well as a broad diversity of definitions of research themes and research modalities.

### 2.1.1.3 Contents

Chapter 3 summarizes cross-country findings from the review of institutional frameworks, while Chapter 4 summarizes strategies, methods and lessons learned from our screening of research organizations. Organization profiles are found in Appendix I.

# Chapter 3. National Frameworks for Research Collaboration

This chapter first summarizes cross-country trends emerging from the review of institutional frameworks for research collaboration. These trends are then elaborated upon in individual country reviews.

## 3.1  Cross-Country Trends

In general the institutional set-up for research collaboration has a development agency at its centre which provides funds to research through annual or biannual calls; support to research councils; bilateral development programs and multilateral organizations.

The degree to which research funds are allocated through these modalities varies from country to country. Similarly, the degree to which funding of research can be traced in country strategies and policies depend on the country in question.  In Denmark, only funds administered by Danida's Technical Advisory Service (BFT) are listed as research funds. However, research is also supported to some degree by research councils and through sector programs and regional development assistance as well as through support to multilateral organizations, governed by multilateral organization strategies. Constraints in the available date make it difficult to get an overview of donor spending on development research

In a scoping study commissioned by DFID Central Research Department[4] from 2007, Jones & Young tried to identify the top 10 research donors:

1. Gates Foundation: USD 450m
2. United States Agency for International Development: USD 282m
3. The European Union: USD 254m
4. Research Institute for France: USD 220m
5. The UK Department for International Development: USD 174m
6. Wellcome Trust: USD 143m
7. Swedish International Development Cooperation Agency: USD 135m
8. Medical Research Council (UK): £120-140m
9. The International Development Research Centre of Canada: USD 110m
10. The World Bank: USD 100m.

The figures are based on what government development agencies spent on development research, and according to Jones & Young (2007) in many cases represent estimates as a number of agencies do not keep clear records of exact spending on development re-

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[4] Jones and Young, 2007.

search or include it in broader spending categories linked with education, capacity building and information technology.

In this review we have included figures on funding of development research when available. In comparison to the Jones & Young 2007 report, we find a few noteworthy changes. The IDRC's budget for 2008/09 has risen to about USD 180m, while DFID plans to double their research budget by 2010.[5]

Different modalities through which research funding is delivered is illustrated in figure 3.1.



Figure 3.1: Funding Modalities

*Source: Oxford Research 2009*
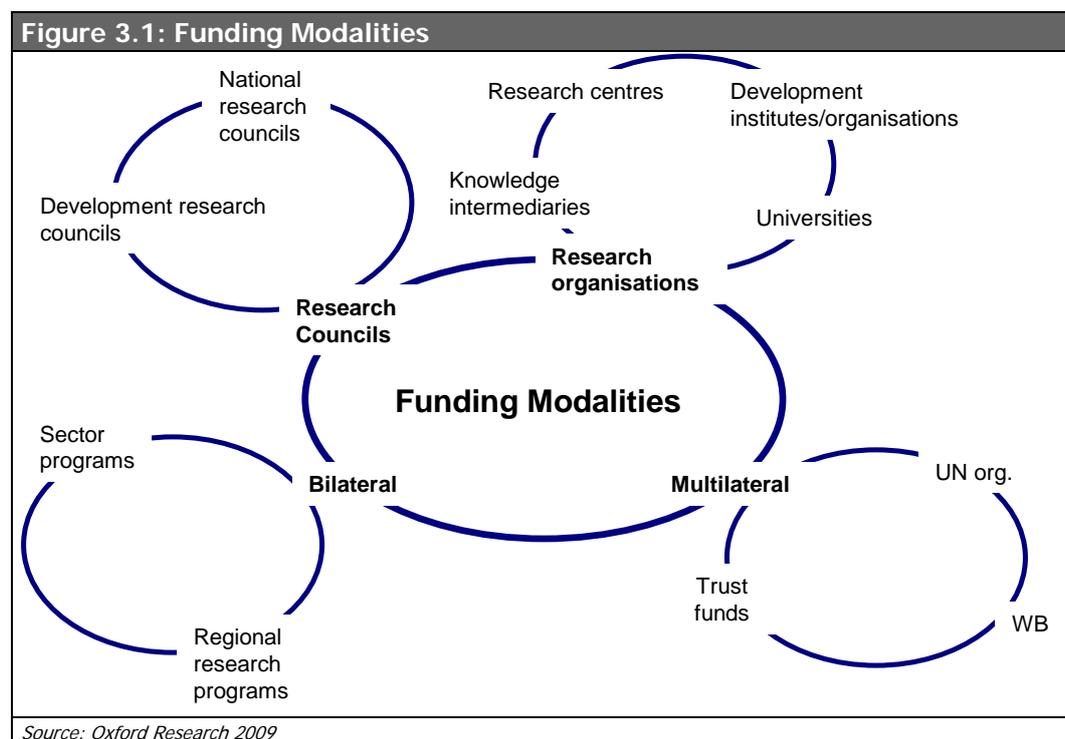
### 3.1.1 Policies & Strategies

With the exception of DFID, research strategies and policies are not easy to identify. While most countries do have strategies, these are found in more general development strategies or e.g. in application guidelines. Some agencies, such as CIDA, do not have a research strategy. Research is supported as components of bilateral and other programs or through Canadian and international research organizations such as the International Development Research Centre. However, support to development research through development agencies is only one component of development assistance provided and overall policies and strategies guiding the development assistance paradigm are also guiding development research. This means that there are not any fundamental differences in research strategies between the countries included in this review. But there are

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[5] DFID, 2008.

differences in regards to what is being highlighted. In the following, country strategies are summarized around selected topics.

- *Capacity building:* Building research capacity in partner countries is a high priority for all countries. At Sida, it is the overriding objective of research cooperation and encompasses support to partner countries in creating a better research environment, researcher training as well as developing methods for planning and determining research priorities. Sida has recently embarked upon capacity building of research councils in partner countries e.g. currently in Tanzania. While CIDA does not have a research strategy, the IDRC, which is a Canadian Crown corporation funded by the Canadian Parliament and the main research organization in Canada, states in their strategy that they will build local capacity and innovative systems in developing countries so that they can undertake research. DFID states that they will focus on capacity building in all types of research collaboration and Norwegian Agency for Development Cooperation (Norad) also focus their collaborative efforts on capacity building, institutional development and intra-network cooperation. Research programs supported by Dutch Ministry of Foreign Affairs (DGIS) aim to strengthen the research capacity in partner countries. DGIS aim to supports knowledge networks and intermediary organizations geared to strengthen capacity to access, circulate and use relevant knowledge. The Federal Ministry for Economic Cooperation and Development (BMZ) and the Federal Ministry of Education and Research (BMBF) also has knowledge circulation as a high priority e.g. through open access initiatives and facilitating access to current scientific and technological knowledge. Other BMZ/BMBF priorities are to support the individual promotion of highly qualified researchers by developing international networks of individuals and/or alumni while strengthening the institutions in developing countries.

- *Research into policy*: Development research should result in more informed policy making.  This opinion is shared by several donors e.g. CIDA which is committed to improving the use of research to strengthen policy. DFID has the Integration of research with policy as one of six key priorities. As a cross-cutting strategic priority, Norad states that research should be able to swiftly inform public administrators and DGIS states that a central priority is to strengthen the link between research and policy in both developing countries and within the Dutch context. To do that, efforts are made to strengthen the integration of research in bilateral, theme-based, and multilateral programs.

### 3.1.2   Institutional set-up

- *Decentralization:* In recent years, there has been a tendency towards decentralization of development assistance. This tendency is also found in the organization of research collaboration. Much like Denmark, the Netherlands relies on a "decentralized" system in which embassies are responsible for policy dialogue with partner country governments and other donors etc. Until October 2008 the main body for Swedish development research collaboration SAREC (Swedish Agency for Research Cooperation with Developing Countries) had its headquarters in Sweden. But it was dissolved as part of a reorganization process and a majority of former SAREC staff are now working from embassies in partner countries as well as in Sida country teams. DFID considers strengthening their decentralization of research collaboration by stationing research employees at country offices or setting up regional research hubs. This

would enable a better use of existing local networks and improve insights about country needs.

- *Research councils:* Swedish research councils also fund development research. The main research council is the Swedish Research Council (Vittenskabsraadet) which funds basic research at Swedish higher education institutions and research institutes. Another research council which supports research collaboration is the Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning (Formas). Canada's three main research granting councils support North-South research collaboration to varying degrees. These include the Natural Sciences and Engineering Research Council of Canada, the Social Sciences and Humanities Research Council, and the Canadian Institutes of Health Research. In the Great Britain DFID participates in a Joint Research Funding Scheme the Economic and Social Research Council (ESRC) and in Germany, the German Research Foundation (DFG) is a main source of funding, aside from BMZ.

### 3.1.3  Modalities

- *Challenge funds:* In addition to regular calls, Sida provides funding through a Research Links Program which seeks to foster research ties between researchers in Sweden, on the one hand, and researchers in South. The key condition for the Program is that researchers from the countries involved must submit joint applications on projects of mutual interest. A similar modality is IDRC's Research Partnerships Challenge Fund. A challenge fund is a financing mechanism that appropriates grants funding through a competitive process. The fund seeks to meet the growing interest in North-South collaborative and comparative international research and reward innovative and efficient research endeavors between North and South, IDRC selects recipients based on a stringent and competitive peer-review process. DFID also employs a challenge fund concept. The selection process prioritizes specific objectives by assessing bids against transparent criteria. Organizations are invited to submit proposals to adapt and apply research results in specific areas.  The bidding process is open, competitive, and incentivizes organizations in partner countries to put the latest research into use.

> **Research Modalities**
>
> - Research Links Program
> - Partner Driven Cooperation
> - Co-funding
> - Parallel Funding
> - IDRC Research Partnerships Challenge Fund.
> - Research for Development (R4D)
> - Challenge Funds
> - Research Program Consortia
> - Twinning
> - Quota Scheme

- *Research Program Consortia:* Another interesting DFID modality is their Research Program Consortia.  They are made up of a group of institutions (4-6) including (or exclusively) institutions in developing countries centered on a particular research and policy theme. Today most applicants are researchers from Great Britain which have the necessary resources for filling out applications. In order to make it make it easier

for southern partners to apply for funding DFID is working on a new application guideline is being developed.

- *Twinning:* In Norway the NUFU program typically operates by matching existing resources to Southern research needs, a modality known as twinning. Through this modality, NUFU funds research, scholarships and project management. The rest of project funding relies on "twin" contributions from partner institutions from both partner institutions in the South and Norway.

*Other types of modalities are*: *Co-funding:* Involves one or more donors financing all or part of a project managed by IDRC. This approach enables projects to have a broader scope and a deeper impact. *Parallel funding:* Projects that are initiated by IDRC but managed by an external donor. It enables for project expansion to areas where IDRC would not otherwise be able to contribute. *Research for Development (R4D)* A virtual interface that connects researchers within topic areas and orients them as to DFID's own research initiatives. The portal employs several interactive features to engage researchers and harmonize their efforts; *Quota Scheme:* This scheme promotes the internationalization of higher education by providing funding for 800 students in the South. The Norwegian State Educational Loan Fund manages the support for Quota students. About 30 percent of the amount is given as a grant and 70 percent as a loan. To incentivize students to return to South with their newfound expertise, the Norwegian State Educational Loan Fund waives the loan if the students return to their country of origin.[6]

## 3.2 Sweden

### 3.2.1 Policies and Strategies

The majority of Sweden's development aid (app 55%) is managed by the Swedish Development Agency (Sida). The most important instruments that govern Swedish development cooperation, including research cooperation, are cooperation strategies. The cooperation strategies are based on the poverty strategies and analyses that have been produced by the partner countries and other stakeholders.

The overriding objective of Sida's research cooperation, as decided by Parliament, is to "*strengthen the research capacity of partner countries and promote development-oriented research.*" Strengthening research capacity encompasses support to partner countries in creating a better research environment, researcher training as well as developing methods for planning and determining research priorities. Another important aim of Sida's research strategy is to establish and maintain a knowledge base of relevance to development issues and to build capacity for developing country research in Sweden[7].

Sida normally focuses on support to research universities with a central position in the national system for research and education. Recently Sida has embarked upon capacity building of research councils in partner countries e.g. currently in Tanzania. The purpose is to strengthen administrative and management capacity of the national research councils. In countries with established research capabilities, Swedish support may be directed towards producing new knowledge in line with thematic research priorities, and towards maintaining links with Swedish research.

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[6]24.04.09 http://www.siu.no/en/Programme-overview/Quota-Scheme

[7] Sida 2009/May: http://www.sida.se.

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Sida also support regional research networks formed to enhance national capacity and/or address thematic research priorities. Sida contributes to the core funding of some well-established and recognized regional organizations and supports international research programs that address issues of high relevance for poverty reduction and development[8] e.g. www.eldis.org; an online share-point for development policy, practice and research.

### 3.2.2 Institutional Set-up and National Funding Hubs

During 2008, Sida disbursed about SEK 1046 million to research cooperation. The total disbursement shows a slight decrease of SEK 11 million compared to 2007. Other major Swedish actors in the field of international development cooperation are the Ministry for Foreign Affairs and the Swedfund[9]. The following focuses on funding of research through Sida.

In October 2008, the main body for Swedish development research collaboration SAREC was dissolved as part of a reorganization process, which has decentralized Swedish re-search collaboration. As a consequence, a majority of SAREC staff are now working from embassies in partner countries as well as in Sida country teams. However, the admini-stration and distribution of research support remains centralized in the Secretariat for Research Collaboration (FORSKSEK).

#### 3.2.2.1 Institutional Set-up

FORSKSEK is overall responsible for the administration of bilateral and multilateral sup-port for research. FORSEK has a wide mandate in research support, encompassing natu-ral sciences and technology, social science and humanities, natural resources and envi-ronmental protection as well as health care. FORSEK also contributes to capacity building, for example through support for establishing universities and research councils in devel-oping nations. The programs, addressing this type of support, are administered directly through the Sida country teams.

In addition to supporting research in partner countries, FORSKSEK supports development research in Sweden in line with priorities and strategies defined in the Swedish Policy for Global Development. Grants are allocated to project proposals which are submitted and subjected to peer-review. The purpose of this support is primarily to maintain a Swedish resource base for developing country issues and to contribute to international under-standing in Swedish universities. In the period 2009 – 2011, additional resources have been allocated to Sida to support research in contagious diseases[10].

#### 3.2.2.2 National Funding Hubs

FORSKSEK is the main funding hub for research development in Sweden. The total budget is app. 1 Billion SEK of which app. 300-400 million SEK is distributed directly to research programs in partner countries[11]; while app. 300-400 million goes to multilateral support and app. 200 million are distributed through FORSKSEK funding mechanisms (See section on modalities below)

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[8] Sida 2009/May:  http://www.sida.se.

[9] Sida 2009/April: http://www.sida.se.

[10] Sida, 2009.

[11] Partner Countries: Rwanda; Uganda; Ethiopia; Tanzania; Laos; Sri Lanka; Vietnam; Bolivia; Honduras; Nica-caraua

However, Swedish research councils also fund development research. The main research council is the Swedish research Council (Vittenskabsraadet) which funds basic research at Swedish higher education institutions and research institutes. Another research council which supports research collaboration is the Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning (Formas).

*The Swedish Research Council* is part of Sida's Research Link Program which seeks to foster research ties between researchers in Sweden and researchers in developing countries (See section on modalities below).

The Swedish Research Council and the Economic and Social Research Council (ESRC) in Great Britain have signed a special agreement to facilitate joint project applications by researchers from Sweden and the UK. The aim is to improve scope for collaboration between researchers from the two countries. The cooperation agreement covers research in the Social Sciences only[12].

*Formas* is a governmental research-funding agency related to the Ministry of the Environment. In cooperation with Sida, Formas supports research collaboration between Swedish scientists and scientists in developing countries with the aim of contributing to a sustainable global development in third world countries. The program budget is 30 million SEK and is carried out between 2007- 2009. (The total budget of Formas is app. 600 million SEK per year)[13]

## 3.2.3  Modalities

In addition to regular calls, Swedish research funding is granted through two mechanisms 1; the Swedish Research Links Program and 2; Partner-Driven Cooperation.

### 3.2.3.1  The Swedish Research Links Program

This program is funded by Sida but administered by the Swedish Research Council. The program seeks to foster research ties between researchers in Sweden, on the one hand, and researchers in Asia, the Middle East and North Africa region and South Africa, Botswana and Namibia on the other. The key condition for the Swedish Research Links Program is that researchers from the countries involved must submit joint applications on projects of mutual interest.

The Swedish Research Links Program offers two forms of grant for international collaboration: the International Research Grant (normally awarded for three years) and the International Planning Grant (one year). The Program's research grants, fund research partners' joint activities, such as project visits, seminars, workshops and joint publishing. Minor items of equipment for use in collaborative projects may also be funded. Funding is awarded for both basic and applied research[14].

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[12] Swedish Research Council 2009/April: www.vr.se

[13] Formas 2009/April: www.formas.se

[14] The Swedish Research Links Programme is funded by the Swedish International development Cooperation Agency (Sida) and administered by the Swedish Research Council. The South African part of the programme is co-funded and jointly run by the National Research Foundation of South Africa.

### 3.2.3.2 Partner Driven Cooperation

The basic idea behind partner driven cooperation is for the partners to fund the cooperation themselves, though it should be possible to use ODA (Official Development Assistance) in the beginning. Measures within partner-driven cooperation should be designed to stimulate self-supporting relationships of mutual interest with common ownership and a division of responsibility. Researchers with project ideas can contact Sida/FORSKSEK which have the ability to fund relevant projects.

## 3.3 Canada

### 3.3.1 Policies and Strategies

The Canadian International Development Agency (CIDA) is Canada's lead agency for development assistance and administrates the bulk of Canada's official development assistance. CIDA's overall development policies are in line with the key principles in the Paris declaration which have led to decisions to concentrate funding in twenty countries and to post more CIDA staff to the field.

CIDA does not have an overarching research strategy, but recognizes the importance of research to achieve aid effectiveness and poverty reduction. Research for international development is undertaken or supported by CIDA mainly through support to multilateral organization, as components of bilateral and other programs or through Canadian and international research organizations such as the International Development Research Centre (IDRC), the North South Institute and the International Institute for Sustainable Development.[15]

CIDA is committed to improve the use of research to strengthen policy and is engaged in a range of activities to improve the quality of the evidence used to build policy.

### 3.3.2 Institutional Set-up and National Funding Hubs

#### 3.3.2.1 Institutional Set-up

Alongside CIDA, the IDRC is a hub for North-South research collaboration in Canada. The IDRC is a Canadian Crown corporation funded by the Canadian Parliament that works through networks which link institutions and/or individuals around a common research theme or purpose. In certain cases, members of such networks include policymakers, civil society and the private sector; in other cases, the networked modality has a narrower focus, and is defined by a discipline or function. The IDRC is guided by an international Board of Governors and reports to the Canadian Parliament through the Minister of Foreign Affairs.[16]

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[15] CIDA 2009/April: http://www.acdi-cida.gc.ca.

[16] IDRC, 2005: "Corporate Strategy."

### 3.3.2.2 National Funding Hubs

In 2008, CIDA spent about 40 million CAD on research, with 46% directed to agricultural research and 24% directed to health research. In 2008/09, IDRC received 162 million CAD in funding from the Parliament of Canada.

Beyond CIDA and IDRC research initiatives and partnership funding, Canada's three main research granting councils support North-South research collaboration to varying degrees. These include the Natural Sciences and Engineering Research Council of Canada, the Social Sciences and Humanities Research Council, and the Canadian Institutes of Health Research.

## 3.3.3 Modalities

The IDRC employs a number of modalities for North-South research collaboration. These are co-funding, parallel funding and knowledge sharing and exchange.

### 3.3.3.1 Co-funding

Co-funding is the IDRC's most common partnership modality. It involves one or more donors financing all or part of a project managed by IDRC. Co-funding enables projects to have a broader scope and a deeper impact. IDRC and the donating partners make joint decisions during the execution of the research project.

### 3.3.3.2 Parallel Funding

Parallel funding occurs for projects that are initiated by IDRC but managed by an external donor. It enables for project expansion to areas where IDRC would not otherwise be able to contribute.

An example of parallel funding is the development of a collaborative tool that utilizes directories, databases, communication utilities, and an on-line education platform to enhance North-South research output[17].

### 3.3.3.3 Knowledge Sharing and Exchange

Knowledge sharing and exchange is an underlying aspect in many IDRC research partnerships. In such partnerships, IDRC draws upon its experience in development research and facilitates knowledge exchange between researching parties. This policy helps reduce instances of research duplication and fill-in gaps in the current body of research.[18]

### 3.3.3.4 IDRC Research Partnerships Challenge Fund.

This type of funding is designed to incite development of new research consortia and support larger-scale research programs. The fund seeks to meet the growing interest in North-South collaborative and comparative international research and reward innovative and efficient research endeavors between north and south.[19] IDRC selects recipients based on a stringent and competitive peer-review process.[20]

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[17] See case example in appendix.

[18] IDRC, 2009.

[19] IDRC 2009/April: http://www.idrc.ca.

[20] Ibid.

On-line courses aim to connect existing networks and knowledge communities in Canada and Latin American countries. These courses involve virtual education, substantive courses, professional development, skills updating, and a methodological course stream on participatory research.

# 3.4 Great Britain

## 3.4.1 Policies and Strategies

The Department for International Development (DFID) manages Great Britain's development assistance. Overall policies and strategies are aligned with principles of the Paris declaration and focused on the Millennium Development Goals: Supporting long term programs to help tackle the underlying causes of poverty.

DFID's policy for research breaks into four categories: New knowledge to shape policy, evidence and new research used for better decision-making, creating and using new technologies, and capability to do and use research[21]. DFID's research focuses on six areas: Growth; Sustainable agriculture; Climate change; Health; Governance in challenging environments and; Future challenges and opportunities. Among key priorities for research are: Integrating research with policy; focus on capacity building in all types of research collaboration and; strengthening communication of results.

DFID also set aside funds for high risk research projects. Key areas for these types of research projects are: Strategic questions in regards to development policy and; new emerging technologies such as nano, biotech or new communication technologies.

In order to strengthen the capability of DFID to identify and assess new research areas as well as assessing the quality of the research being supported, DFID is engaging with high profile university scientists/researchers. Scientists and researchers are employed for e.g. two - three days a week, while also being employed at a university.

In the coming years DFID will strengthen its program consortia model and increase joint programs with other funders both internationally and with British research councils. In regards to the program consortia model a new guidance for application is being made which should make it easier for southern partners to apply for funding. Today most applications are from British researchers which have the administrative resources necessary to apply.

In regards to evaluating the results of research, DFID is embarking on a comprehensive Monitoring & Evaluation of research to demonstrate impact. An overarching framework for monitoring DFID's 2008-2012 strategy was completed in April.

## 3.4.2 Institutional Set-up and National Funding Hubs

### 3.4.2.1 Institutional Set-up

DFID's centrally funded research is divided into six teams. Five teams coordinate research on specific areas of expertise and one team is in charge of research uptake in the South.

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[21] DFID, 2008.

The research uptake team works with the other groupings to improve impact of research through communication, dissemination and getting research into use[22]. DFID considers strengthening the decentralization of research collaboration by stationing research employees at country offices or setting up regional research hubs. This would enable a better use of existing local networks and improve insights about country needs.

### 3.4.2.2 National Funding Hubs

Financing for development research in Great Britain is primarily undertaken by DFID in coordination with research councils. DFID has committed 1 billion GBP for research in development. During this period, DFID research funding priorities will shift increasingly towards knowledge management, lesson learning, and communication.[23] An important case in point is the Joint Research Funding Scheme between DFID and the Economic and Social Research Council (ESRC). This joint funding scheme offers an untied 13 million GBP to researchers in and outside of Great Britain.[24]

## 3.4.3 Modalities

To support these types of research, DFID channels funding through a number of modalities:
- Multilateral core-funded
- Bilateral/directly managed
- UK Research Councils
- Other directly managed projects
- Joint/collaborative

In addition to these modalities, DFID utilizes an internet portal and challenge funds as modalities to support research for development and through Research Program Consortia.

### 3.4.3.1 Research for Development (R4D)

To facilitate knowledge transfer among research entities, DFID has developed a portal called Research for Development (R4D). This virtual interface connects researchers within topic areas and orients them as to DFID's own research initiatives. The portal employs several interactive features to engage researchers and harmonize their efforts. One feature, called Communication Corner, offers advice on how to start and provides a range of resources and organizations to help researchers communicate more effectively. It is a platform where researchers share their progress and achievements and challenge their colleagues[25].

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[22] R4D, 2009/April: http://www.research4development.info.

[23] DFID 2008.

[24] DFID 2009/April: http://www.dfid.gov.uk

[25] R4D 2009.

### 3.4.3.2 Challenge Funds

To stimulate the uptake of research results in the South, DFID employs a challenge fund concept. A challenge fund is a financing mechanism that appropriates grants funding through a competitive process. The selection process prioritizes specific objectives by assessing bids against transparent criteria. Organizations are invited to submit proposals to adapt and apply research results in specific areas. The bidding process is open, competitive, and incentivizes organizations in partner countries to put the latest research into use.

### 3.4.3.3 Research Program Consortia

Research Program Consortia's (Earlier known as Development Program Consortia) are centers of specialization around a particular research and policy theme. They are made up of a group of institutions (4-6) including (or exclusively) institutions in developing countries. DFID is working towards making it easier for southern partners to apply for funding. Today most applicants are researchers from Great Britain which have the necessary resources for filling out applications. A new application guideline is being developed.

In addition to the modalities described, researchers in Great Britain benefit from a variety of initiatives to encourage research projects for South development. This support includes mentoring, post-doctoral fellowships, research fellowships, research fellowships and assistantships, co-supervision of new doctoral students, joint funding applications, financial and logistical support for organizing workshops and conferences.[26]

## 3.5 Norway

### 3.5.1 Policies and Strategies

The Norwegian Agency for Development Cooperation (Norad) manages Norway's development assistance. The main goal of Norwegian development cooperation is to contribute towards lasting improvements in the economic, social and political conditions under which people live in developing countries, with special emphasis on assistance which benefits the poorest sector of the community.

Policy governing North-South research collaboration follows Norad's policy for development cooperation policy which includes:

- Ensuring a strong focus on results,
- Aligning Norwegian support with partner priorities and, as far as possible with partner systems for planning, implementation and monitoring,
- Strengthening partner capacity plan, carry out and report on results,
- Channeling funds through joint financing arrangements and finding possibility for delegated cooperation, and
- Harmonizing donor requirements to reduce partner transaction costs.[27]

Specific strategies for research collaboration include internationalization of collaborative processes and dissemination of project results as well as building expertise and improving

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[26]R4D 2009/April: http://www.research4development.info.

[27] Norad, 2005.

the basis for decision-making for Norwegian development policy. Collaborative efforts also focus on capacity building, institutional development and intra-network cooperation. A central strategic priority for research collaboration is a bottom-up approach and a long-term institutional commitment from partners in the south. A cross-cutting strategic priority is that research should be able to swiftly inform public administrators[28] [29].

## 3.5.2 Institutional Set-up and National Funding Hubs

### 3.5.2.1 Institutional Set-up

Support for development research in Norway is financed by Norad and is administered by the Norwegian Centre for International Cooperation in Higher Education (SIU) and the Research Council of Norway. Both SIU and RCN administer programs that enhance Norwegian North-South research collaboration. These are the Norwegian Program for Development, Research and Education (NUFU) and the Multi- and interdisciplinary Research on Development Paths in the South Program (UTISØR) respectively.

### 3.5.2.2 National Funding Hubs

Norad is responsible for allocating funds for North-South research collaboration.[30] Norad finances the NUFU program which facilitates North-South collaboration. NUFU has a total budget frame of NOK 300 million for the 2007-2011 program period.[31]

The UTISØR program, financed by Norad, plays a vital role in strengthening development research by producing new expertise and steering research activity toward North-South issues. For the 1998-2007 program period, UTISØR allocated close to NOK 170 million.[32]

## 3.5.3 Modalities

To facilitate North-South research collaboration, Norway employs a diverse set of modalities including: Twinning; master's degree programs; arts and cultural education program and; a quota scheme.

### 3.5.3.1 Twinning

The NUFU program typically operates by matching existing resources to Southern research needs, a modality known as twinning. Under this modality, NUFU fund research, scholarships and project management. The rest of project funding relies on "twin" contributions from partner institutions from both partner institutions in the South and Norway. In this sense, NUFU's twinning modality is not a comprehensive funding scheme but a way of supporting collaboration in higher education and research within an institutional

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[28] UTISØR, 2008.

[29] Mangerud, 2008.

[30]Norwegian Government 2009/April: http://www.regjeringen.no.

[31] SIU 2009/April: http://siu.no

[32] UTISØR, 2008.

frame. NUFU enters the project as a collaboration facilitator and leaves project management to the North-South partners.[33]

The partnership model applied in NUFU Programs rests on the principles of equality, mutual benefit, and institutional commitment and ownership. The model is decentralized and leaves project initiation, implementation, monitoring and reporting to partner institutions. Because of the time-consuming nature of development research, NUFU focuses on academic cooperation in a long-term perspective.[34]

A central purpose of the partnership model is to provide Southern partners with increased structural access to information, technology, professional networks and publication channels[35] [36].

### 3.5.3.2   Master Degree Program

The goal of the Program for Master Studies is to provide financial support to develop and run master degree programs in conjunction with corresponding North-South higher education institutions. The aim is to educate staff in the public and private sector in the South.[37]

### 3.5.3.3   Arts and Cultural Education Program

In a similar vein as the Master's Study modality, Norad finances a program in arts and education. The goal for the program is to strengthen cultural education institutions and contribute to the professionalization of artists and art forms in the South.[38]

### 3.5.3.4   Quota Scheme

Another Norwegian collaborative mechanism is a Quota Scheme for students from the South. This scheme promotes the internationalization of higher education by providing funding for 800 students in the South. The Norwegian State Educational Loan Fund manages the support for Quota students. About 30 percent of the amount is given as a grant and 70 percent as a loan. To incentivize students to return to South with their newfound expertise, the Norwegian State Educational Loan Fund waives the loan if the students return to their country of origin.[39]

Other collaborative modalities in Norway include a PhD scholarship program for Pakistani nationals, a student exchange program between South Africa and Norway and an agreement to support three Tanzanian universities.[40]

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[33] NUFU 2009.

[34] NUFU 2009.

[35] NUFU 2009.

[36] The NUFU reports that the twinning partnership model reaps a host of benefits. As an example, Southern partners develop an improved administrative capacity, a library database and ICT infrastructure, and Northern partners benefit from the integration of North-South research mechanism in day-to-day operations.

[37] Mangerud, 2008.

[38] SIU 2009/April: http://www.siu.no.

[39] Ibid.

[40] Ibid.

## 3.6 The Netherlands

### 3.6.1 Policies and Strategies

Within the Dutch Ministry of Foreign Affairs, the Directorate-General for International Cooperation (DGIS) is responsible for development cooperation policy, coordination, implementation, and funding. Dutch development policy is focused on achieving the United Nations' Millennium Development Goals and in line with key principles of the Paris declaration.

The main goal of the Dutch research policy is to use knowledge and research effectively in efforts to combat poverty and support sustainable development. Research programs aims to strengthen the research capacity in partner countries. Its higher education programs aim to bolster universities by for example awarding scholarships[41]. A central priority is to strengthen the link between research and policy in both developing countries and within the Dutch context. Efforts are therefore made to strengthen the integration of research in bilateral, theme-based, and multilateral programs. DGIS does not aim to fund research at universities or individuals, but supports knowledge networks and intermediary organizations geared to strengthen capacity to access, circulate and use relevant knowledge.

An important principle of Dutch development research strategy is emphasis on needs in developing countries. The development research approach must dovetail with partner countries' poverty reduction strategies, and efforts must be made to cooperate and exchange information with other donors, both in the partner countries and at the central level. A key point in Dutch strategy is that development cooperation should be in the mutual interests of wealthy nations and their developing partners. The policy further stresses the shared responsibility of private partners. This view has led to broader cooperation with and between other partners[42].

### 3.6.2 Institutional Set-up and National Funding Hubs

#### 3.6.2.1 Institutional Set-up

The research policy is managed and coordinated by the Cultural Cooperation, Education & Research Department within the Ministry of Foreign Affairs.

The Netherlands relies on a "decentralized" system in which embassies are responsible for policy dialogue with partner country governments and other donors, formulation of Dutch country and sector policy, and assessment, approval and monitoring of implementation activities within the limits of the "delegated funds"[43] [44].

Furthermore, the ministry allocates substantial funding for development research to the Netherlands Development Organization, and the Netherlands Organization for Interna-

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[41] Dutch MFA 2009/May: http://www.minbuza.nl

[42] Dutch Ministry of Foreign Affairs, 2005.

[43] OECD, 2006.

[44] Dutch MFA 2009/April: http://www.minbuza.nl.

tional Cooperation in Higher Education (Nuffic). Nuffic is currently administrating Netherlands fellowship program.

### 3.6.2.2 National funding hubs

The Dutch Ministry of Foreign Affairs is the financial hub for development research in the Netherlands.

The primary source of indirect government funding for development research is WOTRO, the science division within the Netherlands Organization for Scientific Research, which supports scientific research on development issues, in particular poverty alleviation and sustainable development. Its scope includes all low and middle-income countries. WOTRO acts at the interface of the Dutch government, the academic world and the arena of development organizations.[45]

## 3.6.3 Modalities

The Netherlands development research policy is increasingly moving towards being understood through the system approach.[46] Research and education are viewed as parts of a larger system in which researchers, farmers, businesses, civil society, interest group organizations and policy-makers exchange knowledge to bring about social and economic improvements. The System approach underpins both bilateral programs and theme-based or regional-based programs.[47]

Within the framework of bilateral programs' priorities, embassies[48] can deploy resources for research and so can departments[49] within the framework of theme-based or regional-based programs.

In addition to supporting research through bilateral and regional-based or theme-based programs, support for research is delivered through support to International organizations (E.g. World Bank and United Nations); Non-governmental organizations and in partnerships.

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[45] NWO – WOTRO 2009/May: http://www.nwo.nl.

[46] The system approach involves focusing, not on the individual parts of the development system, but on their interaction.

[47] Dutch Ministry of Foreign Affairs, 2005.

[48] Embassies can deploy resources to research with the purpose of establishing/implementing a national knowledge and research policy; support research and local research capacity using the principles of the system approach; carry out or commission strategic research to improve or assess the poverty reduction strategy or the effectiveness of development efforts in the partner country; and invest in ties between policymakers and researchers, with a view to joint agenda setting.

[49] Departments can deploy resources in order to: develop knowledge networks and innovation systems within their own policy field; promote research within their own policy field, for instance with a view to drafting, amplifying or assessing multi-year strategic plans or exploring organizational issues within a specific sector or theme (in consultation with interested parties in developing countries, international agencies, other donors and/or co-financing organizations); work with national and international knowledge institutes and networks in North and South with a view to gaining access to existing knowledge and research findings; promote synergy with other donors and strengthen the Dutch role in multilateral agencies; promote the link between research and policy; and keep abreast of knowledge development and research findings.

## 3.7 Germany

### 3.7.1 Policies and Strategies

The Federal Ministry for Economic Cooperation and Development (BMZ) manages Germany's development assistance. BMZ forms its policy according to the tenets of the Paris Declaration[50]. In regards to research policy this means that focus is on building the capacity of higher education institutions in the developing world.[51]

Research for development falls somewhere between the jurisdiction of the Federal Ministry of Education and Research (BMBF) and the BMZ (the Federal Ministry for Economic Cooperation and Development) and both have influence over main policies and strategy for development research.

BMBF's strategy aims to intensify the international activities of Germany's science, research and intermediary organizations. It seeks to improve coordination between and better facilitate the exchange of information among German and non-German stakeholders.[52] Other priorities are: To support the individual promotion of highly qualified researchers by developing international networks of individuals and/or alumni while strengthening the institutions in developing countries in order to build, maintain and extend robust science structures and; facilitate access to current scientific and technological knowledge for developing countries, for example by promoting open access initiatives, while meeting the requirements of intellectual property protection[53].

### 3.7.2 Institutional Set-up and National Funding Hubs

#### 3.7.2.1 Institutional Set-up

Germany does not have a single centralized department or agency governing the administration of funds for development research. Funds for development research principally come from Division 210 of the BMZ and Directorate General 2 of the BMBF.

#### 3.7.2.2 Funding hubs

BMBF spent USD 72.9 million in 2006 on development research and education, which comprised about 0.9% of Germany's Official Development Assistance (ODA) for the fiscal year. BMBF allocated all of these funds on a bilateral basis.

Research for development also occurs as a portion of a development aid program, which is coordinated by joint agreements between the BMZ and the BMBF on an ad hoc basis. For other North-South research projects for development, the German Research Foundation (DFG) is a main source of funding.[54]

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[50] BMZ, 2009.

[51] OECD/BMBF, 2008.

[52] Kooperation International 2009/May: http://www.kooperation-international.de

[53] Federal Ministry of Education and Research, 2008.

[54] DFG 2009/April: http://www.dfg.de/en/international/international_cooperation/index.html.

# Chapter 4. Strategies, Methods and Lessons Learned on Research Collaboration

As stated in ToR one of the objectives of this review was to identify potential partner organizations and lessons learned for research collaboration. Organizations included in this review by no means represent a complete sample of relevant research organizations. The number of potential research organizations which *could* be of relevance for DDRN and members of the network seeking collaboration partners is plentiful.

The research organizations included in the review is illustrative of the diversity of actors in the development research field; from universities to research councils and knowledge intermediaries. Strategies, methods and lessons learned from these should be relevant in a Danish context and hopefully provide valuable inputs to future research collaboration arrangements.

The research organizations included in the review are listed in figure 4.1

| **Figure 4.1: Research Organizations Included in the Review** | | |
|---|---|---|
| **Sweden** <br> Lund University <br> Uppsala University | **Norway** <br> Norwegian Centre for International Cooperation in Higher Education <br> University of Bergen <br> Centre for Development and the Environment at Oslo University | **Germany** <br> The Center for Development Research at University of Bonn <br> German Research Foundation |
| **United Kingdom** <br> Science and Development Network <br> Oxford Department of International Development <br> Institute for Development Policy and Management | **Canada** <br> Association of Universities and Colleges of Canada | **Netherlands** <br> Netherlands Development Organization <br> Netherlands Organization for International Cooperation in Higher Education <br> SANPAD |

In the following, strategies, methods and lessons learned in regards to research collaboration are summarized around thematic issues. Individual organization profiles are found in Annex I.

- *Diminished strategic research flexibility:* Both Lund and Uppsala University in Sweden finds that there is an increasing use of targeted funding at the expense of unrestricted funds. This forces universities to prioritize grant winning to meet universities'

salary bills which takes time away from research as well as pushes researchers into areas, which are fashionable, rather than stimulating them to pursue long-term research programs. Consequences are that issues such as the application of research to practical problems in developing countries, becomes less prioritized. Similar concerns are shared by Bergen and Oslo University in Norway; within the past couple of years the Norwegian Agency for Development Cooperation has channeled a greater percentage of funds to Southern partners and moved towards prioritizing applied research projects with fast and impactful results. This increase in focus on results is followed by a similar increase in the restrictiveness of evaluation standards. Perhaps as a consequence of these changes, research organizations seek to broaden their funding base. One example of this is the Netherlands Development Organization which in order to supplement government contributions with non-governmental funding works towards diversifying partnerships and broadening the income base. The Centre for Development and the Environment at Oslo University also has as a main priority to diverse their funding portfolio.

- *Towards focus on mutuality in research collaboration:* Within the field of Social Corporate Responsibility there has in recent years been a shift away from philanthropic contributions towards strategic partnerships characterized by mutuality. A similar tendency is found in country strategies for research collaboration e.g. for Germany and the Netherlands. At university level this trend is also found: The Center for Development and the Environment at Oslo University seek projects that are mutually beneficial for North and South partners, and adhere to principles of solidarity and self-interest when entering partnership agreements. This is also a priority for the Association of Universities and Colleges of Canada as stated in one the Associations tenets for improving collaboration; North-South research collaborators should base their relationship more on a mutuality of interests rather than altruistic concern.

- *Training programs for partners in South:* Several of the research organizations screened in this review provides training programs to partners in South. Lund University corporate with the Swedish development agency on delivering training programs to key persons in developing countries within areas such as trade and industry, democracy and human rights, the environment and infrastructure. Oxford University's Department of International Development delivers visitors' programs and graduate teaching. At Manchester University the Institute for Development Policy and Management provides methodological training through its Chronic Poverty Research Center. In some limited cases, on-site training is delivered in the South for researchers. The South Africa-Netherlands Research Program on Alternatives in Development also provides training in research methodology in order to assist disadvantaged/inexperienced researchers within projects funded by the program. Training is provided as part of a Research Capacity Initiative aimed at developing research capacity amongst disadvantaged/inexperienced researchers and stimulation of research cooperation between South African and researchers from the Netherlands.

- *Methods and opportunities for increasing research collaboration:* An important ingredient in strengthening research collaboration in the long run and in the short run is building relations to current researchers and future researchers. The Centre for Development Research at Bonn University provides a summer school in the form of an intensive interdisciplinary course on a yearly basis to attract and select top students from the South. Doctoral candidates are trained and screened for their suitability to

enter the Doctoral program in consultation with their potential advisor from Bonn University or any of their collaborating institutes. The center is planning to expand its research collaboration activities by attracting students from Central and Eastern Europe. As members of the EU, these countries have to up-scale their engagement in development programs. The Center also maintains an Alumni Network of development-oriented academics and policymakers who have been affiliated with the university. Such a network can enable future cooperative research and other related projects. The plan is to intensify contacts with and among alumni by, among other things, initiating annual meetings, and integrating alumni in the center's policy advice activities. Another example of building and maintaining network of researchers is Oxford University's Department of International Development which facilitates an international network of associates and hosts visiting Fellows.

- *Organizational restructuring for improving research collaboration ability:* Restructuring of funding policies towards funding through competitive modalities instead of core funding, increases the time researchers have to spend on applying for external funds. The competition for funds has increased, and in some cases forced universities and other research organizations to develop their administrative processes and organization as well as their research strategies. At Lund University, a recent quality review concluded that departments need to respond more swiftly to the shifting research agenda, including that of development research. The quality review recommends more effective means of transmitting top opportunities and options upwards, and a response from higher levels within the university about if, and how they can be accommodated within faculty and university planning. Both Lund University (2008) and Uppsala University (2007) has carried out first generation quality reviews of their research activities. These are intended to strengthen the research quality of the university by identifying opportunities for renewal. Another example of how to strengthen the outset for engaging in research collaboration is that of Bergen University. To allow university researchers with greater mobility and freedom to form partnerships and develop projects while still maintaining their positions, the university has outsourced the secretariat for their development studies program to an external research and consultancy agency called Unifob Global. Unifob Global consolidates and coordinates development-related research initiatives for the University, provides administrative support for University researchers, and coordinates projects between institutions on large externally funded programs. Researchers at Bergen University find many advantages to have an externally run secretariat for development research. They report increased mobility and less bureaucratic backlog.

- *Partnerships for research collaboration:* Developing partnerships with partners in both North and South is a priority among most research organizations. One likely reason for this development is the increasing competition for funding of research at both the national and international level. Lund University aim for long-term cooperation and prioritize formal cooperative relationships with other higher education institutions to create fewer but more developed and more long-term relationships. Relationships with universities and relevant institutions in developing countries will be strengthened, including developing cooperation with universities in East and South-East Asia and the Middle East. Uppsala University also seeks to strengthen partnerships and suggest that a concentration of e.g. educational programs in a few institutions or within the framework of both national and international collaborative agreements would strengthen the profile of these programs. The Association of Universi-

ties and Colleges of Canada provides recommendations in line with these thoughts and calls for harmonization of research priorities both within and between universities.

- *Aligning research with partner country priorities:* In line with overall development policies, research organizations give greater priority to align research with partner country strategies. The Science and Development Network employs local journalists and researchers to foster country-level expertise in order to make sure that research projects are aligned with priorities important to the South. The Chronic Poverty Research Center at Manchester University strives to support Southern researchers to develop research projects according to their own priorities. This support, for example, can come in the form of preparing papers for publication, organizing conferences, and creating joint-applications for multilateral funding

- *Capacity building:* Netherlands Development Organization seeks to strengthen engagement with local capacity builders. The Chronic Poverty Research Center from the Institute for Development Policy and Management at Manchester University focuses its collaborative efforts on long-term projects. They find that longer projects give southern institutions and researchers a better opportunity to develop capacity and set research priorities. Also Lund University aims at fewer but more developed and more long-term relationships.

- *Dissemination of research results:* Centers at Oxford University's Department of International Development have developed working paper series that reflect their work in progress. The papers are distributed free of charge via the internet. The internet platform for these working papers should facilitate a more seamless way to stimulate discussion among researchers worldwide. The Science and Development Network aims at creating a more participatory technology platform, with greater opportunity for comment and dialogue, and ensure that activity expands according to user demand, and Increase the level of free access to scientific research findings. The IDRC, on a regional basis, is establishing open-access databases for development research results.

# Appendix I: Organization Profiles

## Universities

### Lund University

Lund University is one of the leading and largest universities in Scandinavia, with an annual turnover of around SEK 5.5 billion, nine faculties, around 6,000 employees and around 40,000 students. Lund University is at the top in Sweden as regards the allocation of external funds from the Swedish Research Council.

#### *Collaborative strategies and methods*

Lund University aims for long-term cooperation and prioritizes formal cooperative relationships with other higher education institutions to create fewer but more developed and longer-term relationships. Relationships with universities and relevant institutions in developing countries will be strengthened including developing cooperation with universities in East and South-East Asia and the Middle East.

Lund University cooperates with Sida on delivering training programs to key persons in developing countries within areas such as trade and industry, democracy and human rights, the environment and infrastructure. Training programs are financed by both global and regional allocations.

#### *Lessons learnt and future plans for North-South research collaboration*

In 2008, a first quality review of research at Lund University was carried out by external panels[55]. The aim of the review was to strengthen the research quality of the university and identify processes which may foster a development towards more strong research environments.

The review concludes that departments need to respond to the shifting research agenda in their discipline, including development research. This necessitates effective means of transmitting top opportunities and options upwards, and a response from higher levels within the university about whether and how they can be accommodated within faculty and university planning. In this regard a top-down component of planning is vital.

Another point highlighted in the review is the increasing use of targeted funding at the expense of unrestricted funds. The review finds that the need to prioritize grant winning to meet universities' salary bills has diminished strategic flexibility to address issues such as the application of research to practical problems in developing countries. The progressive reduction in the core funding of research in universities and its reallocation through competitive research council grants is considered as having reduced the competitiveness of Swedish universities. Provided that research grant funding continues at the same high level, the university considers choosing to accept a greater financial risk by simply offering fully funded posts at the point of entry into permanent positions, but with funding continuing to come from a combination of the University's core income and external research contracts.

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[55] Lund University, 2008.

### Uppsala University

Uppsala University has 6,000 employees of which app. 4,000 are teachers/researchers. There are some 500 full professors and app. 2,000 doctoral students and nearly 400 doctorates. About 50% of research is funded by external sources. Uppsala University has some 3,000 international research partnerships with more than 1,000 universities throughout the world, primarily in Europe, the U.S., and Asia.

*Collaborative strategies and methods*

Uppsala University strives to strengthen both national and international collaboration among the research-intensive universities. At a national level some educational programs may need to be concentrated in just a few institutions or be carried out within the framework of both national and international collaborative agreements. In its strategy for research and education 2009-2012 five areas are highlighted: renewable energy; peace, security, and democracy; functional and comparative genomics; drug development; and brain function and dysfunction. These five areas will receive special attention in the forthcoming years.

*Lessons learnt and future plans for North-South research collaboration*

During the academic year 2006/2007, an evaluation of the research at all faculties of Uppsala University was carried out in order to assess the quality of research and to identify opportunities for renewal[57].

The evaluation pointed out that the present system with a significant role for external funding takes considerable time from research as well as pushes researchers into areas, which are fashionable, rather than stimulating them to pursue long-term research pro-

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[56] Lund University, 2007.

[57] Uppsala University, 2007.

grams: In relation to this issue there is a need to increase collaboration with colleagues at other Swedish academic institutions:

<div>

**Organization profile**

**Strategic Priorities:**  To develop education and research partnerships with the private sector, government authorities, organizations and individuals, through internships, projects, dissertations, commissioned courses and commissioned research

**Guiding Principles:**  Research should contribute to the generation of knowledge for humankind, and foster global development. It is central to the nature of the search for knowledge that it is impossible to know in advance which routes are accessible. The University does not demand immediate results, but perseverance in research.

**Output:**  Education, training and research
**Public/Private/Hybrid:**
**Degree of decentralization:**
**Source of funding:**
**Contact information:**

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### Association of Universities and Colleges of Canada (AUCC)

The AUCC represents 94 Canadian public and private not-for-profit universities and university-degree level colleges. AUCC facilitates and monitors North-South collaboration in research for development, higher education and internationalization efforts of Canadian universities. They have a unique mandate to facilitate the development of public policy on higher education and to encourage cooperation among universities and institutions in other countries.

#### *Collaborative strategies and methods*

The AUCC strives to incorporate principles of results-based management in its collaborative strategies and methods. From the outset, project teams provide a results-based management framework that serves as the benchmark for measuring progress.[58] Projects and partnerships are based on principles of mutuality and shared interest. Other collaborative measures include seminars, workshops, conferences, and dissemination of research results.

#### *Lessons learnt and future plans for North-South research collaboration*

In a conference on North-South research collaboration, the AUCC set forward the following tenets for improving collaboration:

- North-South research collaborators should base their relationship more on a mutuality of interests rather than altruistic concern.
- State diplomatic interests should be aligned with research ventures in order to make development research a higher priority on the national agenda.
- Fuse international research efforts with public policy priorities.
- Harmonization of research priorities both within and between universities.

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[58] UPCD, 2006.

- The three granting research councils (NSERC, SSHRC, CIHR) should allow for increased investment in the South And pursue joint-initiatives and collaborative programs to provide a framework for university researchers to participate in[59].

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**Organization profile**

**Strategic Priorities:** AUCC launches projects according to Canada's Official Development priorities, CIDA's poverty-reduction mandate, and the priorities of developing countries.
**Guiding Principles:** AUCC activities involve teams at each of the partner organizations and making institution linkages, as opposed to individual grant or collaboration between two professors.
**Output:** AUCC outputs include curriculum development, capacity building through training and further education, and best practice publications that include tools and resources to support project directors and team members.
**Public/Private/Hybrid:** Hybrid. Publicly financed, independently run.
**Degree of decentralization:** Team members for projects are recruited from Southern partner institutions.
**Source of funding:** The AUCC is funded by Canada's International Development Agency.[60]
**Contact information:** Email: mbechard@aucc.ca. Phone: (613) 563-1236.
Pari Johnston ext. 253 Head of International Affairs
pjohnsto@aucc.ca

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### Oxford Department of International Development (ODID)

Oxford University's Department of International Development is a leading development research institution in the Great Britain, and has a top position in the 2008 Research Assessment Exercise (RAE).[61]

#### *Collaborative strategies and methods*

ODID's research centers use several modes to conduct collaborative research, seminars, workshops, visitors' programs and graduate teaching. They also emphasize rapid dissemination of research results. Several centers have developed working paper series that reflect the work in progress of the members of ODID. The papers are distributed free of charge via the internet. The internet platform for these working papers facilitates a more seamless way to stimulate discussion among researchers worldwide.[62]

#### *Lessons learnt and future plans for north-south research collaboration*

ODID has found most success in defining itself as a collaborative enterprise. Its efforts are strengthened by the work of Visiting Fellows and an international network of associates. ODID has seen successes in allowing younger academics and graduate students

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[59] The three granting councils are the Natural Sciences and Engineering Research Council of Canada (NSERC), the Social Sciences and Humanities Research Council (SSHRC), and the Canadian Institutes of Health Research (CIHR).

[60] Ibid.

[61] RAE 2009/May: http://submissions.rae.ac.uk.

[62] ODID 2009/May: http://www.qeh.ox.ac.uk.

contribute to research areas, and their collective efforts are important components in the overall program.[63]

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**Organization profile**

**Strategic Priorities:** ODID focuses on rapid dissemination of research results and relevance to development policy.
**Guiding Principles:** ODID is committed to maintaining high quality outputs and developing a synergy in research on the human and social impact of development.
**Output:** Teaching, conferences, workshops and publications. Public lectures
**Public/Private/Hybrid:** Public
**Degree of decentralization:** ODID's operations are based in Oxford, England.
**Source of funding:** ODID is financed by the University of Oxford.
**Contact information:** Valpy FitzGerald +44 (1865) 281800
Denise Watt
Denise.watt@qeh.ox.ac.uk

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</table>

### Institute for Development Policy and Management (IDPM)

The IDPM at Manchester University is the largest university-based unit that specializes in International Development in Great Britain. It shares a top position in the 2008 Research Assessment Exercise (RAE) with ODID.[64]

IDPM hosts four internationally recognized research centers that enable networking with partner institutions in Africa, Asia and Latin America. One of these centers, the Chronic Poverty Research Centre (CPRC), is profiled below. The CPRC is selected for its level of experience in North-South research collaboration.

#### *Collaborative strategies and methods*

The CPRC's collaborative strategies and methods include a focus on long-term projects, alignment to Southern priorities, capacity building, matching Southern institutions with multilateral funding, and a methods toolbox.

*Long-term focus:* The CPRC focuses its collaborative efforts on long-term projects. They find that longer projects give southern institutions and researchers a better opportunity to develop capacity and set research priorities.

*Alignment to Southern priorities:* Instead of designing research projects themselves, the CPRC strives to support Southern researchers to develop research projects according to their own priorities. This support, for example, can come in the form of preparing papers for publication and organizing conferences.

*Capacity building:* A focus of CPRC's efforts is to equip Southern researchers with a strong methodological backing to conduct high-quality research. In some limited cases, the CPRC conducts on-site training in the South for researchers. Because on-site training requires a larger logistical commitment on the part of northern institutions, the CPRC limits its efforts in this regard.

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[63] ODID 2009/May: http://www.qeh.ox.ac.uk.

[64] RAE 2009/May: http://submissions.rae.ac.uk

*Matching the South to multilateral funding:* This process involves identifying Southern capacity needs, finding a Southern institution, and drawing multilateral funding to the Southern institution. This process has been successful with multilateral organizations such as UNICEF and the World Bank[65].

### *Lessons learnt and future plans for north-south research collaboration*

From their experience with North-South research collaboration, the CPRC identifies alignment and access as two areas for improvement.

On the issue of alignment between North and South, the CPRC distinguishes between the effect of multilateral/bilateral sponsorship, such as the World Bank and DFID, with that of research council sponsorship such as the ESRC.

With few exceptions, multilateral/bilateral funding tends to be more policy-driven, with the research agenda of the North determining the parameters of funded projects. These projects are carried out by international researchers that leave little in terms of a lasting contribution to the local research community.

Research council funding, on the other hand, presents some distinct advantages for priority alignment. Researchers that receive council funding find it easier to align projects according to Southern priorities.

An example of the distinction between research council and multilateral/bilateral sponsorship is how DFID channels it untied funds. DFID's recent move to untie research funding has opened doors for many Southern institutions to receive funding, but the CPRC emphasizes that DFID, by organizational necessity, must channel its untied funds through the ESRC (a research council) in order to make them available to the South. This is due to DFID's institutional priority on policy-oriented research with quick, high impact results. The CPRC finds the policy-driven focus of multilateral/bilateral funding problematic because it restricts direct support of Southern institutions and the academic freedom of North-South researchers.

Even with untied funding, most Southern institutions are still playing passive roles in research projects. Even when funding is open and untied, the Northern base of applicants still dominates the market for funding. This results in a pattern where Southern institutions respond to Northern requests instead of initiating their own. To let the South develop and pursue its own priorities, the CPRC suggests allowing for Southern institutions to receive core-funding from the North.

Finally, CPRC reports that Northern research support is too often allocated for regions that already have research capacity. Northern preferences for close evaluation and follow up of research results predispose funds to go to middle income countries with established research systems. But to be most effective, according to the CPRC, more funding should go toward building capacity in low income countries.

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[65] CPRC 2009/May: www.chronicpoverty.org.

> **Organization Profile**
>
> **Strategic Priorities:** The CPRC's three-pillared approach encompasses thematic re-search, policy analysis and policy engagement.
>
> **Guiding Principles:** The CPRC is committed to building the capacity of North/South researchers, policy analysts and advocates in order to better produce and disseminate knowledge that makes policy more effective.
>
> **Output:** Within their three pillars of focus, the CPRC produces books, working papers, reports and briefings.
>
> **Public/Private/Hybrid:** CPRC is an international partnership of universities, research institutes and NGOs.
>
> **Degree of decentralization:**
>
> **Source of funding:** DFID is the main sponsor of CPRC.
>
> **Contact information:** Armando Barrientos, Research Coordinator, Chronic Poverty Research Centre; **a.barrientos@manchester.ac.uk**; phone:+44 1613066696

### University of Bergen / Unifob Global

The University of Bergen is one of the major recipients of research funding from the Norwegian Program for Development, Research and Education (NUFU). Between 2002 and 2006 the university conducted more NUFU research projects than any other univer-sity in Norway. To allow university researchers with greater mobility and freedom to form partnerships and develop projects while still maintaining there posts at the university, the University has outsourced the secretariat responsibilities for their development studies program to an external research and consultancy agency called Unifob Global.

#### *Collaborative strategies and methods*

Unifob Global consolidates and coordinates development-related research initiatives for the University; provide administrative support for researchers at the University and coor-dinates projects between institutions on large externally funded programs, such as the NUFU program.

North-South research projects are mostly identified through an assessment of whether the content of the project call, matches the competencies of researchers working with Unifob Global.

#### *Lessons learnt and future plans for north-south research collaboration*

Researchers at Bergen University find many advantages to have an externally run secre-tariat for development research. They report increased mobility and less bureaucratic back-log.

Researchers express concern over Norad's distribution of research funds. Within the past couple years Norad has channeled a greater percentage of funds to Southern partners. NORAD justifies this move by pointing out that a percentage of salaries for Norwegian university researchers is already designated for research purposes. By using researchers

that are already employed by other Northern institutions, Norad has cut down on compensation costs for Northern partners. Unifob Global complains that this shift toward the South ignores a litany of extra costs incurred by participating Northern researchers, e.g. transportation and travel time.

Researchers at Bergen University consider Norad's shift toward applied research projects with fast and impactful results as a potential thread to academic freedom and independence.

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**Organization Profile**

**Strategic Priorities:** Unifob aims to develop unique ideas and original analysis of existing structures, conventions and practices in the developing world.
**Guiding Principles:** Unifob is committed to launching research projects at minimal administrative costs.
**Output:** Unifob Global provides secretariat functions on behalf of national and international research initiatives.
**Public/Private/Hybrid:** Hybrid. Publicly financed and independently run.
**Degree of decentralization:** Unifob's services are managed and administered in Norway.
**Source of funding:** Unifob Global is funded by the University of Bergen
**Contact information:** Leif Manger, Research Director, Unifob Global, UiB;
http://www.unifob.uib.no/; Leif.Manger@global.uib.no; Phone: +47 55 58 42 51

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### Centre for Development and the Environment at Oslo University (SUM)

Centre for Development and the Environment at Oslo University was the second largest recipient of NUFU projects from 2002-2006. Besides the NUFU program, their North-South cooperation is financed by Norad's Fellowship Program and the Norwegian Quota Program. The University of Oslo has research projects in collaboration with universities in Africa, Latin America, and Asia, the most comprehensive collaboration being with institutions in South Africa.[66]

#### *Collaborative strategies and methods*

Collaborative strategies focus on internationalizing curriculum and opening more fields to the possibility of North-South collaboration. They seek projects that are mutually beneficial for North and South partners, and adhere to principles of solidarity and self-interest when entering partnership agreements.

They aim to secure funding for long-term projects which preferably lasts longer than ten years. Their requirements for collaborative projects emphasize high-quality research results on projects that address global problems.

SUM pursues a diverse funding portfolio. External funding organizations include NUFU, the Norwegian Research Council, Norad and EU framework programs.

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[66]Unifob 2009/May: http://www.uio.no.

*Lessons learnt and future plans for north-south research collaboration*

Covering costs at various stages of projects has become increasingly difficult for some researchers. Both NUFU and Norad's Program for Master Studies seem to be more restrictive in their activities and evaluation standards. The NUFU program is also perceived as becoming more results oriented and influenced by policy.

| Organization Profile |
|---|
| **Strategic Priorities:** Mutual competence building and strengthened research capacity at partner institutions. <br> **Guiding Principles:** Committed to research that is interdisciplinary and collaborative, strengthening the policy impact of research results, and analyzing the connection between research and policy at all levels.[67] <br> **Output:** PhD fellowship program, an international development program, publication of scholarly articles, and a guest researcher program. <br> **Public/Private/Hybrid:** Part of Oslo University. <br> **Degree of decentralization:** Based in Oslo, Norway. <br> **Source of funding:** Funding for comes from Oslo University, Norad, NUFU, and EU framework programs. <br> **Contact information**: Telephone: +47.22.84.44.79 Margit Egner <br> e.k.kaurstad@admin.uio.no |

### The Center for Development Research (ZEF), University of Bonn

ZEF is an international and interdisciplinary academic research institute based in the "Rheinische-Friedrich-Wilhelms" University in Bonn, Germany.

*Collaborative strategies and methods*

ZEF's collaborative methods and strategies include a summer school, a broader geographical spread of students, and an alumni network.

*Summer School*: In order to attract and select top students, ZEF is striving to introduce a summer school in the form of an intensive interdisciplinary course on a yearly basis, where doctoral candidates are trained and screened for their suitability to enter the Doctoral program in consultation with their potential advisor from Bonn or any of our collaborating institutes. The Summer School will offer interdisciplinary lectures and would partly substitute for the Interdisciplinary Course. Prominent guest academics will be invited to deliver lectures on selected frontier-level topics and address crosscutting subjects, such as governance, cultural diversity, sustainability, vulnerability, ecosystem services, conservation, etc. that will be used as a framework for an integrated analysis, where different pieces of knowledge are brought together in a 'workable' manner. Students will be engaged in regular debates on these issues and will be asked to write a term paper in which they contextualize the research proposal that they have written. The top students will be selected on the basis of this output and their ability to incorporate the material

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[67] SUM, 2005-09.

taught and to articulate their thoughts on this material and will be invited to join graduate programs at Bonn University."[68]

*Widening the geographical background of students:* New members of the EU from Central and Eastern Europe have to engage actively in development programs. ZEF sees this as an opportunity for attracting students from these countries and strengthen the research capacity of these countries.

*Alumni Network:* ZEF currently maintains an Alumni Network of development-oriented academics and policymakers who have been affiliated with ZEF. This network provides an increasing number of colleagues in key positions both in research and government institutions in all major developing countries (www.zef.de/alumni). Such a network enables Bonn University to plan future cooperative research; to initiate further projects in the educational field; and to disseminate its research results among those responsible for implementing development policies. Hitherto, the potential of an alumni network has not been fully exploited. ZEF is planning to intensify contacts with and among alumni by, among other things, initiating annual meetings, and integrating alumni in ZEF's policy advice activities. In doing so, ZEF is counting on the continued support of the Association of ZEF's Friends, a charitable association under German law.[69]

### Lessons learnt and future plans for north-south research collaboration

ZEF's 2007-2017 program for North-South research collaboration will follow four criteria: research excellence, strategic relevance, thematic coherence, and efficiency.

1. *Research Excellence* The project is innovative and original either in terms of its theory, methodology, or empirical outcomes. It promises to yield new knowledge and innovative answers to important development questions.
2. *Strategic Relevance* The project is relevant to policymakers and promises to have long-term significance and policy impact.
3. *Thematic Coherence* The project fits into the existing research agenda, contributes to a better understanding of the crosscutting research themes, and builds on the research priorities of ZEF's main stakeholders.
4. *Efficiency* The cost of the project is reasonable relative to its expected findings."[70]

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[68] ZEF, 2007.

[69] Ibid.

[70] ZEF, 2007.

**Strategic Priorities:** ZEF's approach seeks to involve private and governmental entities in research for development that cuts across disciplines. They aim to bridge the gap between research and practice and between scientific disciplines.[71]

**Guiding Principles:** ZEF works on crosscutting themes to produce research that is relevant to the developing world. They believe that development is rarely hampered by a single problem within a single discipline. Overarching principles include transdisciplinarity and knowledge dissemination.[72]

**Output:** ZEF offers capacity building through the Bonn Interdisciplinary Graduate School for Development research.[73] ZEFConsult offers policy consulting for governmental and non-governmental bodies, national and international and private and business sectors. ZEF organizes international conferences, expert rounds, and public lectures. ZEF also publishes policy briefs that are relevant for policy-makers.[74]

**Public/Private/Hybrid:** ZEF is run by the University of Bonn.

**Degree of decentralization:** About 50% of ZEF's staff is recruited internationally.[75]

**Source of funding:** ZEF is funded by Bonn University

**Contact information:** Alma van der Veen; phone +49 228/73-18 46; a.vdveen@uni-bonn.de

## Knowledge Intermediary

### Science and Development Network (SciDevNet)

SciDev.Net is a not-for-profit organization dedicated to providing reliable and authoritative information about science and technology for the developing world.

#### *Collaborative strategies and methods*

SciDevNet collaborative strategies emphasize the following points:

- Building local capacity by enhancing the role of regional networks and devolving greater editorial and administrative responsibility to them,
- Creating a more participatory technology platform, with greater opportunity for comment and dialogue, and ensure that activity expands according to user demand,
- Increasing level of free access to scientific research findings,
- Increasing strategic alliances with organizations that share objectives.

SciDev.Net employs local journalists and researchers to foster country-level expertise in order to make sure that research projects are aligned with priorities important to the South.[76]

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[71] Ibid.

[72] Ibid.

[73] Ibid.

[74] ZEF 2009/May: http://www.zef.de.

[75] Ibid.

*Lessons learnt and future plans for north-south research collaboration*

SciDevNet recognizes an increasing need to address the information needs of a range of communities, and that Southern institutions play a critical role in this effort. SciDevNet has also focused on increasing the relevance of information to the developing world. To achieve greater relevance, SciDevNet focuses on fostering partnerships, networks and communities in the South to integrate their perspectives on direction of research initiatives.[77]

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**Organisation Profile**

**Strategic Priorities:** Science and Development Network (SciDev.Net) dedicates its efforts to providing reliable information about science and technology for the developing world.
**Guiding Principles:** Increasing the use of research results and supporting capacity building for science communication in developing countries. Cultivate local expertise.
**Output:** A free access information hub that gives policymakers, researchers, the media and civil society a platform to explore how science and technology can reduce poverty, improve health and raise standards of living around the world.
**Public/Private/Hybrid:** SciDevNet is a public not-for-profit NGO.
**Degree of de-centralization:** SciDev.Net is a largely decentralized entity. Its output is produced by a host of Southern-based contributors and regional networks.
**Source of funding:** Department for International Development, UK. International Development Research Centre, Canada. Swedish International Development Cooperation Agency, Sweden. Swiss Agency for Development and Cooperation SDC, Switzerland. The Directorate-General for International Cooperation, The Netherlands.
**Contact information:** Email: info@scidev.net. Phone: +44 (0)20 7292 9910 *Elinor.smalman@scidev.net*; *Ritu Sadanar*; Sadanar@who.int

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## Institutes, Organizations and Research Centers

### Norwegian Centre for International Cooperation in Higher Education (SIU)

SIU administers Norway's largest North-South research collaboration program, called the Norwegian Program for Development, Research and Education (NUFU).

*Collaborative strategies and methods*

SIU administers funding to Norwegian institutions and make them responsible for reporting back with a full accounting for how the funds were used. In other words, Norwegian recipients of SIU funds e.g. the NUFU program, allocate funds to Southern partners at their own discretion. Southern partner institutions, with very few exceptions, respond to Northern requests for program participation rather than initiate their own requests.

SIU uses participant and external evaluations to determine allocation of funding. Evaluations from Southern participants receive a double-weighting in proportion to their North-

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[76]SciDevNet 2009/April: http://www.scidev.net.

[77] Ibid.

ern counterparts. This double-weighting is intended to give the South a larger role in determining research priorities within programs. SIU asserts that this incentivizes Northern institutions to align projects according to Southern priorities.

In box 1.0, short descriptions of two NUFU programs are provided.

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**Box 1.0: The Norwegian University Cooperation Program for Capacity Development in Sudan (NUCOOP) and the Tanzania program.**

NUCOOP has a high focus on higher education provides both technical and financial support to Bachelor's and Master's Studies, development of research and teaching capacity in Sudan. Their methods include but are not limited to:

- Bachelor's and Master's courses of study
- Short courses and study modules
- Institutional development
- Curriculum development
- Joint studies/research on selected issues
- Staff exchanges (maximum three months per years)
- Study visits
- Student scholarships
- Seminar/workshops
- Development of teaching methodology
- Staff development at Southern institution
- Training of technical and administrative staff
- Physical infrastructure[78]

NUCOOP's primary focus is capacity building for higher education in Sudan. The emphasis is on higher education is motivated by NORAD but the subjects and courses of study are largely determined by Southern universities.

*NUFU-Tanzania program*
The collaborative strategy of the NUFU-Tanzania program is to facilitate bilateral partnerships between Norwegian and Tanzanian institutions of higher education. The collaborative methods of the program include:

- Establishing education programs
- Providing support to Tanzanian Master and PhD candidates
- Publishing research results and engaging in other dissemination activities
- Maintaining a policy dialogue with Tanzanian authorities and relevant organizations.[79]

The Tanzania program's research priority is natural resource management, which came through a policy-directive from NORAD.

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### *Lessons learnt and future plans for north-south research collaboration*

SIU administration of NUFU programs is focusing on more Southern ownership of research projects. As part of this overall move, the NUFU-program has increasingly moved from a top-down approach to a more joint approach. NUFU is emphasizing a more sys-

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[78] NUCOOP, 2007.

[79] Tanzania-Norway NUFU Program, 2007.

tematic approach that utilizes institution evaluations and knowledge transfer using internet-based innovation systems. The NUFU-program has also become more open to researcher initiative as opposed to NORAD's more policy-oriented approach.

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**Organization Profile/NUCOOP**

**Strategic Priorities:** Contribute to the development of sustainable capacity of higher education institutions in Southern Sudan and to provide the workforce with adequate qualifications.[80]

**Guiding Principles:** To produce knowledge in areas which are relevant to the goals and objectives of the Government of Southern Sudan and develop national, regional and international networks between higher education institutions in North and Southern Sudan.

**Outputs:** Bachelor programs in vocational and technical teacher education, capacity building in the field of mental health, producing postwar livelihood studies as well as update and automate library services, and educate librarians.[81]

**Public/Private/Hybrid:** NUCOOP was initiated by the Norwegian Ministry of Foreign Affairs and is based on a contract between NORAD and SIU.

**Degree of decentralization:** Areas of co-operation are determined by the priorities of the Government of Southern Sudan, the intentions of the Comprehensive Peace Agreement and the priorities of the Republic of Sudan.

**Source of funding:** Norwegian Ministry of Foreign Affairs. NOK 65 million has been allocated for the current project period (2007-2011).

**Contact information:** Ragnhild Tungesvik. Phone: +47 55 30 88 35. Email: ragnhild.tungesvik@siu.no

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### Netherlands Development Organization (SNV)

Netherlands Development Organization is an organization that works directly towards reducing poverty in the South. It is active in 32 countries worldwide and works with local actors to create solutions and build capacity.

#### Collaborative strategies and methods

A strategic priority the coming years is to diversify partnerships and broaden the income base in order to supplement government contributions with non-governmental funding. Other strategic priorities are: Focusing activities on basic services and income and production & employment, and align specific targets within these impact areas to the context of national development priorities; Strengthening engagement with local capacity builders; Keeping advisory services at the core and; sharpening work processes and result measurement.[82]

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[80] SIU 2009/April: http://siu.no

[81] NUCOOP, 2008.

[82] Netherlands Development Organisation, 2007.

### Lessons learnt and future plans for north-south research collaboration

In the process of providing capacity building services and analyzing the effectiveness of their work, SNV has learned several important lessons that they site in their Strategy Paper for 2007 – 2015. They have previously been characterized by a certain 'demand fundamentalism', planning for planning's sake and an over-reliance on 'tools'. Their meso-level focus has been too rigid at times: they have not always aligned their interventions to national level development priorities, and their complementarity with donor agendas has been sub-optimal. Working on the basis of incompetent contextual analyses, they have too often promoted short-term quick fix assignments with clients and have not made the best use of knowledge and best practices.

Based on these lessons, SNV has developed concrete plans for the future. These include:

*Capacity development for impact:* Capacity development services are more effective in contributing to the reduction of poverty and the promotion of good governance if they are context-sensitive, evidence-based, offered to (groups of) clients that have the potential to make a difference to the lives of poor people, and if they are explicitly focused toward impact.

*National ownership and the challenge of the micro-macro divide:* The relevance of SNV's work is greatly increased when capacity development services are 'home-grown' national development priorities and agendas. It is increasingly recognized that the micro-macro divide hampers development efforts.

*Local capacity builders:* Ownership and long-term sustainability of development processes is greatly served by strengthening the contribution of the rising numbers of local capacity builders. Such organizations are becoming increasingly instrumental in spearheading local action, while the role of international organizations such as SNV is correspondingly moving away from undertaking local development towards supporting the growth and development of these local actors.[83]

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**Organization Profile**

**Strategic Priorities:** Support local actors on order to help them strengthen their performance in the effective realization of poverty reduction and good governance.
**Guiding Principles:** SNV is dedicated to a society where all people enjoy the freedom to pursue their own sustainable development. They strive to contribute to this by strengthening the capacity of local organizations.
**Output:** Knowledge brokering, advocacy, and support to the establishment of funding mechanisms for local capacity development. Focus is on impact in the areas of basic services as well as production, income and employment.
**Public/Private/Hybrid:** Hybrid
**Degree of decentralization:** Present in 32 countries world-wide employing more than 1,500 staff. SNV's geographical work field is divided in five regions: Asia, Balkans, East and Southern Africa , West and Central Africa, and Latin America. SNV's head office is in The Hague, Netherlands.
**Source of funding:** The annual contribution from the Ministry of Foreign Affairs was

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[83]Ibid.

### Netherlands Organization for International Cooperation in Higher Education (Nuffic)

Nuffic is a non-profit, professional organization which serves as an intermediary between the education community of the Netherlands and the international community. Its object is to promote international cooperation in higher education and research, and in particular devote attention to the work that benefits developing countries.

#### *Collaborative strategies and methods*

Nuffic has set out five strategic ambitions for the near future:

1. To administrate international mobility programs and international cooperation programs for the government;
2. To gather, order and make available knowledge about higher education in other countries;
3. To gather, order and make available knowledge about Dutch higher education for target groups in other countries;
4. To encourage transparency between education systems; and
5. To support Dutch universities and other higher education institutions with the internationalization of their education.[84]

#### *Lessons learnt and future plans for north-south research collaboration*

In Nuffic's Strategic Framework, five lessons learned are cited that have influenced Nuffic's future plans: 1) Internationalization is becoming less exclusive; 2) Increased scale creates space for new specializations and services; 3) The creation of the single European higher education area will require support and lead to cooperation; 4) The development towards more strategic internationalization raises new knowledge issues and; 5) there has been a shift from education to learning.

From these lessons, Nuffic has set five ambitions for the near future. These are:

- To administrate international mobility programs and international cooperation programs for the government.
- To gather, order and make available knowledge about higher education in other countries.
- To gather, order and make available knowledge about Dutch higher education for target groups in other countries.
- To encourage transparency between education systems.
- To support Dutch universities and other higher education institutions with the internationalization of their education.

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[84] Nuffic, 2006.

> **Organization Profile**
>
> **Strategic Priorities:** Ordering and offering information electronically, improving program administration and customer satisfaction, demand-driven innovation of their products and services and strengthening cooperation with the sector organizations.
> **Guiding Principles:** Making education accessible all over the world, especially in countries where the educational infrastructure is under-resourced.
> **Output:** Nuffic helps to strengthen teaching and research infrastructure in developing and transition countries by facilitating international cooperation between higher education institutions. It supports national and organizational strategies for institutional and human capacity building by administering a series of cooperation and fellowship programs. Nuffic facilitates access to national and international education and labor markets by helping to eliminate problems related to the international evaluation and recognition of diplomas and degrees. Nuffic provides up-to-date information about Dutch higher education.
>
> **Public/Private/Hybrid:** Hybrid
>
> **Degree of decentralization:** Nuffic has its head office in The Hague and support offices located in China, Indonesia, Taiwan, and Vietnam. There are plans to open support offices in Mexico, India, Russia, Brazil, Malaysia, and Thailand.
>
> **Source of funding:** Funding is mainly provided by the Ministry of Foreign Affairs the European Union and the Ministry of Education.
> **Contact information:** Postal address: Nuffic, PO Box 29777, 2502 LT The Hague; The Netherlands; Tel: +31 (0)70 426 02 60. Contact Ad Boeren, Senior Policy Officer at +31 (0)70 4260 298, aboeren@nuffic.nl.

### South Africa-Netherlands Research Program on Alternatives in Development (SANPAD)

SANPAD is a collaborative research program which funds, collaborative research by South African researchers in association with Dutch researchers. SANPAD facilitates and finance research projects, research capacity building and research support activities and works through partnerships between organizations in South Africa and in The Netherlands, including 14 Dutch universities. The SANPAD Program tries to make use of existing linkages.

#### *Collaborative strategies and methods*

Through an annual call for proposals, SANPAD conducts a process of reviewing and selecting the research proposals. Thereafter, the program funds the approved research projects, monitors the projects, enables cooperation amongst South African Higher Education Institutions and South African and Dutch researchers within the respective projects, and reports on finances and progress. If necessary, SANPAD provides discretionary assistance for (re)formulating research project proposals. Reformulation usually entails the assistance of senior researchers in South Africa and the Netherlands and other relevant bodies that may add value to the reformulation of the proposal for resubmission for funding.

SANPAD may also provide discretionary assistance for pre-proposal workshops. Funding for Pre-proposal workshops are generally granted to first time project leaders from the

designated groups, and to researchers who require further exploration of ideas that they believe may evolve into a full proposal.

To assist disadvantaged/inexperienced researchers within projects funded by SANPAD a research methodology course is provided. The course is implemented over seven weeks during the period of a year, as part of the Research Capacity Initiative. The Research Capacity Initiative is aimed at developing research capacity amongst historically disadvantaged/inexperienced researchers within a SANPAD funded project; and the stimulation of research cooperation between South African and researchers from the Netherlands, and South African researchers across Institutions.[85]

### *Lessons learnt and future plans for north-south research collaboration*

SANPAD plans to facilitate new partnerships with the Southern African Development Communities (SADC) and other internationally relevant partners in order to promote the internationalization of higher education and to encourage sustainability of the SANPAD program. SANPAD also plan to develop and update an existing database of Researchers and partnerships in the North and South and to identify new partnerships for the sustainability of the research enterprise and SANPAD. An overall priority will be to ensure that principles enshrined in the Paris Declaration on Aid Effectiveness and any other subsequent policy initiatives applicable to SANPAD are adhered to.[86]

Other priorities are: Promotion and enhancement of research at the national and international level; research capacity building initiatives and; training of human resources for research endeavors within and outside of the academic sector.

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**Organization Profile**

**Strategic Priorities:** Stimulate and promote research in South Africa in the field of social and economic development, relevant for the policies of South African government agencies and/or South African non-governmental organizations. Focus areas are: New approaches to Economic Development; Social Development and Quality of Life; Natural Resources and their Governance; Democracy, Government and Civil Society; Culture Identity and Civil society; Poverty Reduction

**Guiding Principles:** Promote cooperation between Netherlands and South African researchers and between institutions within South Africa; and develop research capacity and a culture conducive to research, aimed particularly at researchers from historically disadvantaged communities.

**Output:** Research projects that have a social development and policy related content.

**Public/Private/Hybrid:** Public

**Degree of decentralization:**

**Source of funding:** Financed by the Netherlands Ministry of Foreign Affairs.

**Contact information:** Van Diemenstraat 200, 1013 CP Amsterdam; The Netherlands; Tlf.: +31 20 520 6223; sanpad@niza.nl; P.O. Box 10707, 1001 ES Amsterdam, The Netherlands

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[85] SANPAD 2009/May: www.sanpad.org

[86] Ibid.

### German Research Foundation (DFG)

DFG serves as the central public funding organization responsible for promoting research in Germany. The DFG funds research projects and facilitates cooperation among researchers. DFG is profiled here for its high profile in the German development research community.

*Collaborative strategies and methods*

Project partners in developing countries may be funded directly with a DFG research grant if the contribution of the collaborating partner in the developing country is essential to the project, provided this partner is insufficiently funded and unable to obtain money from a funding organization in his/her own country.

The proposal must include a statement by the partner, affirming that he/she and/or the partner organization is unable to provide local funding, and that it is therefore necessary for the DFG to support the project. The DFG's standard quality criteria apply. In addition, the research capacity and scientific performance of the participating researchers in the relevant countries should be enhanced.[87]

*Lessons learnt and future plans for north-south research collaboration*

DFG focuses on broadening the entry level requirements for collaborative projects between North and South. Aside from long-term projects, they are easing requirements to launch bilateral research projects.

Funding from DFG can also be used for bilateral events held in Germany or the partner country or for research stays. Research stays can be either preparatory or consultative visits at the respective partner's institute.[88] DFG reports that these measures have enhanced the initiation of bilateral cooperation, and they will continue in the future.

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**Organization Profile**

**Strategic Priorities:** Primary focus on research. No attention to capacity building, informing policy, or higher education.
**Guiding Principles:** To support and advance scientifically ambitious research projects.
**Output:** Funding for personnel, scientific instrumentation and apparatus, consumables, travel and publications for both the German partner institute and the cooperation partner/institute in the developing country.
**Public/Private/Hybrid:** Association under private law.
**Degree of decentralization:** Offices in three other developing countries.
**Source of funding:** Federal Government (62.9%), Federal States (36.7%), and other (0.4%)
**Contact information:** Christoph Mühlberg, Research Director; E-Mail: Christoph.Muehlberg@dfg.de; phone: +49 (228) 885-2347

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[87] German Research Foundation, 2008.

[88] DFG, 2009.

# Appendix II: Informants

- Ad Boeren, Senior Policy Officer, Knowledge and Innovation Directorate, Nuffic

- Armando Barrientos, Research Coordinator, Chronic Poverty Research Centre

- Bruce Currie-Alder, Chief of Staff, International Development Research Centre

- Pieter de Baan, Senior Advisor, Strategy and Policy, Netherlands Development Organization

- Dr. Dirk Messner, Director, The German Development Institute

- Dariann Riber, Chief Advisor: Technical Advisory Service Danida

- Dr. Gail Marzeti, Deputy Head, DFID

- Elin Kaurstad, International Research Cooperation, Oslo University

- Jana Wolfram, Department 211, Federal Ministry of Education and Research

- Dr. Jochen Zachgo, Z21 Budget, Federal Ministry of Education and Research

- Margit Egner, Research Office, Oslo University

- Maximilian Metzger, Department 211, Federal Ministry of Education and Research

- Michelle Bouchard, Programme Officer, Sida's programme for development research

- Ms. Toetzke, Head of Department 210, Federal Ministry for Economic Cooperation and Development, BMZ

- Richard Biscoe, Overseas Development Institute

- Ulle Ipsen, Programme Director, Danida Fellowship Centre

- Viktoria Halltell - Senior International Officer, Research Council Formas

- Paul Spray, Head of Research, DFID

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