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# **Progress Report by the Director**

For the reporting period of  
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# INTRODUCTION

1 This report presents the Institute's work from January through December 2004, including its conference, research, advisory, publication and dissemination activities. It is supplemented by an administrative and financial report.

2 Work under the project to prepare the UNRISD *Policy Report on Gender and Development*, titled *Gender Equality: Striving for Justice in an Unequal World*, was particularly intense during the current reporting period. The four sections of the report were drafted, peer reviewed, revised and edited. By the end of 2004, the report was in the final stages of production and on schedule for printing in time for the launch in New York in March 2005. Additional members of staff were recruited to work on the production and dissemination of this report, and a network of freelance editors and designers was also set up.

3 Based on the findings of the Institute's ongoing gender research and over 60 specially commissioned studies, the report's analysis is centred on the economic and political reforms of the 1990s. If most of these reforms did not directly address gender equality, they nevertheless received considerable scrutiny from a gender perspective. And whatever their intentions, they had significant and mixed implications for gender relations and women's well-being. As its title alludes, achieving gender equality and gender justice will be very difficult in a world that is increasingly unequal. The report presents strong arguments for why gender equality must be placed at the core of efforts to reorient the development agenda. Indeed, if some of the key contemporary challenges—economic growth and structural transformation, equality and social protection, and democratization—are to be met, it argues, this is essential.

4 United Nations (UN) organizations are often asked whether their research on social development issues is useful for international policy making. Implicit in this question are concerns about the relevance, quality, dissemination and impact of research. To understand how research impacts policy, it is necessary to examine how the relationship is mediated by politics, discourse, subjectivity and learning, as well as the implications of a range of new institutional developments. Distinguished speakers and panellists addressed such issues at a two-day UNRISD conference, *Social Knowledge and International Policy Making: Exploring the Linkages*, which provided an occasion to mark the fortieth anniversary of UNRISD and also to contribute to an UNRISD initiative that periodically brings together senior UN officials in a dialogue on key development issues.

5 The Institute's research staff further elaborated ideas and propositions for future areas of work by the Institute, which had been presented in preliminary form to the Board at its forty-second session in March 2004. An important contribution to this process was a two-day *Consultation Meeting on Future UNRISD Research*, in which 25 prominent social scientists participated. The meeting involved both plenary sessions and thematic group discussions that allowed participants to provide feedback on the research ideas presented in a document prepared by UNRISD. Following the consultation meeting, UNRISD research staff revised the proposals for future areas of research. The Board will find these proposals in the document, *Future Directions in UNRISD Research, 2005–2009*.

6 During this reporting period, Institute staff organized a total of 12 events. Through these workshops, seminars and conferences on themes related to its

programme of work, UNRISD offers a forum for dialogue among policy makers, donors, scholars and civil society organizations (CSOs).

7 Good research, networking, publication and dissemination progress was made in a number of the projects on which the Board received reports last year.

8 In the programme area *Social Policy and Development*, country-level research in many of the subprojects under *Social Policy in a Development Context* was concluded during the current reporting period, and the majority of work related to revision of manuscripts and publications. The first two volumes were released in a new series, *Social Policy in a Development Context*, published on behalf of UNRISD by Palgrave Macmillan. In the two subprojects that commenced with some delay, *Pro-Poor Macroeconomics and Social Policy* and *Democratization and Social Policy*, notable progress was made in 2004. Research under the project *Politics and Political Economy of HIV/AIDS* was completed and draft reports received, while that on *Community Responses to HIV/AIDS* began with a call for proposals, methodology workshop and commissioning of country-level work. Case studies under the project on *Privatization, Commercialization and Universal Access to Water* were discussed at a workshop and revised with a view to publication

9 There was one project under way in the programme area *Technology, Business and Society* during the current reporting period: *Business Responsibility for Sustainable Development*. Attention focused on finalizing and updating country reports; conceptual and empirical work on the regulation of transnational corporations (TNCs); background research to identify future areas of work; and outreach and advisory work. The external coordinator of past work under the project *Information Technologies and Social Development* drafted a workshop report, *Understanding "Informational Developments": A Reflection on Key Research Issues*, which UNRISD plans to publish in time for the second phase of the World Summit on the Information Society (WSIS) in November 2005 in Tunis.

10 A number of publications resulting from past work under the programme area *Civil Society and Social Movements* came out during the current reporting period. Two projects were under way: *UN World Summits and Civil Society Engagement* and *Global Civil Society Movements: Dynamics in International Campaigns and National Implementation*. This work focuses on the strengths and weaknesses of transnational civil society movements and networks, and their attempts to popularize and take action on global issues of concern. First drafts of national-level and thematic studies commissioned under the first project were completed during the current reporting period. Thematic and country studies were commissioned under the second project, and a research methodology seminar was held.

11 One project was under way in the programme area *Democracy, Governance and Human Rights: Ethnic Structure, Inequality and Governance of the Public Sector*. With the country-level research having been completed during the previous reporting period, the main project activities in 2004 were a synthesis of the research findings and policy implications, an international conference in Riga, Latvia, and the conclusion with Palgrave Macmillan of a co-publication agreement for 11 volumes.

12 UNRISD staff members are frequently called upon to act in a range of advisory roles for UN agencies, multilateral and bilateral organizations, governments, non-governmental organizations (NGOs), research institutes and

universities. This provides UNRISD with opportunities to make substantive contributions to the thinking and programmes of other institutions and groups, while staff members benefit from the exchange of ideas and are also able to network, identify potential research partners and explore funding opportunities. During the reporting period, UNRISD staff members carried out advisory and consultancy activities on over 30 occasions.

**13** UNRISD's average output of publications increased to over three per month in 2004. These included 25 Programme Papers and six books, five in collaboration with co-publishing partners. Three titles were also published in a new series of Research and Policy Briefs. Publications staff continued to use freelance editors, translators and designers in order to process the ever-increasing quantity of manuscripts being passed on for publication. External expertise was also used during this reporting period for the editing, design and layout of *Gender Equality: Striving for Justice in an Unequal World*, as well as a range of other outputs related to this report.

**14** Research results were disseminated via the Institute's publications; in targeted mailings to a wide range of constituencies; through conferences, seminars and workshops organized by UNRISD and other organizations and institutions; in articles and interviews in specialized journals and general media outlets; through the participation of UNRISD staff in public events; and via the UNRISD Web site. Web site statistics show an average of 16,196 unique visitors per month. Particularly satisfying are the data on the numbers of full-text documents accessed: 66,718 PDF versions downloaded directly from the site (up from 39,358 in 2003) and 3,903 requests to receive PDF versions via email.

**15** Dissemination staff use a number of targeted mailing lists, including subject-specific and audience-specific ones. The Institute's fortieth anniversary report, *Research for Social Change*, and the new series of Research and Policy Briefs offered opportunities to further expand outreach targeted to policy-making bodies. Preliminary results of a reader survey indicate that the new series has been well received, in terms of both the quality of the research and the presentation.

**16** UNRISD publications were made available at a range of important events organized by the UN and other organizations, including universities and NGOs. During the reporting period, over 9,300 publications were disseminated to 25 international conferences and 10 seminars in 15 countries around the world. These figures show a pattern of dissemination comparable to that of 2003.

**17** The level of core funding received by the Institute for the financial year 2004 was USD 2,440,808, compared with USD 2,730,221 received for 2003. The decrease of USD 289,413, or 10.6 per cent, resulted from the decision of the government of the Netherlands not to renew its contribution in 2004. The governments of Finland, Sweden, Switzerland and the United Kingdom increased their contributions.

**18** The level of project funding received by the Institute decreased from USD 2,601,414 to USD 1,438,560 in 2004. It should be noted that project funding in 2003 was exceptionally high and included several contributions for multi-year projects.

**19** The project to produce *Gender Equality: Striving for Justice in an Unequal World* received significant contributions in 2004, amounting to USD 539,989, contributed by the International Development Research Centre (IDRC), Canada (USD 276,950) and the Swedish International Development Cooperation Agency

(Sida), Sweden (USD 263,039). The *Social Policy in a Development Context* project received additional contributions for the year 2004, totalling USD 365,434, from Sida, Sweden (USD 201,200) and the Department for International Development (DFID), United Kingdom (USD 164,234).

**20** The government of Switzerland contributed USD 350,877 for the project on *Global Civil Society Movements: Dynamics in International Campaigns and National Implementation* and the Ford Foundation provided USD 170,000 for the project on *UN World Summits and Civil Society Engagement*. Other contributions to project funds, totalling USD 12,260, were received from the Food and Agriculture Organization of the United Nations (FAO) and the Gesellschaft für Technische Zusammenarbeit (GTZ).



# SPECIAL EVENTS AND ACTIVITIES

## Policy Report on Gender and Development: 10 Years after Beijing

### *Background*

**21** The Fourth World Conference on Women, held in Beijing in September 1995, was a high point in international efforts to advance women's human rights in all dimensions. Ten years on, many actors around the world are reflecting on the achievements of the past decade. As an autonomous research institute within the United Nations (UN) system with an ongoing programme of research on the gender dimensions of development, UNRISD seemed well placed to make a research-based contribution to this process of reflection and debate.

**22** The Progress Report by the Director for the previous reporting period (January–December 2003) described the substantive themes and structure of the Institute's flagship report, *Gender Equality: Striving for Justice in an Unequal World*, the financing and institutional mechanisms put in place for its preparation, the list of background papers commissioned, as well as the intended outputs.

**23** The preparation of the report and all related project activities have been funded by the European Union (EU), the Department for Research Co-operation of the Swedish International Development Cooperation Agency (Sida/SAREC), the International Development Research Centre (IDRC, Canada) and the government of the Netherlands. The work was coordinated at UNRISD by Shahra Razavi.

### *Progress*

**24** Drawing on the 62 background papers, as well as UNRISD's own research projects and the broader scholarly literature, a first draft of the report was prepared by 1 June 2004. The draft report was sent to four external peer referees (Naila Kabeer, Donna Pankhurst, Stephanie Seguino and Georgina Waylen) and the members of the project advisory group (Jan Breman, Diane Elson, Maria del Carmen Feijoo, Marnia Lazreg, Maxine Molyneux, Gita Sen, Fatou Sow, Julia Szalai and Paul Tiyambe Zeleza). Written comments were received from all external readers, as well as UNRISD research staff.

**25** The project advisory group held its second meeting on 1–2 July 2004 in Geneva to discuss the draft report, suggest revisions and identify policy messages.

**26** Drawing on the extensive feedback received and working in collaboration with the external editor, the research team revised the report between June and December 2004. The report was finalized by mid–December 2004.

**27** Background papers were posted on the project's Extranet created by UNRISD, allowing all paper-writers and other members of the research team to access the body of work. A selected number of papers were identified for the UNRISD Occasional Paper series for Beijing+10; all published papers are subject to external peer review.

28 Preparations began for the translation of the report into other UN languages. The design and production of the project outputs also commenced in September 2004.

29 The English-language version of the report will be launched at the forty-ninth session of the Commission on the Status of Women, when UNRISD will hold a one-day conference at the Ford Foundation and an official “side event” at UN headquarters.

### *Some of the Report’s Messages*

30 The report focuses on four broad thematic areas that capture some of the most pressing and contested issues of our times: (i) macroeconomics, well-being and gender equality; (ii) women, work and social policy; (iii) women in politics and public life; and (iv) gender, armed conflict and the search for peace. It addresses both directly and indirectly eight of the 12 key “areas of concern” articulated in the Beijing Platform for Action. Rather than presenting a step-by-step account of progress and regress under the different areas of concern, the report brings them together to highlight both their interconnections and the linkages between the Beijing Platform for Action and major policy areas that are the subject of global contestation and debate.

#### Women’s Political Presence is Increasing

31 Undoubtedly the most positive message of the report is about the “rising tide” of women’s presence in politics. One resolution in the Beijing Platform for Action to have enjoyed marked progress over the past decade is that calling for women’s greater access to public office. Even if governments have been uneven in their responses, and even if there is still far to go before genuine parity is reached, the entry of more women to representative office is nonetheless an achievement that deserves celebration as a contribution to deepening democracy around the world.

32 Although the average proportion of women in parliaments has only increased from 9 per cent in 1995 to almost 16 per cent in 2004, in 16 countries the proportion has reached 30 per cent or more. Every region in the world except for Eastern Europe and Central Asia has seen a slow increase in the number of women in public office.

33 Over the past decade, there has been considerable experimentation with the use of affirmative action in order to meet the goal of gender parity in representative politics. Quotas on party electoral lists are now in use in over 80 countries using proportional representation. The entry of more women into national legislatures as well as municipal councils and other locally administered bodies has provided valuable openings for women representatives and councillors to articulate different priorities in national and local decision making, although much remains to be done before a truly transformative impact on policy can take shape.

#### Turning a Female Presence into Legislative Change

34 Women’s active agency is today increasingly visible and impressive not only in the state and political society, but in women’s movements around the world, in organizations of civil society, and in the international development establishment.

35 Women’s activism in civil society is often the main force behind the passage of laws that are women friendly, and underpins the efforts of gender advocates in public office. A strong and autonomous women’s movement can greatly magnify

the influence of a women's caucus inside parliament, providing an external base of support and legitimacy to counterbalance internal government resistance to the implementation of woman-friendly policies.

**36** Dovetailing with the demands of women's movements, "femocrats" in state institutions and female legislators have worked hard to make national laws responsive to women's reproductive health and rights, and to prohibit violence and discrimination against women, no matter where these violations occur and who their perpetrators are. At the international level, landmark prosecutions against sexual assault in war as a crime against humanity now mean that public actors responsible for sexual violence are beginning to be held accountable not just to the citizens of their own countries, but to global society.

**37** These explicit policy and legislative moves have combined with long-term processes of social change in families and cultural practices to bring more women into the public domain. A decade on from Beijing there is indeed much to celebrate.

**38** But there is also much at risk. On the tenth anniversary of the Beijing Conference women's movements are reflecting not only on the continued dominance of neoliberalism in some important arenas of policy making, and the negative impacts on the lives of women that result in many parts of the world, but the challenges thrown up by the recent shifts in geopolitics and new forms of religious-identity politics played out at the global, national and subnational levels.

### Unfettered Liberalization Creates Barriers to Gender Equality

**39** In reflecting on the achievements of the 1990s, the UNRISD report has paid particular attention to the contribution that development policy can make to decreasing women's subordination. It suggests that the prevailing policy orthodoxy, with its single-minded emphasis on fiscal restraint and balanced budgets, is among the reasons for the persistence of gender inequalities.

**40** In recent decades, developing countries have pursued orthodox macroeconomic policies (trade and financial liberalization in particular) and associated policies of domestic deregulation. They are rooted in the belief that minimal government intervention in the economy and greater reliance on the free play of market forces lead to a more efficient allocation of economic resources, higher rates of economic growth, more rapidly rising income, and a resulting decline in poverty and inequality. The inference is that women will be equal beneficiaries, and that increased access to jobs, income and education can lead to greater gender equality.

**41** Yet mounting empirical evidence provides scant support for such a prospect. This policy approach has not provided a supportive environment for improving women's well-being, overcoming gender biases and eroding gender gaps in basic capacities, opportunities and access to resources. Nor has it brought about a fairer sharing between women and men of the unpaid work and the costs involved in caring for their dependents.

**42** Tight monetary and fiscal policies have generally curbed inflation, but this has been at the cost of reduced growth rates in most regions (and particularly the poorest countries), and slow or negative growth in employment, on which most people depend for their livelihoods. Insecurity has been etched into the informal economies that have grown across the world and in which women are

disproportionately present. Labour market “flexibility” has come to mean a weakening of labour standards rather than creating a better work-life balance.

**43** The liberalization of international capital flows has resulted in rising financial and economic volatility, and more frequent and severe financial crises with well-known detrimental impacts on people’s well-being, women’s labour market position (evident in East Asia), and their unpaid care burdens.

**44** Rural livelihoods have become more insecure in contexts where cutbacks in state support to domestic agriculture have coincided with increasing exposure to competition from large subsidized producers. At a time when global commodity markets have been volatile and depressed, large numbers of people have been trapped in poverty, hunger and even famine. In some regions smallholder agriculture has been feminized (as men have migrated or found more lucrative work off the farm), while women have also taken on a disproportionate share of the seasonal and casual wage work in large-scale export farming.

**45** Many countries have been subject to fiscal squeeze, resulting from reductions in trade-related taxes and from declining tax rates on capital. These have often contributed to a reduction in government expenditures as a share of gross domestic product. In several instances, expenditure cuts have been concentrated in capital expenditures affecting infrastructure (which is critical for the care economy managed by women), and in others, expenditures on health, education, welfare and social safety nets have been eroded.

**46** Moreover, in most countries there has been little reduction in internal income inequality, and there has been a widespread increase in poverty, disproportionately affecting women, given their constrained access to capital and land, their lower labour market status and their greater responsibility for the provision of unpaid care work.

**47** These constraints are often magnified in the context of war-torn societies. Fragile, failing or conflict-ridden states present acute challenges to the project of pursuing gender equality—challenges that will demand increasing international attention over the years to come. Where core state functions, such as the provision of basic social services, are offloaded onto humanitarian and international aid organizations, where the processes of state building and peace consolidation are themselves subject to blueprints laid out by international players, and where domestic women’s movements are weak, it is extremely difficult to build a national consensus for gender justice.

**48** In sum, the predicted benefits of higher economic growth and poverty reduction have not materialized. Indeed, the capacity of governments to provide public services and social protection has been widely eroded precisely at a time when effective social protection is most needed. With weak public health and welfare programmes, fragile infrastructure and thin social protection mechanisms, the provision of unpaid care by women and girls has intensified—to intolerable degrees in sub-Saharan Africa, where the HIV/AIDS epidemic is taking a staggering toll of lives. At the same time, taking on paid work has become ever more necessary for all household members—whether male or female, young or old—to make ends meet in increasingly commercialized contexts.

## The Revival of “Traditionalism” Has Adverse Implications for Gender Equality

**49** When people seek social protection from traditional or informal social institutions, because of state failure to provide services or a sense of national purpose, patriarchal practices may enjoy a revival (or be invented from scratch, even if they are labelled “traditional” or “customary”). In some countries, the discrediting of modernity as a solution to social ills has stimulated the growth of conservative ethnic and religious movements. Gender relations are matters of central importance to many of these groups, particularly where “women’s liberation” is associated with failed or repressive modernization.

**50** There is no evidence that women are more attracted than are men to conservative faith-based or culturally extremist groups, but there is evidence from around the world that these groups are gaining in strength and that women form a visible component, both in membership and leadership.

**51** At the same time as offering an attractive critique of political regimes and of neoliberal economic policy, many religious movements appear able to combine conservative views on gender relations that deeply threaten and undercut some aspects of women’s rights and autonomy. But the resilience of these informal institutions, their ingenuity in substituting for state services, and their enduring effectiveness at providing members with dignity and social purpose, mean that they must be recruited to the task of rebuilding social cohesion in post-conflict situations or in failing states.

## Charting Gender-Equitable Policy Has Certain Guiding Principles, But No One-Size-Fits-All Solution

**52** In response to widespread discontent with the liberalization agenda, more attention is now being given to social policies and governance issues. There is the view in some policy circles that if globalization is to stay on course, then it must be “tamed” through social policies and political reforms (“good governance”). It is also now more widely recognized that effective governance is not about shrinking the state.

**53** Alternatives must avoid prescribing a “one-size-fits-all” solution in the way that orthodox approaches have done, given the immense institutional, historical and political diversities among countries. Charting gender-equitable macroeconomic policy is in a sense an art, for which there is no simple recipe. There are certain guiding principles, however, that macroeconomic policies need to observe: avoid deflationary policies that sacrifice growth and employment creation; and make equality a central objective of policy making, along with macroeconomic stability.

**54** While economic growth provides the necessary conditions for escaping poverty, improving standards of living and generating resources for redistributive policies, it is not sufficient for gender equality. High rates of economic growth, for example, may draw more women into the labour force, but this can coincide with persistent gender segmentation in labour markets. This suggests that more specific policies are needed to make growth and gender equality compatible: social regulation of all labour markets to erode gender-biased social norms and remove discriminations that account for the persistence of gender segmentation; and removal of structural constraints on women’s ability to take up widening labour market opportunities.

**55** Similarly, higher rates of growth together with taxation policies that generate higher levels of government income do not necessarily lead to a more gender-equitable use of these revenues. To ensure that public expenditure is actually reaching women and girls equitably, gender policy objectives have to be set and mechanisms put in place to guarantee that public expenditures are channelled to these areas, and to the provision of infrastructure and social services that contribute to a reduction in women's unpaid labour time (what gender budget initiatives have been trying to do). Social policies need to become much more inclusive by extending the coverage of existing social protection programmes to new groups of informal workers.

**56** The feminization of national parliaments and local governments in some parts of the world will not necessarily mean that women politicians will use gender budget initiatives or other mechanisms to advance women's interests. The responsiveness of women in public office to the cause of gender equality will depend on a number of factors, including whether the way they have accessed politics allows them to respond to a female constituency, and the strength and vibrancy of women's movements. The effectiveness of women politicians as gender equality advocates will also depend on whether the institutions of governance—the judiciary, the audit systems, the legislature, the public administration—can be reformed to make social justice and gender equality a measure of excellence in public service.

**57** Where economic and governance reforms do not pay heed to the protection of human rights and do not contribute to building meaningful opportunities for participation and deepening democracy, it will remain difficult to make gender equality an objective for the public sector. Indeed, if the privatization of core state functions in some places, and the limitations imposed on domestic policy making by economic globalization in others, are weakening the state's reach and capacity, then it will be very difficult for women holding public office to bring gender equality into the policy arena.

**58** Good governance and equality projects are costly—they require strong states—but they are essential for building secure states and societies capable of tolerating diversity and difference. Orthodox prescriptions for market and state reform avoid issues of inequality. In the short term, inequalities, including gender-based inequalities, may facilitate rapid growth, but in the long term they deeply undercut the contribution of growth to poverty reduction, they erode social cohesion, and they can foster extremist political activity and instability.

## **Social Knowledge and International Policy Making: Exploring the Linkages**

**59** A question often asked of UN agencies is whether the knowledge they generate is useful for international policy making. Implicit in this question are concerns regarding the relevance, quality, dissemination and impact of research. But such a question often assumes erroneously that knowledge and policy stand in a direct or unproblematic relation to each other. To understand how research may influence policy it is necessary to examine how the relationship is mediated by politics, discourse, subjectivity and learning. It is also important to understand the implications of new institutional developments associated with networking, public-private partnerships, "knowledge agencies" and organizational learning.

**60** To address these issues, UNRISD organized a two-day conference, coordinated by Peter Utting, which also commemorated the Institute's fortieth anniversary. The discussions assessed the intellectual contribution of UN research; its impact on policy making; technical aspects related to the relevance, coordination and dissemination of research; the nature of relations between international development research and the academic and activist communities, particularly in developing countries; and the current and future status of independent and critical research within the UN system.

**61** In his keynote address, José Antonio Ocampo, UN Under-Secretary-General for Economic and Social Affairs, highlighted several problematic features of contemporary knowledge systems associated with mainstream development. These included the tendency for theory to precede policy and practice, the "one-right-way" approach that is often imposed on diverse realities in developing countries, the marginalization of critical thinking and Southern perspectives in knowledge systems, and the increasing centralization of knowledge creation—particularly in the field of economics—in the United States. To counter this situation, he stressed the need to renew the intellectual pluralism that allows for and encourages different points of view. This, in turn, requires fostering strong national institutions and pluralistic international bodies in the fields of inquiry that relate to development policy.

**62** The conference papers and related discussions focused on three themes: the first concerned the intellectual role of international finance and development organizations. Papers presented by John Toye, Kenneth King and Louis Emmerij traced the evolution of thinking on development issues within multilateral and bilateral agencies, reflected on the contribution of ideas in processes of policy change, and considered the ways in which knowledge in such organizations is influenced by politics and institutional mandates. Several speakers noted that knowledge management in the World Bank tended to be concerned with sharing knowledge internally, and validating and disseminating established positions. This had the effect of suppressing not only the generation of new knowledge, but also analysis that could contradict core doctrines. While some speakers noted that critical thinking within the UN had also declined, there was considerable agreement that the UN had, throughout its existence, played a pioneering role in the generation and dissemination of new ideas related to social and economic development and human rights. In view of this situation, there was a need to correct the current imbalance in funding away from the UN to the Bretton Woods institutions.

**63** The second theme related to the ideology, politics and agendas underpinning recent changes in mainstream development discourse. Papers presented by Andrea Cornwall and Shalmali Guttal, and other interventions, emphasized the hidden agendas, the issues and realities that are ignored, and the repackaging of "business-as-usual", all of which are part and parcel of discursive shifts involving the uptake of progressive terms such as participation, empowerment, poverty reduction and sustainable development. This "popularization" of mainstream development discourse simultaneously opens up spaces for constructive institutional reform, co-optation, and the subordination of intellectual inquiry to political correctness.

**64** The third theme related to the ways in which research, activism and policy making interact—or how they *might* interact—to promote equality and development. Papers by Gita Sen, Bob Deacon and Norman Girvan considered, respectively, the quest for gender equity; the construction of a global social policy regime that is inclusive and redistributive; and the possibility of enhancing, through

regionalism, intellectual diversity, policy autonomy and bargaining power in the global South. As activists, scholars and policy makers learn to speak to each other, constituencies and coalitions for change may be strengthened but the relationship is a fragile one.

**65** A panel discussion considered the question of what policy makers expect from research commissioned by multilateral and bilateral agencies, and how they use research results. Panellists identified some of the constraints involved, such as the tendency for policy makers to commission research or select particular research findings to confirm existing views, and to be wary of new thinking. To overcome such constraints, panellists and discussants referred to various tools and tactics. These included involving policy makers as partners or allies throughout the research cycle; building networks that cross disciplinary, geographical and professional boundaries; framing research recommendations as options for the future rather than for immediate adoption; fostering an entrepreneurial spirit among researchers so that they focus as much on devising innovative ways to reach and convince policy makers, as on academic rigour; and recognizing that the most effective way to influence policy makers may not follow the direct path that links research and policy making, but may instead take a more circuitous route where research strengthens the position of actors and movements that can exert political pressure on policy makers.

**66** Another panel, comprising scholars from Africa, Latin America and South Asia, examined how the UN and the World Bank interact with the Southern research community. There was considerable concern about the way in which the impoverishment of national research systems in many developing countries results in a situation where some of the best intellectual talent is absorbed by the international consultancy market, and where research is “colonized” by international agencies and Northern-based organizations. Furthermore, much of the knowledge that is generated in this system remains inaccessible to researchers in developing countries. Referring, in particular, to Africa and Latin America, several speakers noted that a combination of political and economic conditions had weakened the university system, not only reinforcing a consultancy culture but also shifting research to non-governmental and other organizations that are heavily dependent on outside funding. Southern researchers are often used by international organizations to produce data and case studies within a division of intellectual labour where more conceptual and analytical work is carried out in the North. International organizations, it was argued, need to be concerned not only with “building capacity”, but also with giving true recognition to existing capacities and enabling the voices of Southern researchers to be heard. To build capacity there should be more of an effort to work with and strengthen institutions in developing countries, rather than the current situation where UN research networks tend to be built around individuals.

**67** A report on the conference was published in October 2004 as an issue of UNRISD Conference News, and the eight papers presented at the conference (see below) were revised and edited for publication in a volume, provisionally titled *Reclaiming Development Agendas: Knowledge, Power and International Policy Making* (Peter Utting, ed.), that will be submitted to Palgrave Macmillan during the first half of 2005. José Antonio Ocampo has written an extended foreword for the volume. The papers by John Toye and Richard Toye, Andrea Cornwall and Karen Brock, and Norman Girvan are forthcoming as UNRISD Programme Papers.



**68** The edited volume comprises the following papers.

- Andrea Cornwall and Karen Brock — *Beyond Buzzwords: “Poverty Reduction”, “Participation” and “Empowerment” in Development Policy*
- Bob Deacon — *Global Social Policy Reform*
- Louis Emmerij, Richard Jolly and Thomas Weiss — *Generating Knowledge in the United Nations*
- Norman Girvan — *The Search for Policy Autonomy in the Global South*
- Shalmali Guttal — *Challenging the Knowledge Business*
- Kenneth King — *Knowledge Management and the Global Agenda for Education*
- Gita Sen — *The Quest for Gender Equality*
- John Toye and Richard Toye — *The World Bank as a Knowledge Agency*

## Consultation Meeting on Future UNRISD Research

**69** An important activity in the process of designing the new UNRISD research agenda for the 2005–2009 period was a two-day consultation with 25 prominent social scientists. The aim of the meeting was to identify key concerns and priority issues, and to ensure that UNRISD thinking as regards future research is in step with international debates and national and regional perspectives on contemporary development trends, policies and problems. The consultation meeting involved both plenary sessions and thematic group discussions that allowed participants to provide feedback on a set of preliminary research ideas presented in a document prepared by UNRISD. They also considered how the Institute might strengthen its relations with research networks and institutions, particularly in developing countries.

**70** Among the participants were representatives from regional research networks—the Council for the Development of Social Science Research in Africa (CODESRIA), the European Association of Development Institutes (EADI) and the Latin American Social Science Research Council (CLACSO). Scholars from universities in Ghana, Lebanon, Peru, South Africa, Switzerland and Thailand, as well as specialists from UN agencies and Europe- and United States-based research institutions, also attended.

**71** A series of regional presentations on the first day drew out a number of common concerns related, for example, to the perverse social and developmental effects of economic liberalization and donor conditionality, the weakening of traditional centres of higher education and development research in the South, and the marginalization of conceptual and critical thinking in a context where “consultancy culture” is proliferating. They also revealed new issues and concerns related to the “post-9/11” world and United States hegemony, and their implications for development aid, democratization, new social movements and identity politics.

**72** On the second day, participants met in smaller groups for more in-depth discussions on six sets of issues: social policy; democratization and social development; identities, conflict and cohesion; civil society and social movements; gender and development; and markets, business and regulation. The discussions served to endorse or critique the preliminary research ideas and to identify areas that might be given greater emphasis. These included the analysis of alternative

visions and models of development, global citizenship, the role of the state in development, and the role of ideas and institutions in the construction of both dominant and alternative knowledge systems. Several new areas were also proposed for study, including the social and developmental impacts of unregulated and illegal markets, and specific social issues related to diasporas, ageing and human trafficking.

**73** One session considered how UNRISD might interact more effectively with the international research community, particularly institutions and networks in the South. Proposals included undertaking collaborative projects with the regional research networks, promoting conceptual work in developing countries, mobilizing more resources for the translation of publications, and providing more opportunities for researchers from the South to spend time at UNRISD.

**74** The feedback provided at this meeting served as an input for revising the draft proposal on future research that was discussed by the Board at its previous session. The revised proposal is being submitted for the Board's consideration at its forty-third session in March 2005. The consultation process was coordinated by Peter Utting.

# PROGRAMME ON SOCIAL POLICY AND DEVELOPMENT

## Introduction

**75** Social policy is broadly defined as state policies and practices that directly influence the welfare and security of various groups within a particular society. In this programme area, the Institute is encouraging interdisciplinary debate on the relationship between social policy, social and political institutions, and economic development.

**76** The edited volume, *Neoliberalism and Institutional Reform in East Asia* (Meredith Woo-Cumings, ed.) is still being revised and publication by Cornell University Press is expected in 2005.

**77** Research areas during this reporting period included region-centred and thematic studies under the flagship project, *Social Policy in a Development Context*; *Politics and Political Economy of HIV/AIDS*; *Community Responses to HIV/AIDS*; and *Commercialization, Privatization and Universal Access to Water*.

**78** Country-level research in many of the subprojects under *Social Policy in a Development Context* was concluded during the current reporting period, and the majority of work related to revision of manuscripts and publications. The first two volumes were released in a new series, *Social Policy in a Development Context*, published on behalf of UNRISD by Palgrave Macmillan. In the two subprojects that commenced with some delay, *Pro-Poor Macroeconomics and Social Policy* and *Democratization and Social Policy*, notable progress was made in 2004. Research under the project *Politics and Political Economy of HIV/AIDS* was completed and draft reports received, while that on *Community Responses to HIV/AIDS* began with a call for proposals, methodology workshop and commissioning of country-level work. Case studies under the project on *Privatization, Commercialization and Universal Access to Water* were discussed at a workshop and revised with a view to publication.

## Social Policy in a Development Context

### *Background*

**79** The group of projects on *Social Policy in a Development Context* has looked at ways in which social policy can be instrumental to economic development while maintaining its intrinsic goals of social protection and equity. These projects have placed social policy at the centre of research, and this has now been more widely recognized as an important field of study. This body of work is structured under nine subprojects, region-centred and thematic, as reported previously to the Board. During the current reporting period, much of the research drew to a close, with research findings being disseminated via co-publications, Programme Papers and the UNRISD Web site. Research under certain subprojects is ongoing, and the project will continue into 2005 in order to wrap up all subprojects and disseminate findings in the run-up to new UNRISD research on social policy and development.

**80** This project has been funded by the Swedish International Development Cooperation Agency (Sida), the United Kingdom's Department for International

Development (DFID), the Ford Foundation and the Geneva International Academic Network (GIAN), as well as UNRISD core funds.

## **Progress**

**81** During the current reporting period, *Social Policy in a Development Context* (Thandika Mkandawire, ed.) and *Transforming the Developmental Welfare State in East Asia* (Huck-ju Kwon, ed.) were published in a new series being produced on behalf of UNRISD by Palgrave Macmillan. Manuscripts for the next two volumes in the series, *Social Policy and Economic Development in the Nordic Countries* (Joakim Palme and Olli Kangas, eds.) and *Commercialization of Health: Global and Local Dynamics and Policy Responses* (Maureen Mackintosh and Meri Koivusalo, eds.) were submitted to Palgrave Macmillan and are expected by mid-2005. The book series will be officially launched in the first half of 2005, in parallel with international conferences. The research results will be disseminated to a wide audience, including policy makers, non-governmental organizations (NGOs) and academics, through UNRISD Research and Policy Briefs, Programme Papers, via the UNRISD Web site, and at regional dissemination seminars.

**82** Papers commissioned during previous reporting periods were listed in the Progress Report by the Director for the reporting period January–December 2003.

## **Region-Centred Comparative Research**

### ***Transforming the Developmental State in East Asia***

**83** This subproject is coordinated by Huck-ju Kwon and covers the cases of China, Hong Kong/Special Administrative Region (SAR), Japan, Malaysia, the Republic of Korea, Singapore, Taiwan Province of China and Thailand.

**84** Since the economic crisis of 1997, there have been significant social policy reforms in East Asia. Using the concept of the “developmental welfare state”, this subproject has investigated whether the region’s welfare reforms have extended social rights while maintaining developmental credentials. This subproject’s synthesis volume, *Transforming the Developmental Welfare State in East Asia*, explains the way in which shifts in economic strategy have influenced social policy reform in East Asia. The volume also analyses the political dynamics of social policy in which economic imperatives for social reform were transformed into social policy reform. It explores the extent to which the particular politics of the country, either democratic or authoritarian, determined the course of social policy reform.

**85** In addition to the copublication of Kwon’s edited volume, two Programme Papers, *The Politics of Welfare Developmentalism in Hong Kong* by Eliza W.Y. Lee and *La transformación del estado de bienestar en Asia del Este* by Huck-ju Kwon (translation) were finalized and reviewed for publication. Two other papers, *Welfare Developmentalism in Singapore and Malaysia* by Chua Beng Huat and *Transforming the Developmental Welfare State in East Asia* by Huck-ju Kwon were posted on the UNRISD Web site.

### ***Social Policy in Late Industrializers: A Comparative Study of Latin America***

**86** This subproject is externally coordinated by Manuel Riesco (Centro de Estudios Nacionales de Desarrollo Alternativo, Chile) and covers Argentina, Brazil, Chile, Costa Rica, Cuba, Mexico, Peru and Uruguay. The research was completed during the current reporting period and an edited volume, *Latin America: A New Developmental Welfare State in the Making?* (Manuel Riesco, ed.), was finalized and sent to peer referees. *Política Social y Reforma Social “a la Tica”*: *Un caso paradigmático de heterodoxia en el contexto de una economía*

*periférica*, by Manuel Barahona, Ludwig Güendel and Carlos Castro, was finalized and is forthcoming as a Programme Paper.

87 The subproject has analysed the Latin American developmental welfare state, its origins, rise, pinnacle and decline. It has also examined the present form of the developmental welfare state. The country case studies have drawn on time series data and secondary literature in seeking to explain the institutional development and underlying politics of social policy. The research shows how the Latin American developmental welfare state was instrumental in transforming the peasant population into salaried workers in the process of structural changes, such as industrialization and urbanization. Since the 1980s, neoliberal reforms have led to the decline of the developmental welfare state, but as a result of new social movements and political changes the developmental welfare state is beginning to re-emerge.

#### ***Sub-Saharan Africa and the Challenge of Social Policy***

88 This subproject is externally coordinated by Jimi Adesina (Rhodes University, South Africa) and covers francophone West Africa (Côte d'Ivoire, Gabon, Senegal), West Africa (Ghana, Nigeria), East Africa (Kenya, Tanzania, Uganda) and Southern Africa (Botswana, Zimbabwe).

89 Researchers continued work on revising their texts during the current reporting period. The subproject is analysing the trajectories of social policy in the areas of water, sanitation, health care and education since the independence of the countries in the region. The effects of changes in international politics, including decolonialization and post-Cold War dynamics, are also taken into consideration.

#### ***Social Policy and Economic Development in the Middle East and North Africa***

90 This subproject is externally coordinated by Massoud Karshenas (Institute of Social Studies [ISS], Netherlands) and covers Algeria, Egypt, Iran, Morocco, Tunisia and Turkey.

91 The subproject provides a political, economic and gender analysis of social policy and its evolution in countries of the Middle East and North Africa. Research, which was completed during the current reporting period, has examined the origins of social policy in populist or modernizing state activities, changes in the era of neoliberal reform and prospects for renewal in a democratizing and developmental context. The research coordinator progressed with the preparation of a synthetic overview of project findings and with the preparation of an edited volume. The manuscript is expected in early 2005.

#### ***Social Policy and Development in the Nordic Countries***

92 This subproject is externally coordinated by Joakim Palme (Institute of Future Studies, Sweden) and Olli Kangas (University of Turku, Finland), and covers Denmark, Finland, Norway and Sweden. The research was completed during the current reporting period and an edited volume, *Social Policy and Economic Development in the Nordic Countries* (Joakim Palme and Olli Kangas, eds.) was finalized and submitted to Palgrave Macmillan.

93 This subproject has examined the relationship between Nordic social policy and economic development from a comparative perspective. It has identified the driving forces behind the development of the Nordic welfare model and the problems and dilemmas the model is facing at present. It has also traced the link between democratization and social policy, drawing attention to the role of the state and NGOs. The project has examined Nordic social policies on unemployment, social

care, family, education and health care policies, and reviewed future challenges to the welfare state in the context of an “information society”.

## Thematic Comparative Research

### ***Gender and Social Policy***

**94** This subproject, coordinated by Shahra Razavi, addresses the central questions of how social and economic rights have been historically constructed and shaped by processes of political change, economic structures and reforms, and institutional design and capacities. The commissioned papers, from their diverse regional perspectives, show that these conceptualizations and processes are deeply gendered even in contexts where formal political equality has been won. While gender is a persistent marker of difference across these regions, it intersects in a variety of ways with other axes of difference such as class, race and age. The papers illustrate the importance of thinking beyond states and markets in social provisioning, including in their analysis the interactions between these and other social institutions such as family and community. Not only do families and communities provide the primary safety net in many developing countries, but they do so in ways that tend to entrench gender inequalities in work burdens and access to entitlements.

**95** Access to social protection and services has in many contexts been directly linked to participation in the formal labour market, providing entitlements to those in full-time paid employment, typically men. The male breadwinner model is predicated on gendered assumptions of women as primary carers. The worker/carer dichotomy is, however, neither gender-neutral nor equal. The worker/carer model finds expression in different societies in ways that are shaped by different cultural conceptions of the balance of roles and responsibilities between women and men, individuals and communities, and states and markets. In some societies women have been excluded from the formal workforce and the public sphere, producing an extreme version of an unbalanced work/care model. However, even where women have been part of the workforce the nature and scope of entitlements and services has been shaped by the male norm. In some contexts women have been able to make claims on the state on the basis of their gendered responsibilities as mothers/carers. The papers explore the various ways in which “maternalist” claims have been made in different political systems and to what effects.

**96** With labour market informalization, the labour route to social rights has unravelled, with increasing numbers of women and men falling outside formal systems of social protection. This has coincided with the feminization of the work force, although ironically women’s presence in the labour market under conditions of informalization does not entitle them to social benefits. Processes of democratization have facilitated the strengthening of social movements’ and citizens’ demands for equitable access to public resources and services. The coincidence of these processes raises particular policy challenges for the state, especially in the context of fiscal conservatism, weak administrative capacity, and declining political commitments to large-scale publicly funded social programmes. This set of circumstances stands in stark contrast to the context in which European welfare states were built in response to social and political demands, and economic pressures.

**97** Preparations were made during the reporting period for a conference, to be held in May 2005 in Göteborg, Sweden, where the final versions of the papers will be presented and discussed.

98 An edited volume, *Mothers, Workers and Citizens: Gender and Social Policy in a Development Context* (Shahra Razavi and Shireen Hassim, eds.) is being prepared, and will include 14 chapters and an editors' introduction. The manuscript will be submitted to Palgrave Macmillan in mid-2005.

***Commercialization of Health Care: Global and Local Dynamics and Policy Responses***

99 This subproject, externally coordinated by Maureen Mackintosh (Open University, United Kingdom) and Meri Koivusalo (National Research and Development Centre for Welfare and Health [STAKES], Finland), covers a number of countries in Asia, Africa, Latin America, Central and Eastern Europe and the Middle East.

100 An international conference took place on 15–17 March 2004 in Helsinki, Finland, where research findings were presented to policy makers from national and international agencies. The research analyses the causes and consequences of global and local commercialization in health care, and identifies challenges for health planners and activists who aim to ensure decent health care for all. The research synthesis volume (*Commercialization of Health: Global and Local Dynamics and Policy Responses*, Maureen Mackintosh and Meri Koivusalo [eds.]), which was completed during the current reporting period and submitted to Palgrave Macmillan, examines the process of commercialization: rising international trade in health services, migration of health care personnel, local health care market liberalization and privatization, cash payment within the public sector, and the increasing involvement of multinational companies. It argues for the necessity and possibility of effective policy responses to develop good quality, inclusive health systems worldwide.

***Pro-Poor Macroeconomics and Social Policy***

101 Research under this subproject, which is externally coordinated by Giovanni Andrea Cornia (University of Florence, Italy), progressed smoothly during the current reporting period.

102 The main objective of the project is the analysis of the effects of macroeconomic shocks on poverty, and, more specifically, the effects that macroeconomic policies can have in preventing, moderating and managing shocks. During the current reporting period, eight papers were commissioned, and first drafts of most of the studies were received.

- Christian E. Weller and Radha Chaurushiya — *Portfolio Flows, Macro Policy and Global Poverty*
- Giorgia Giovannetti and Giorgio Ricchiuti — *The Effects of New Patterns of FDI on Growth and Inequality: The Case of Southern Mediterranean Countries*
- Sanjay G. Reddy — *Safety Nets for the Poor: A Missing International Dimension?*
- Jorge Saba Arbache — *Pro-Poor Macroeconomics in Brazil: A Review of Recent Policies and Their Impacts on the Poor*
- Molly Pollack and Andrés Solimano — *Pro-Poor Macroeconomics in Chile*
- C.P. Chandrasekhar and Jayati Ghosh — *Macroeconomic Policy, Inequality and Poverty Reduction in India and China*
- Wee Chong Hui and Jomo K.S. — *Macroeconomic Policy, Redistribution and Poverty Reduction in Malaysia*
- S.K. Bundoo — *Macroeconomic Policies and Poverty Impacts: The Case of Mauritius*

**103** The first three papers, along with the research coordinator's background paper and two others commissioned during the previous reporting period, concern the impact on poverty of fiscal, monetary and exchange rate policies, national and international safety nets, and various kinds of controls on capital movements.

**104** The seven country studies look at cases in which macroeconomic policy was particularly pro-poor—at least in some respects—as in the cases of Chile, Malaysia and Mauritius; or in which attention to the poor was made difficult by the existence of macro constraints as in Brazil; or, as in the two giant developing nations of China and India, cases in which poverty has fallen sharply in recent decades but policy could acquire a more pro-poor slant. The research coordinator completed an additional study, *Heterodox Macro Policy: Uzbekistan*.

**105** During the reporting period, arrangements were made for a research workshop, to be held on 24–25 February 2005 at the University of Florence, during which the first drafts of all papers will be presented and discussed by the research team. Selected local academics will also attend.

### **Democratization and Social Policy**

**106** This subproject, coordinated by Yusuf Bangura, examines the complex relations between democracy and social policy. Democracy may not only offer possibilities for citizen participation in the policy process; decision makers also periodically have to renew their mandates to citizens, who may place social policy high on their preferences. However, elections may not be an effective vehicle for propelling welfare interests onto the policy agenda or holding decision makers accountable.

**107** The project studies the institutional arrangements and dynamics that improve the responsiveness of policy makers to the welfare demands of the populace; the nature of the public pressure and its conversion into social pacts or agreements that affect the way governments think about welfare and democracy; and the extent to which democracy provides a guarantee that the rights associated with social policies receive priority attention in the policy process. The project also examines the complex ways social policies and improvements in welfare affect institutions associated with democratic consolidation. It analyses the structure and evolution of national economies and labour markets in order to understand the development of social protection and why certain policies have been emphasized over others.

**108** To gain insights into these issues, nine studies were commissioned on advanced industrial societies, Central and Eastern Europe, Latin America, Southern Europe, Botswana, India, Jamaica, Japan and Mauritius.

**109** Nine reports were received during the reporting period.

- John Stephens — *Democratization and Social Policy Development in Advanced Capitalist Societies*
- Maurizio Ferrera — *Democratization and Social Policy in Southern Europe: From Expansion to "Recalibration"*
- Terry Cox — *Democratization and Social Policy in East Central Europe*
- Toshimitsu Shinkawa — *Democratization and Social Policy Development in Japan*
- Fernando Filgueira — *The Structural and Political Keys of the Reluctant Latin American Social State and Its Interplay with Democracy: The Development, Crises and Aftermath of Universal, Dual and Exclusionary Social States*
- Neera Chandhoke — *Democracy and Well-Being in India*



- Keitseope Nthomang — *Democratization and Social Policy in Botswana*
- Sheila Bunwaree — *Democratization and Social Policy in Mauritius* (incomplete draft)
- Jennifer Jones — *Democracy and Social Policy in Jamaica* (incomplete draft)

**110** These reports are being revised based on detailed comments provided by the research coordinator. During the current reporting period, the research coordinator and his research assistant also worked on an introduction for an edited volume, which is to include abridged versions of the nine reports.

**111** Insights from the reports suggest the following. In advanced industrial societies, democratization and social policy development were deeply interrelated even if relatively distinct processes. The development of the working class movement in the form of trade unions, social democratic parties or working class wings of Catholic parties was important in many of the democratic transitions and in the development of welfare policy. Variations in working class power, as reflected in the density and spread of trade union organization, the electoral significance of parties of the Left, and the governmental role of such parties, including clerical parties with substantial working class support, accounts for variations in the size and redistributive effects of welfare policies. In agrarian democracies (France, Norway and Switzerland) that were consolidated before substantial industrialization, there was a very long delay in the enactment of the first real social welfare legislation. The research suggests that effective use of the franchise and social pacts to pursue welfare redistributive policies weakened the appeal of revolutionary alternatives among large sections of the working class in advanced industrial societies.

**112** Except in Japan and Italy, which experienced substantial industrialization in the second wave of democratization (1945–1970), the link between the organized working class, the franchise and the pursuit of substantive welfare policies became much weaker as more agrarian economies became democratic. Many of the new democracies (Botswana, India, Jamaica and Mauritius) were a product of decolonization, which privileged nation building and industrialization at the expense of redistributive welfare policies. With highly segmented labour markets and large informal sectors, social policy development focused primarily on basic services, such as health and education, food subsidies and dualistic social protection schemes—especially pensions—that provided varying levels of support to public sector workers and private sector employees. However, democracy in Costa Rica and Mauritius produced extensive social protection programmes—free education and health care, non-contributory pensions, income support and subsidies of various types—for large sections of their populations. Closely contested elections, periodic alternations of parties in government, social and political pacts, and recognition by political elites and state administrators of the value of social policy in legitimizing democracy account for these outcomes.

**113** In Japan, despite rapid industrialization, growth of labour unions and democratization in the inter-war period, the labour movement was not strong enough to change the direction of welfare policy and democracy. Social policy remained largely paternalistic and corporate. Union militancy encouraged liberal-minded bureaucrats to advocate progressive social legislation. However, the labour movement was suppressed and unions were replaced by plant-level industrial patriotic units before the outbreak of the Second World War. The occupying power, the United States, was the main driver for democratization and social policy development after the war. Political and social citizenship rights were protected in the new constitution, and a major land reform empowered smallholders. A social

democratic government based on an alliance of workers and the newly independent farmers attempted to change the direction of social policy, but it ruled for less than a year. Divisions within the ruling party, the revolutionary posture of the largest union, hard-hitting policies against radical unionists by the occupying power and employers, and withdrawal of support by farmer groups from the coalition ensured that social policy developed within a framework of occupationally structured and fragmented programmes.

**114** The third wave of democratization started in Southern Europe in the mid-1970s and engulfed Africa, Central and Eastern Europe and Latin America in the 1980s and 1990s. It coincided with the crisis of established welfare states, long-running economic crises in developing countries, the collapse of communism, and the ascendancy of neoliberal ideas in economic and social policy making. The link between enfranchisement and substantive welfare provisioning became further strained.

**115** Southern European countries experienced rapid industrial transformation and democratization. Under conditions of ideological polarization, social policy was used by mainstream parties and the European Union (EU) through provision of “social cohesion funds” to consolidate the democratic regime. Before the reforms of the 1990s, however, democracy supported clientelistic methods of welfare provisioning. The informal sector was very large; the family was seen as the dominant institution for social assistance; and the state was not sufficiently developed to regulate the benefits system. In such situations, democracy provided a basis for parties and citizens to personalize the welfare delivery system and trade welfare with votes when faced with high unemployment. Invalidity pensions and unemployment subsidies, especially in backward sectors and regions such as agriculture in the impoverished South, were the most affected.

**116** Central and Eastern Europe had a relatively developed industrial economy and an extensive welfare regime during communist rule. However, privatization and the use of market principles in social policy resulted in the loss of some social rights and a decline in well-being in many countries. The main social policy innovations were the introduction of unemployment benefits, services for job search, poverty relief and separation of social funds—for pensions and health care, for instance—from the state budget. Tripartite pacts of varying effectiveness, involving employers, employees and government, emerged in all countries to mediate the transition to democracy and the market as well as to govern the social funds.

### Background Papers on Social Policy in a Development Context

**117** Several background papers have also been commissioned under the project on *Social Policy in a Development Context* in order to explore theoretical and conceptual issues relevant across the subprojects. Two Programme Papers were published during the current reporting period: *The Developmental Welfare State in Scandinavia: Lessons to the Developing World* (Stein Kuhnle and Sven Hort), and *“Late Industrializers” and the Development of the Welfare State* (Chris Pierson). Two other papers were peer refereed and are forthcoming: *Globalization and Social Policy: Regional Responses* (Nicola Yeates) and *The Adult Worker Model Family, Gender Equality and Care: The Search for New Policy Principles and the Possibilities and Problems of a Capabilities Approach* (Jane Lewis and Susy Giullari).

**118** Four additional background papers were commissioned during this reporting period. The first has been sent for peer review, the second and third are under way, and a first draft of the fourth has been received.

- Olli Kangas — *Pensions and Pension Funds in the Making of a Nation-State and a National Economy: The Case of Finland*
- Fred Hendricks — *Pension Funds in South Africa*
- Ken Battle — *Pension Funds in Canada*
- Dele Olowu — *Decentralization and Social Policy in Developing Countries*

### Other Activities

**119** UNRISD held a public seminar, *New Approaches to Poverty: Measurements and Concepts*, on 4 November 2004 in Geneva. Poverty reduction is high on the international agenda. But while various policies and strategies have been proposed to reduce poverty, such as the Millennium Development Goals (MDGs) and the Poverty Reduction Strategy Papers (PRSPs), the concept of poverty itself is not always clearly defined in the development discourse. Methods of measurement may be vague as a consequence, and this lack of clarity can hamper poverty reduction efforts. In this seminar Stein Ringen (Oxford University) and José Figueiredo (International Labour Organization) reviewed the current debate on poverty and discussed new research on the concept and its measurement.

## Politics and Political Economy of HIV/AIDS

### *Background*

**120** Of the many social, economic and political factors that drive and determine responses to the HIV/AIDS pandemic, structures of national and international political economy are among the most significant. Various decision makers and stakeholders assess what they expect to gain or lose by speaking out and taking substantive action on HIV/AIDS issues. These political considerations and decisions have remained largely hidden in analyses of the pandemic, but many have long-term implications for controlling HIV/AIDS.

**121** To illuminate the political and economic dimensions of the HIV/AIDS epidemic, this project is carrying out cross-country comparative research that examines some of the dynamics that have shaped responses to HIV/AIDS in particular countries or societies.

**122** Delving into the issues surrounding the political economy of HIV/AIDS required participation of people with established research skills and those who have been involved on a daily basis with political, policy, advocacy, economic and human rights issues within their own countries. The methods adopted by the researchers reflect this combination of skills and experiences.

**123** This project is externally coordinated by Joseph Collins and William Rau and is funded by the Royal Minister of Foreign Affairs of Norway and UNRISD core funds.

### *Progress*

**124** The commissioned research on Brazil, India, Mozambique, Namibia, Uganda and Zimbabwe was completed during the current reporting period; all papers were submitted and revised based on the research coordinators' comments, and several were in the process of being sent out for peer review.

**125** Four of the six papers are of substantive quality; the other two have been heavily edited and will be treated as case examples, not major papers. The process has been slowed by lengthy delays as researchers added new material to their papers or were out of touch for significant periods of time. In addition, all of the papers required substantive editing and feedback from the research coordinators, and the authors were not always able to provide revisions in a timely manner. One paper required translation. All of the papers will be published by UNRISD in a single volume. The first four in the list below may also be published as Programme Papers, subject to peer review. It is expected that all will be posted on the UNRISD Web site.

**126** The six completed papers, their authors and key findings are presented briefly below.

- Joseph Tumushabe — *The Politics of HIV/AIDS in Uganda*  
 HIV/AIDS prevalence in Uganda has declined since the mid-1990s, a significant achievement due to a variety of interventions, including those by NGOs and community-based organizations (CBOs). However, the national leadership has used the acclaimed success of the country in controlling the epidemic to buffer international criticism of its military policies in the region. At the same time, the international community has hailed Uganda's success in controlling HIV/AIDS because it has sought to justify its investments and approaches against the epidemic. For example, conservatives in the United States—one of the major donors to Uganda's HIV/AIDS programme—have used the declining prevalence rate as a justification for promoting an abstinence-only agenda that fits with their national agenda.
- Carole Collins — *Mozambique's HIV/AIDS Pandemic: Grappling with Apartheid's Legacy*  
 The long and devastating war following Mozambique's independence created the conditions in which HIV/AIDS spread rapidly in the 1990s. However, international models of HIV/AIDS prevention overlooked the historical importance of the war to the disruption of society and the nation's loss of human and physical infrastructure. Without considering the impacts of the war, and focusing on rebuilding national capacity to tackle the country's HIV/AIDS epidemic, the approaches put in place were far too inadequate to stem the rapid spread of the disease.
- Elisabete Inglesi — *Implications of World Bank Financing for NGO and CBO Responses to HIV/AIDS in the South and Southeast of Brazil*  
 Brazil has been one of the largest recipients of World Bank funding for dealing with HIV/AIDS. Literally hundreds of NGOs and CBOs have emerged to take advantage of the funding. While many are technically competent within their specific areas of expertise, few have become effective advocates for addressing the social and economic implications of HIV/AIDS. The early advocacy roles of several such organizations working on HIV/AIDS, especially around issues of human rights and poverty, have had less impact as more technical responses to the epidemic have predominated.
- Sandhya Srinivasan and Mini Sukumar — *Liberalization and HIV in Kerala*  
 The effective social welfare programmes of the Indian state of Kerala are being compromised by the structural economic reforms in the country. Support for poverty alleviation, especially for women and marginal communities, has diminished. At the same time, many of the known factors that contribute to the spread of HIV/AIDS already exist in Kerala. Although HIV/AIDS prevalence was low at the beginning of the twenty-first century, conditions exist for a steady growth in the disease unless the state merges responses to the epidemic by sustaining its own public health and social support systems. The study is especially useful as a baseline against which to assess changes around the epidemic over the next five years.
- Michaela Clayton — *The Politics of HIV/AIDS Policies in Namibia*  
 Namibia has adopted several sound HIV/AIDS policies. Implementation of those policies, however, has not been very effective. The paper looks at some of the reasons why implementation has been weak. Among the reasons shown are lack of understanding among political leaders of the nature and implications of the policy on rights of people living with HIV/AIDS, absence of a broad-

based advocacy strategy to push for implementation, and internal bureaucratic processes that slow implementation.

- Susie Baird — *The Political Economy of Zimbabwe's National AIDS Trust Fund*

Zimbabwe is unique in having imposed a tax on formal sector employers and employees to help fund its HIV/AIDS programme. Part of the motivation in adopting the tax was to gain greater independence from international donors in the design of HIV/AIDS initiatives. While a potentially important source of funding for HIV/AIDS work, the fund managing the money has been subject to political manipulation. Little is known about how money has been spent, as audit reports have not been made public.

**127** The research coordinators began work on the synthetic introduction to the volume, in which they stress the importance of political factors, from local to international levels, in responding to all aspects of the HIV/AIDS epidemic. While that argument may seem obvious, within the HIV/AIDS community it is often overlooked or given only marginal consideration. As the collection of papers shows, ignorance about the political dimensions of the epidemic—and how to manage the epidemic's political aspects—is one of the reasons that it remains so devastating for families, communities and countries.

**128** The research coordinators visited UNRISD in May 2004 to discuss the progress of the project with in-house staff. One of the coordinators returned to UNRISD in August to attend the opening workshop of the related project, *Community Responses to HIV/AIDS*, at which he presented a summary of this project.

## Community Responses to HIV/AIDS

### *Background*

**129** The HIV/AIDS epidemic feeds on and worsens unacceptable situations of poverty, gender inequity, social insecurity, limited access to health care and education, war, debt and macroeconomic and social instability. It is thus not only a biomedical crisis, but a development crisis as well. The documented effects of HIV/AIDS on economic growth have undermined efforts to widen economic opportunity and inclusion. It deepens poverty and increases inequalities at every level, from household to global. It confounds efforts to deal with these problems. Numbers poorly express the losses and costs caused by AIDS. The most critical but often least recognized costs are within households, where AIDS can lead to complete collapse.

**130** This project aims to fill this gap in evidence and analysis, and thus to inform policy and programme development, particularly within the state and civil society, on equitable and effective support at the community level in the prevention of risk of HIV and in mitigating the impacts of AIDS. The global report on the HIV/AIDS epidemic produced by the Joint United Nations Programme on HIV/AIDS (UNAIDS) in 2004 highlights two features of the current HIV/AIDS situation that make these areas of study highly relevant: The first is the rising epidemic and share of the burden of AIDS in women, especially young and economically marginalized women. The second is the lack of clear planning for the burden of AIDS on orphans in highly affected regions. This work is thus positioned to understand and promote effective intervention related to the critical drivers for and inequities arising from the AIDS epidemic.

**131** This project is externally coordinated by Rene Loewenson (Training and Research Support Centre [TARSC], Zimbabwe), and is funded by the Royal Minister of Foreign Affairs of Norway and UNRISD core funds.

## *Progress*

### Project Background Document

**132** A background analysis and review of the literature, titled *Community Responses to HIV and AIDS: Strengthening Social Inclusion or Carrying Unfair Burdens?*, was completed by the research coordinator in January 2004. This explores patterns of susceptibility to HIV and vulnerability to AIDS, and raises concerns about how far responses have confronted the underlying risk environments and structural determinants of risk that increase susceptibility to HIV. It also raises questions of whether responses to the impacts of AIDS organize and build mechanisms to share the costs of AIDS, as well as solidarity and equity in resources and services for vulnerable households and families. While there is a significant and growing body of literature on community participation and responses to AIDS, there is a lack of systematic empirical evidence that would help address such equity-oriented questions.

**133** The project background document proposed two areas of focus for work under the project.

**134** The first is to explore further the responses by social groups to confronting risk environments for HIV, particularly where there is a growing HIV epidemic. The findings from the literature review suggest that HIV prevention is more likely to be effective when responses within communities

- link individuals at risk in widening networks of social groups with a shared risk perception; and
- drive interventions that go beyond behavioural or biological determinants to address micro- or macro-environmental determinants of HIV.

**135** The project is thus exploring this hypothesis, and aiming to increase our understanding of the following:

- the processes, institutions and factors that link individuals within networks of shared risk perception;
- the influence such networking has had in enhancing the voice and agency of susceptible social groups, and in shaping and driving prevention interventions that deal with risk environments;
- the role that civil society and the state have played in these processes; and
- the impact of these practices on susceptibility to HIV and on the effectiveness of prevention interventions, particularly for economically and socially marginalized groups.

**136** The second area of research is on the organization of social support for household and family responses to the impacts of AIDS, particularly where there is a growing AIDS epidemic. The review of the literature suggests that the burdens of AIDS will be more equitably and sustainably borne when responses in communities

- organize and build social networks to share the costs of AIDS, and to direct resources and services towards vulnerable households and families; and
- relieve costs of caring and consumption, and support production and market roles in vulnerable households and families.

**137** The project is thus exploring this hypothesis, and aiming to increase our understanding of the following:

- the processes, institutions and factors that integrate households and families within networks of support around the impacts of AIDS;
- the influence of such networking, in terms of resources and services reaching vulnerable households and families;
- the role that civil society and the state have played in these processes, including the resource inputs, transfers and services that have been effective in reducing consumption burdens and sustaining production, incomes and service use in households and families affected by AIDS; and
- the impact of these practices on vulnerability to AIDS, particularly for economically and socially marginalized groups.

### Call for Proposals

**138** In early 2004 the project background document was circulated with a call for research proposals. Two rounds of circulation were implemented. Approximately 25 proposals were received, and feedback was given to nine to further develop their proposals. Five proposals were shortlisted for inclusion in the project.

- Alessandra Sampaio Chacham (MUSA [Mulher e Saude] and Federal University of Minas Gerais, Brazil) — This study explores the responses of young women living in a slum area of Belo Horizonte to confronting risk environments for HIV and in the context of a rising HIV epidemic, and the role of a feminist NGO and the local primary care units of the state health service in this response.
- Mary Amuyunzu Nyamongo (African Centre for Anthropological Studies, Kenya) — This study explores, through a literature review and fieldwork, the social organization and resources that exist in urban slum communities to prevent HIV and mitigate the impacts of AIDS, especially for female-headed households and orphans.
- Ritu Priya and Christina Sathyamala (Jawaharlal Nehru University, India) — This study explores the individual, family and community responses to the risk of HIV infection and to AIDS in two communities of women from ex-untouchable castes in India and the social resources (norms, networks, institutions and services) from within and outside the community that support these responses.
- John Mary Kanyamurwa (Department of Mass Communication, Makerere University, Uganda) — This study examines community responses in a rural district of Uganda to improve incomes in households affected by AIDS, and the extent to which community, micro-credit and insurance organizations and social interventions have supported such responses. The study aims particularly to explore the gender dimensions of these issues and the impact of stigma on support of household responses.
- Geoff Foster (Ministry of Health, and Family AIDS Caring Trust [FACT], Zimbabwe) — This literature review (to be followed by a separately funded study) explores the sources and forms of support from within and outside the community used by extremely poor orphan households, the extent to which external resources support community coping mechanisms and safety nets, and the requirements for more effective provision of this support.

**139** The case studies on Brazil, India and Uganda are based on primary data collection, while those on Kenya and Zimbabwe are based on secondary data and literature review.

## Project Workshop

**140** A project workshop was held at UNRISD on 2–3 August 2004 to

- review and develop the analytical and policy framework for the work, within which the individual studies are being done;
- review the research questions and refine the scope, content and methods of the individual studies and reviews;
- identify critical gaps in the analytical and research work and discuss how these may be addressed; and
- discuss the critical steps, timelines, mechanisms for implementation and co-ordination and networking.

**141** In addition to taking input on and finalizing the analytical approaches and protocols for the five research studies, the workshop reviewed the overall project. The researchers noted the link between the individual studies and the wider analytical framework, particularly using the more focused research questions, as they offered an opportunity to

- explore and describe the dimensions of susceptibility and vulnerability in important communities, especially women, adolescent females, people living in informal settlements, low-income households and orphans;
- outline the responses to this susceptibility and vulnerability at the levels of household, community, state and NGOs, and the determinants of these responses and the relationship between them; and
- explore how the historical and current understanding and conceptualization of HIV and AIDS and organization of responses (from global to local level) has enabled or undermined effective support to household and community responses.

**142** In discussion, it was noted that this needs to be located within a critique of the changing roles of the state, NGOs and the private sector in social development and in international policy on AIDS. Concern was also expressed that the research and evidence produced link to processes that influence policy at both national and international levels through dialogue with and targeting of the reports to particular actors, with UNRISD as a convening authority, such as in the results workshop.

**143** A report on the workshop, *Community Responses to HIV/AIDS: Strengthening Social Inclusion or Carrying Unfair Burdens*, was circulated to project participants.

## Case Studies

**144** All five studies were commissioned by October 2004, and by the end of December the first drafts of the three literature reviews (Kenya, Uganda and Zimbabwe) had been submitted and feedback provided by the research coordinator. The drafts were also given to between one and three additional peer reviewers each for comment, and the comments forwarded to the authors.

**145** After some delays the Brazilian research team received authorization to access health centre files to select their sample. In-depth interviews were carried out, and the questionnaire was developed in view of pre-testing in early 2005. The research team selected and trained interviewers, and prepared a leaflet on sexual/reproductive rights to give the female interviewees. They are on course for the data collection and analysis.

**146** The India study is proceeding in one rural region in the north Indian state of Uttar Pradesh and one urban region in the south Indian state of Tamil Nadu, with insights emerging about changing forms of group identity, social cohesion and their



impact on health and mortality in adults. The comparative picture of two different areas is identified as an extremely useful feature of the study design. The tsunami in December 2004 has had some impact on the time schedule. Nevertheless, the work is progressing: data entry for the baseline survey is ongoing and the case studies are being analysed. Relevant literature has been collected for the review.

**147** In addition to the literature review (cited above), the detailed protocol and tools for the field study in Uganda were submitted in December 2004.

**148** Following the literature review (cited above) the analysis in the Kenya study of secondary data from Kenya Network of Women with AIDS (KENWA) on women and AIDS in informal settlements was scheduled to begin in early 2005.

**149** In late 2004, UNRISD and TARSC developed a funding proposal for three additional field studies and submitted it to the United Nations Foundation. If they receive funding, the new studies would be integrated into the project in early 2005, in line with the proposals and analytical frameworks already in place, allowing completion in 2005 and inclusion in the review, policy analysis and publication of the work.

**150** The first round of studies should be completed in mid-2005, and a meeting is planned for the second half of 2005 to present and review the commissioned studies and related work, and to draw out their analytical and policy implications. An edited volume is also foreseen.

## **Commercialization, Privatization and Universal Access to Water**

### *Background*

**151** This project explores different experiences of water service provision, focusing in particular on those involving active private sector participation. Given the increased pressure on governments to liberalize services, it is important to understand the real reasons why governments and the private sector have not fulfilled the goal of bringing clean water to the poor. It is also important to ascertain the roles of regulation and regulatory institutions in the water sector.

**152** The first objective of the project is to clarify the nature of the “efficiency and equity” trade-off that is apparently affecting the provision of water services in developing countries. There is a tension between increasing access by the poor and the “for profit” motive that guides private sector operations. The trade-off can manifest itself in two ways: through an increasing number of concessions that cease operations because of lack of profitability; and through the increasing difficulty on the regulators’ side to perform their role, which is to provide companies with incentives to increase efficiency and, at the same time, force them to share efficiency gains in the form of lower prices.

**153** The project’s second objective is to identify the institutional constraints to achieving universal access to water. Access to water has always reflected power relationships. Therefore, to understand the current situation of access to water by different segments of the population, one has to locate water in a broader picture of economic flows, and associated political and social power. Historically, lack of access has not been due to the scarcity of water resources but to sociopolitical

factors and institutions that constrain its delivery. The question to ask, therefore, is whether it is realistic to expect that a concession contract or other forms of private sector involvement will help solve a protracted situation of exclusion, which will require a deep understanding of the institutional framework that evolved over generations in a given country. Or, conversely, whether privatization can be used to induce further progressive changes, extending the networks to reach an increased number of poor users.

**154** The project is coordinated by Cecilia Ugaz and is supported by UNRISD core funds.

## Progress

**155** Seven of the eight case studies indicated in the previous report to the Board—those on Argentina, Bolivia, Chile, Finland, India, the Philippines and South Africa—were commissioned during the current reporting period.

- Ariel Casarín, María Delfino and José Delfino — *How Far Does It Go? The Buenos Aires Water Concession a Decade after the Reform*
- María Angélica Alegría and Eugenio Celedón — *Analysis of the Privatization Process of the Water and Sanitation Sector in Chile*
- Carmen Ledo — *Inequality and Access to Water in the Cities of Cochabamba and La Paz–El Alto*
- Pekka E. Pietilä, Tapio S. Katko, Jarmo J. Hukka and Osmo T. Seppälä — *Water Services in Finland: Flexible Organizational Arrangements and Competition for Non-Core Operations*
- Vasudha Pangare — *An Assessment of Water Sector Reforms in the Indian Context: The Case of the State of Maharashtra*
- Jude Esguerra — *Manila Water Privatization: Universal Service Coverage after the Crisis?*
- Laila Smith — *Neither Public Nor Private: Unpacking the Johannesburg Water Corporatization Model*

**156** The planned research in Senegal was dropped from the project.

**157** The cases provide a range of perspectives on different service provision schemes, from state divestiture (Chile) to concession agreements (Buenos Aires, Argentina; Cochabamba and La Paz, Bolivia; Manila, the Philippines) to corporatization (Johannesburg, South Africa) to innovative measures undertaken by municipal companies (Maharashtra, India). The case of Finland considers “softer” forms of private sector involvement. Almost every case study uses primary data from household surveys or interviews with managers of the private companies, public civil servants and representatives of consumers. The papers also provide historical analysis of the legal framework of water service provision.

**158** Draft reports were received, and some were revised during the reporting period based on detailed comments provided by the research coordinator.

**159** A project workshop was held on 28–29 June 2004 in Geneva. The researchers and research coordinator came together to present first drafts of the country studies, provide comments, discuss findings and clarify the policy implications emerging from the research.

## Project Findings and Policy Implications

**160** In general, the most important policy implications that come out of the project relate to issues of regulation. In the case of corporations, multinationals or

state divestiture (complete handover of public infrastructure to private companies), there is a need for regulation when contracts are not fulfilled, to entitle the government to require compliance with every clause of the contract and, most importantly, those regarding investment in infrastructure, network expansion and universal access to water. An important consideration is also the matter of consumer participation in both contract procedures and other processes like tariff setting.

### ***Private Sector Participation***

**161** A comprehensive analysis of the performance of a concessionaire is provided in the case study of Aguas Argentinas after 10 years of service operation in the metropolitan area of Buenos Aires. The study examines the evolution of coverage, tariffs and investment patterns compared to the targets set out in the concession contract. It assesses financial performance by exploring profitability indicators and the capital structure of the firm. The paper presents an estimation of the total factor productivity for the period 1993–2002. It also uses econometric techniques to analyse the socioeconomic and political factors that influence service expansion. This case study offers solid grounds—transcending the behaviour of one individual firm—upon which to question the concession model as applied in Buenos Aires.

**162** The Bolivian case study reveals the mixed results of concession agreements signed by authorities for water provision in the cities of Cochabamba and La Paz–El Alto. The failure to carry on with the contractual arrangement for the city of Cochabamba contrasts with the relatively smooth path followed by the concession of La Paz. In this case, main findings relate to the pattern of deep income inequality and poverty that migration processes to urban areas helped to entrench.

**163** The Philippine case study explains the diverging behaviour of two companies supplying water and sanitation in Metro Manila. It revisits some of the salient features of the concession contracts to deliver water services to Manila, including tariff adjustments and pro-poor elements. It also presents an assessment of the overall performance for the period 1997–2002, contrasts the level of efficiency of both concessions and tries to explain the failures to finance universal coverage. This case study provides the basis for a major questioning about systemic issues surrounding the concession model as applied in Manila. In particular, it addresses the often neglected link between universal access to water and the financial markets.

**164** The South African case study provides numerous insights on the corporatization model applied in Johannesburg. It shows the strengths and contradictions of allowing private participation in the delivery of public services like water supply and sanitation. Other forms of private sector involvement, notably concessions, are currently challenged. It is important to understand corporatization as this could become an increasingly common way to seek private sector involvement in the delivery of basic services. The author argues that some of the challenges in the successful operation of a corporatized model lie in the governance structure, and the paper provides solid grounds on which to base further reflection about the efficiency and equity effects of these types of “technocratic reforms” when applied to the public sector.

**165** The performance of different types of private sector involvement in the delivery of water supply services is analysed in the Indian case study. The study gives a historical account, tracing the way sanitation concerns were addressed in national five-year plans. It also assesses the status of water supply and sanitation in

rural and urban areas, and the evolution of water supply services when introducing diverse schemes of private participation in four cities in the state of Maharashtra.

**166** State divestiture is analysed in the Chilean case study. It presents the evolution of the water and sanitation system in Chile since the nineteenth century and provides relevant information on the institutions and reforms processes leading to state divestiture in the 1990s.

**167** The role of municipalities in achieving universal access is analysed with the Finnish case. It presents the institutional arrangements that frame the development of the water sector and describes the extensive experience of cooperation between private and public sectors to develop and achieve efficient and equitable systems of water supply and sanitation. Prospects for future reform of the system and the implications of the Finnish experience for developing countries are also offered. The Finnish experience of cooperation between the private and public sectors could be relevant for developing countries nowadays, since these different arrangements were started and tried at times when the country was relatively poor.

**168** Following final revisions of all papers and peer review, selected studies will be published as Programme Papers. An edited volume is also being prepared.

# PROGRAMME ON TECHNOLOGY, BUSINESS AND SOCIETY

## Introduction

**169** This programme examines the impact of rapid advances in technology, foreign direct investment and corporate management systems on sustainable human development. It also explores ways of encouraging more socially responsible use of knowledge, technology and private sector resources. There was one ongoing project in this programme area during the current reporting period: *Business Responsibility for Sustainable Development*.

**170** Although the project on *Information Technologies and Social Development* concluded in 2003, during the current reporting period the external coordinator of that work, Michael Powell, prepared a first draft of a Conference News, provisionally titled *Understanding “Informational Developments”: A Reflection on Key Research Issues*. UNRISD provided comments on the draft and, following revisions, plans to issue this publication in time for the second phase of the World Summit on the Information Society (WSIS) in November 2005 in Tunis.

## Business Responsibility for Sustainable Development

### *Background*

**171** Work under this area involves research and policy dialogue on issues of corporate social responsibility (CSR). It examines the extent to which improvements in labour standards, environmental management systems and stakeholder accountability are occurring, and the types of policies, pressures and partnerships that are promoting socially responsible changes in business practices. Particular attention has been focused on the potential and limits of “voluntary initiatives” promoted by transnational corporations (TNCs), non-governmental organizations (NGOs) and international agencies to improve business standards and minimize corporate malpractice, as well as other approaches to TNC regulation.

**172** A list of the main commissioned papers and reports was included in last year’s report to the Board. Two additional papers were initiated during the current reporting period:

- Kate Ives — *Social and Ethical Markets: A State-of-the-Art Review*
- Peter Utting — *Rearranging Regulatory Approaches: Public-Private Authority and Corporate Social Responsibility*

**173** This project is coordinated by Peter Utting and is funded by the MacArthur Foundation and UNRISD core funds.

### *Progress*

**174** During the reporting period, attention focused on (i) finalizing and updating country reports; (ii) conceptual and empirical work on TNC regulation; (iii)

background research to identify future areas of work; and (iv) outreach and advisory work.

### Country Studies

**175** The findings of UNRISD-sponsored research on CSR, corporate taxation and the mining industry in Chile, carried out by Manuel Riesco and reported to the Board last year, were presented to the Chilean Senate and fuelled a national debate on government policy, transfer pricing, tax avoidance and other fiscal practices of foreign mining companies. In response, the government put forward a bill that proposed that such companies should pay a royalty.

**176** Another side to the debate had countered that current practices were generally legitimate and above-board. This position was reflected in a paper submitted to UNRISD by Gustavo Lagos and Marcos Lima, two specialists on the mining industry in Chile, who examined the performance of BHP Billiton. In view of the polemic, and with the agreement of the author of the paper commissioned by UNRISD, it was decided to publish the two sides of the debate in the format of one Programme Paper. In addition to the original papers, the debate includes replies and rejoinders by the authors. The Programme Paper is due to be published during the first half of 2005.

**177** Following delays in the process of revising the draft report on the *Political Economy of Corporate Social and Environmental Responsibility in India*, and in view of the significant developments that have taken place in CSR in India during the past two years, UNRISD engaged Bimal Arora to revise and update the report. The revised report is expected to be completed during the first half of 2005, and it will be published as a Programme Paper.

**178** To complement previous sectoral studies on CSR in the food and beverage and mining sectors in South Africa, a third study on the chemicals industry was completed. This is being integrated into the final country report, which is due to be submitted to UNRISD during the first half of 2005.

### TNC Regulation

**179** Work was completed on an inventory of regulatory instruments governing the activities of TNCs that have direct implications for social, environmental and human rights dimensions of development. The study by Désirée Abrahams, *Regulating Corporations: A Resource Guide*, catalogues 100 such instruments, classifying them into four categories associated with different regulatory approaches and forms of regulatory authority. These include corporate self-regulation, multilateral regulation, civil regulation and multistakeholder initiatives, and national laws that have cross-border implications. The report also identifies several recent regulatory proposals that have been put forward by various organizations and campaigns. The study was posted on the UNRISD Web site.

**180** This work, along with other selected UNRISD publications on CSR, was submitted to the Office of the United Nations High Commissioner for Human Rights (OHCHR), as part of its work to assist the Commission on Human Rights, which is considering the issue of TNC regulation with regard to human rights.

**181** Work was also carried out at UNRISD to examine recent trends in the social regulation of business, where there has been an apparent hardening of “soft” or voluntary approaches to TNC regulation, and the “socialization” of private authority. These trends are reflected in the increasing role of NGOs in regulatory

activities, the proliferation and strengthening of “multistakeholder” and “co-regulatory” institutions, and the emergence of a corporate accountability movement, which places greater emphasis on corporate obligations, public policy and law, and compliance mechanisms.

**182** In addition to documenting the changing patterns of regulatory authority related to CSR, this work has also addressed a number of conceptual issues, in particular, the way in which conditions and contexts associated with structure, agency, institutions and ideas interact to explain the substance and trajectory of the CSR agenda, as well as the prospects for the ongoing ratcheting-up and scaling-up of CSR and corporate accountability. This work attempts to go beyond the polarized debate between “voluntary” versus “binding” approaches, and suggests that regulatory activism and the design of regulatory initiatives need to pay greater attention to the interface of different regulatory approaches where so-called soft and hard approaches interact in a potentially complementary and synergistic way. In addition to these forms of “articulated regulation”, it also suggests that thinking and practice about corporate regulation need to recognize the importance of regulatory pluralism, where a multiplicity of actors, institutions and forms of social pressure are needed to re-embed markets. Thus such a position questions certain strands of CSR discourse and policy making that tend to marginalize key actors, institutions and forms of resistance, including public policy and law, various types of activism and empowerment, developing country interests, and the role of local and national institutions.

**183** This work is expected to be published under the UNRISD Programme Paper series and as a chapter in a commercially published edited volume on changing patterns of global authority.

### Other Activities

**184** Consultations took place with specialists to identify possible themes and issues for future research on state-market relations and business regulation.

**185** A state-of-the-art review was initiated on the topic of “social and ethical markets”. This review aims to identify contemporary trends, and substantive and conceptual issues, associated with the emergence or expansion of “alternative” modes of economic organization structured on notions of fairness, solidarity, basic needs provisioning, cooperation and ethics. It is considering developments related to cooperatives, fair trade, ethical trade, socially responsible investment and ethical consumerism.

**186** UNRISD staff were involved in a considerable amount of outreach and advisory work, in particular writing papers for publication in journals and as book chapters, giving talks at conferences, and participating in United Nations agency meetings and consultative forums. This work is detailed on page 49.





# PROGRAMME ON CIVIL SOCIETY AND SOCIAL MOVEMENTS

## Introduction

**187** This programme area has sought to generate a more realistic understanding of social actions and dynamics in civil society. Earlier work focused on various forms of self-organization and initiatives at the grassroots level, both in rural and urban contexts, for defending or improving access to resources, income and services. It also attempted to assess the quality of service delivery by non-state actors and new challenges emerging in the triangular relations between donor institutions, national governments and civil society groups. The policy influence of social movements and activism at the international level, as well as their impact on popular mobilization and initiatives at the national and local levels, are the focus of current research under this programme area.

**188** The current reporting period saw publication of eight Programme Papers from previous work in this programme area. One book, *From Unsustainable to Inclusive Cities*, was also published. Two edited volumes accepted for publication by Palgrave Macmillan during the previous reporting period are expected in early 2005: *Civil Society and the Market Question* (K.B. Ghimire, ed.) and *Knowledge, Identity and Power: Education as an Agenda of Social Action* (Ashok Swain, ed.).

**189** Two projects were under way in this programme area during the current reporting period: *UN World Summits and Civil Society Engagement*, and *Global Civil Society Movements: Dynamics in International Campaigns and National Implementation*.

## UN World Summits and Civil Society Engagement

### *Background*

**190** The increasing engagement of civil society activism with mainstream development institutions is particularly apparent in relation to the United Nations (UN) summits and conferences on global development issues that have been taking place since the early 1990s. These forums have provided civil society organizations (CSOs) and social movements with new outlets for advocacy. The project focuses, first, on the extent to which UN summits have contributed to the creation of a favourable political space for increased civil society density and activism. Second, it examines the range and quality of civil society activities in planning, implementing and monitoring the agendas and agreed programmes of action of the world summits. Third, it looks at the stimulus created by UN summits for greater linkages among CSOs, both horizontally and vertically.

**191** This project is coordinated by K.B. Ghimire and is supported by the Ford Foundation and UNRISD core funds.

## Progress

**192** The project began in May 2003 and is scheduled for completion in April 2005. Several activities were carried out during the current reporting period.

**193** *UN World Summits and Civil Society: The State of the Art*, a paper prepared by Mario Pianta, was revised following peer review and is forthcoming as a Programme Paper. The paper outlines the main strategies emerging within global civil society—including protest, lobbying and the development of alternative policies in the context of the UN and other international summits. It raises some of the key questions—such as democracy, representation and effectiveness—that are crucial for the future of civil society.

## Review of the Literature

**194** Constanza Tabbush (research assistant) prepared a background paper based on a review of the literature. This paper suggests that much of the existing literature is mainly concerned with CSO influence in the context of particular summits, not with how civil society in general is affected by summit processes before, during and after. The literature is also chiefly concerned with the participation of non-governmental organizations (NGOs) with consultative status with the United Nations Economic and Social Council (ECOSOC), but not with civil society in its entirety. The literature primarily focuses on the role of “global” civil society, while the impacts of UN summits on national civil society have not been analysed. This paper is also forthcoming as a Programme Paper.

## Country Studies

**195** Research progressed in Brazil, Chile, China, Indonesia, Senegal and South Africa in line with the project methodology and by the research teams detailed in the previous report to the Board.

**196** The national research teams are currently analysing the collected data, survey results and other related documentary sources. Three sets of documents are being prepared:

- a book-length volume in a national language, to be published and disseminated in the country;
- a synthesis paper in English suitable for publication by UNRISD following peer review; and
- a policy brief highlighting the main research findings prepared, in the first instance, in the national language for a national policy audience. If considered relevant, UNRISD may arrange translation for international readership, or alternatively incorporate it in a synthesized policy brief.

## Thematic Studies

**197** Thematic studies have been commissioned to complement the national studies, as described previously to the Board.

**198** The first draft of the paper by Aruna Rao and Kumi Naidoo (World Alliance for Citizen Participation [CIVICUS], South Africa) has been received. The paper examines the evolving politics of global civil society legitimacy, raising and analysing key questions: Why do certain kinds of questions gain currency in certain spaces in specific periods of time? How is the legitimacy issue construed by different actors involved in global governance and decision making? The authors are currently revising the paper in view of publication as a Programme Paper.

**199** The second thematic paper, *Experiences of CSOs in Planning, Monitoring and Evaluating the Plans and Programmes of the UN World Summits*, has been prepared by Roberto Bissio (Instituto del Tercer Mundo/Social Watch, Uruguay). Building on the experiences of the 1995 World Summit for Social Development and other UN summits, the paper provides a critical assessment of how and extent to which CSOs are engaged in the implementation of the agendas and programmes of action of specific summits, including their ability to stimulate citizen engagement in public policy debate. A first draft is expected in early 2005.

**200** The third thematic paper, *Experiences of Preparatory and Follow-Up Processes of UN Summits* by Nora McKeon, was described in the previous report to the Board. It is also expected in early 2005.

**201** The fourth paper, by Teivo Teivainen, has not been submitted by the author.

### Future Activities

**202** The Ford Foundation, which has been partially funding this project, has indicated the possibility of providing additional resources to cover translation of the country studies into English. It has also indicated possible support for the dissemination of key results through an international meeting coinciding with a major civil society gathering (such as the World Social Forum—WSF). Furthermore, it has expressed interest in sponsoring a meeting in New York during the course of 2005 to present research results and policy conclusions to a select group of policy makers representing the Ford Foundation, UN and other donor agencies interested in supporting the work of civil society.

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

### *Background*

**203** Detailed information on this project's background, research questions, components and planned outputs was provided in the previous report to the Board. Research commenced in early 2004. The project is considering the strengths and weaknesses of civil society movements and networks related to debt relief, international trade rules, global taxation, anti-corruption and fair trade/solidarity economy.

**204** The project studies, first, the structure, institutional values and modus operandi of selected global civil society movements, indicating how these have helped or hindered the emergence of robust transnational movements of citizens and CSOs. For this purpose, a series of background and thematic papers have been commissioned. Based primarily on analysis of the existing literature and general observation of evolving trends, these papers also have the objective of (i) providing information on the current research initiative coordinated at UNRISD; (ii) drawing increased attention of the academic world and policy circles to the project; and (iii) indicating research gaps in the project requiring further empirical work, especially with regard to the country studies.

**205** Second, the project investigates how global civil society movements are actually faring in national and local contexts. Key questions for research are: How

are citizens and civil society groups able to articulate their concerns and propose concrete suggestions within these movements? How are civil society movements able to facilitate exchange of information, ideas, knowledge and practical experiences among national and international bodies and civil society forces, including those population groups at the grassroots level facing socioeconomic deprivation and political marginalization?

**206** The project is coordinated by K.B. Ghimire and is funded by the Swiss Agency for Development and Cooperation (SDC) and UNRISD core funds.

## Progress

### Background Papers

**207** At the beginning of 2004, a state-of-the-art paper, *The Contemporary Global Social Movements: Emergent Proposals, Connectivity and Development Implications*, was prepared by the research coordinator. The paper raises the key conceptual and methodological questions involved in contemporary global civil society movements. It provides background material for specialists potentially collaborating with the project, as well as informing a wider audience about the research. The paper was revised following peer review and is forthcoming as a Programme Paper.

**208** In order to elucidate the philosophical origins, structures, activities, outcomes, inherent tensions and dynamics of the selected transnational movements, and their attempts to popularize global issues of concern and implement specific initiatives, the following background papers were commissioned during the current reporting period:

- Katarina Sehm-Patomäki and Yovana Reyes Tagle — *Campaigns for Debt Relief*
- Rainer Falk — *The Movement to Change International Trade Rules and Barriers*
- Heikki Patomäki — *The Global Taxation Initiative*
- Nelson Querijero and Ronald Amorado — *The International Anti-Corruption Movement*
- Murat Yilmaz — *The Fair Trade Movement*

### Thematic Papers

**209** Seven thematic papers looking more closely at the key features, processes and related implications of transnational activism were also commissioned during the reporting period.

- Marco Giugni, M. Bandler and M. Eggert — *Civil Society and Transnational Movements: Forms of Contention and Emergent Common Values*
- Donatella della Porta — *The Evolving Nature of Public Support and the Social Bases of Contemporary Global Social Movements*
- Alejandro Bendaña — *North-South NGO Campaigns and Social Movements: Cooperation or Conflict?*
- Wendy Harcourt — *Women's Transnational Movements on Reproductive Rights and Health and the Environment*
- Dieter Rucht — *Evolving Trends in the Adaptation and Evolution of Transnational Movements*
- Fernand Vincent — *The Issue of Financial Sustainability in Transnational Social Movements*
- Andrej Grubacic — *The Distinctive as Well as Combined Role of Reformist-Radical Social Movements and Networks in Producing Expected Results*

## Country Studies on Local and National Dynamics

**210** In-depth country studies were commissioned during the current reporting period in Argentina, Bolivia, the Philippines, Senegal and Turkey, with the objective of examining the resourcefulness, capacity and potential for action of the selected civil society movements in national and local contexts. These countries have high levels of public debt, suffer unfavourable conditions in international trade, have experienced major financial crises, and face problems of corruption in both the public and private sectors. However, they have also been the scenes of important civil society initiatives.

**211** The national research teams are composed as follows:

- Argentina — Alejandro Grimson (Instituto de Desarrollo Económico y Social, Universidad Nacional de San Martín, Buenos Aires)
- Bolivia — Fernando Mayorga Ugarte (Centro de Estudios Superiores Universitarios, Universidad Mayor de San Simón, Cochabamba)
- Philippines — Teresa S. Encarnacion Tadem (Department of Political Science, College of Social Sciences and Philosophy, University of the Philippines-Diliman, Quezon City)
- Senegal — Ibrahima Thioub and Babacar Diop Bubba (Council for the Development of Social Science Research in Africa [CODESRIA], Dakar)
- Turkey — Nuri Zafer Yenil (Sociology Department, Gogaziçi University, Istanbul)

## Methodology Workshop

**212** A project workshop held on 25–26 November 2004 at the Instituto de Desarrollo Económico y Social, Buenos Aires, brought together the project coordinator, national research coordinators and selected international and Argentine experts. The researchers presented the outlines of their studies, and this was followed by discussion of the theoretical foundations of the project, definitions of key concepts, and relations between the national and international levels of analysis. Participants agreed on the following broad goals for the national-level research:

- to clarify the meanings of the term “social movement” in different country contexts, highlighting the key actors engaged at local and national levels, as well as their linkages with regional and international movements and networks;
- to focus on the five selected issues of debt (including internal debt), taxation (global and national), trade barriers, anti-corruption and fair trade/solidarity economy;
- to examine the forms of contention and institutionalization, including the question of why certain issues attract more popular mobilization than others;
- to analyse the impacts of social movements on local livelihoods, civil society structure, public opinion and national development debates; and
- to draw wider policy conclusions on the developmental implications of social movements, including the issue of how constructive dialogue and cooperation might be promoted between social movements and national and international institutions, the academic community, NGOs, the media and other actors.

**213** On the methodological side, the studies are using a common framework that ensures consistency while allowing for the diversity of cases. A combination of quantitative and qualitative methods was decided on, including surveys, interviews, case studies, and the extensive use of secondary and primary documentation. Workshop participants also discussed various publication and dissemination plans, including the organization of a stakeholder meeting in each of the countries that would bring together civil society actors, relevant government department(s), academics and the media to consider the research findings.



# PROGRAMME ON DEMOCRACY, GOVERNANCE AND HUMAN RIGHTS

## Introduction

**214** This programme area focuses on institutional reforms, which are at the heart of efforts by governments and multilateral agencies to promote development. Research in this area can help policy makers and the wider public to better understand the institutional constraints on development, inconsistencies between specific policy initiatives, and the social effects of institutional reforms.

**215** Two of the four Programme Papers from the past project, *Technocratic Policy Making and Democratization*, announced as forthcoming in the previous report to the Board were published. Publication of the studies on Czech Republic and Hungary was delayed by the major editorial work required. These two Programme Papers will be issued in 2005, as will those on Benin and India.

**216** There is currently one project in this programme area: *Ethnic Structure, Inequality and Governance of the Public Sector*.

## Ethnic Structure, Inequality and Governance of the Public Sector

### *Background*

**217** This project examines the complex ways ethnic cleavages and inequalities affect the constitution and management of the public sectors of multiethnic societies under democratic conditions. Researchers have analysed the structure of ethnic cleavages, including variations within each group and the extent to which the cleavages have changed over time. They have collected detailed empirical data on four public institutions: civil service, cabinet, parliament and party system; examined the rules that determine selection to these institutions; analysed whether the distribution of offices is ethnically balanced or uneven, and studied voter preferences in constituting these institutions. They have also looked at the effectiveness of institutions and policy reforms for managing diversity and inequality. The research employed a typology that classifies countries according to their levels of ethnic polarization: those in which one ethnicity is overwhelmingly dominant; those with two or three main groups; and those in which the ethnic structure is fragmented. The following 15 countries were studied: Belgium, Bosnia-Herzegovina, Botswana, Fiji, Ghana, India, Kenya, Latvia, Lithuania, Malaysia, Nigeria, Papua New Guinea, Switzerland, Tanzania, and Trinidad and Tobago. The case study on Spain was dropped from the project. The research findings of the 15 studies were presented in the previous report to the Board.

**218** This project is coordinated by Yusuf Bangura. Funding is provided by the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) and the Ford Foundation, in addition to UNRISD core funds.

## Progress

### Research synthesis

**219** During the current reporting period, the research coordinator systematized the data on public sector inequalities contained in the reports and wrote a synthesis, *Ethnicity, Inequality and the Public Sector: A Comparative Study*, based largely on the findings of the reports. Tom Popper has extensively reviewed this paper, especially as it relates to the experiences of the East European countries, in a forthcoming edition of *Local Governance Brief: Policy Journal of the Local Government and Public Service Reform Initiative* produced by the Open Society Institute in Budapest, Hungary.

**220** The synthesis paper highlights four main issues. First, it challenges a popular view that links ethnic diversity to pathological outcomes such as violent conflicts, undemocratic government, less growth and poor welfare development. Although some recent quantitative studies do not find a strong correlation between ethnic diversity and conflict or ethnic diversity and lack of democracy, the UNRISD research suggests that the relevant issue is not the existence of diversity per se, but types of diversity, which can constrain or facilitate particular outcomes. Ethnic cleavages are configured differently in different social structures and are less conflictual in some countries than in others. The difficult cases are countries with bipolar and tripolar ethnic structures or cases where groups have formed selective ethnic coalitions, limiting the scope for bargaining and the promotion of multiple loyalties. Countries with these types of ethnic structures that are relatively stable have introduced ethnicity-sensitive institutions and policies to influence the composition of the public sector.

**221** Second, contrary to liberal assumptions that privilege individual choices and capabilities in constituting public institutions, the paper shows that it is difficult to achieve ethnic proportionality or inclusiveness in the public sector if policies are not oriented in this direction. Multiethnic societies that adopt ethnicity-blind policies tend to have highly unequal public sectors because of the unequal starting points of groups. This may be a product of history, market dynamics, resource endowments or past discriminatory public policies. Data on the composition of the civil service, cabinet and parliament suggest that relative balance has been achieved in countries that are highly fragmented (Papua New Guinea and Tanzania) or those with ethnicity-sensitive policies that are oriented toward proportionality (Belgium, Bosnia-Herzegovina, Botswana and Switzerland). In Papua New Guinea and Tanzania, it is very rare for an ethnic group to have more than one member in the cabinet or top layer of the civil administration. Ghana, India, Malaysia and Nigeria have achieved some proportionality in some institutions because of ethnicity-sensitive policies. The remaining cases display varying levels of inequality and weak or non-existent policies on proportionality.

**222** Third, the paper challenges the recent focus on institutional engineering that underplays background conditions in shaping the choices of political actors. Politicians and citizens face different types of constraints in constituting the public sector. However well crafted they may be, institutions may have different levels of significance in different social settings. In this regard, the paper questions two frameworks that have been held up as solutions to the governance problems of ethnically divided societies. These are majoritarian institutions that reward moderation in party behaviour and vote pooling while also encouraging adversarial politics; and consensus-based or power-sharing arrangements that seek to accommodate the ethnic segments. The UNRISD research suggests that although the pulls of majoritarian rule and power sharing are very strong, they do not always



pull in opposite directions. Formal consociational arrangements may not be relevant in unipolar ethnic settings or fragmented multiethnic societies, where governments are bound to be ethnically inclusive under democratic conditions. They seem unavoidable in bipolar and tripolar formations or in multipolar settings with strong ethnic or regional clusters. Consociational arrangements have been practised largely in bipolar and tripolar settings: Belgium, Bosnia-Herzegovina, Malaysia and Switzerland.

**223** Fourth, contrary to conventional ideas on ethnicity, fragmentation stands out as a powerful factor in inter-group cooperation. An important policy implication is the need to weaken or manage polarity. Policy makers cannot turn all ethnically plural countries into homogenous societies, short of creating 8,000 or more mini states. Even such a policy of ethnic state creation may not be viable in a world of increasing migration and inter-marriage. The paper argues that the best option for inter-group cooperation in divided societies may be to promote more fragmentation. Electoral rules and other incentives, including support for multiethnic associations, can be used to open up cleavages in groups that appear homogenous. The importance this study attaches to fragmentation comes close to respecting a major finding in political science that democracies are more likely to be stable in situations where resources, power and allegiances are widely dispersed.

### International Conference

**224** The 15 research reports were discussed in an international conference organized by UNRISD, the United Nations Development Programme (UNDP) in Latvia and the Latvian Ministry for Social Integration and held in Riga, Latvia on 25–27 March 2004. The conference attracted about 80 participants from international organizations, governments, the diplomatic community in Latvia, the media, non-governmental organizations (NGOs) and academic institutions. In their opening statements, the Latvian Minister of Foreign Affairs (whose statement was read by the UNDP Resident Representative, Gabriele Köhler) and the Minister for Integration, Nils Muizniks, stressed the importance of the conference for the sharing of experiences on social integration, especially in light of Latvia's efforts at nation building and adoption of the European Union (EU) laws on anti-discrimination and equality. In her own statement as the UNDP Resident Representative, Gabriele Köhler underlined the value of comparing a large number of countries to shed new light on ethnicity, integration, participation and representation in public institutions; and hoped the conference would not only improve policy makers' understanding of these issues, but that it would provide an opportunity to develop an international network on ethnicity and governance rooted in Latvia but reaching out to different parts of the world. The Director of UNRISD stressed the importance of understanding ethnic inequalities when dealing with public sector reforms, which have tended to focus on managerial and fiscal issues. The research coordinator summarized the main findings of the research.

**225** There were nine substantive sessions, with the first seven focusing on UNRISD's research reports presented by their respective authors. The eighth and ninth sessions were lectures delivered by Frances Stewart (Oxford University) on "Ethnic Inequality and Development" and by Nils Muizniks on "Ethnicity, Inequality and Governance in Latvia in the Central and Eastern European Context". Gabriele Köhler, Nils Muizniks, Artis Pabriks (then Parliamentary Secretary for Foreign Affairs), the UNRISD Director and the UNRISD research coordinator gave a press conference in which they highlighted the main findings of the research and the significance of the conference for interethnic relations in Latvia and beyond. The lessons of the research for Latvia were also discussed in a special

dinner organized by the Minister for Integration involving the participation of some members of the UNRISD research team and a cross-section of Latvian policy makers.

**226** Latvian media gave attention to the conference, and *The Baltic Times* published an article by the research coordinator titled “Ethnic structure, inequality and public sector governance”, which is a brief overview of the research findings with a special focus on Bosnia, Latvia and Lithuania.

**227** A report on the conference is forthcoming as an issue of UNRISD Conference News.

## Publications

**228** A contract was signed with Palgrave Macmillan to publish some of the reports in a new series, which will include 11 books. This series should be the first major comparative work on ethnic inequalities and the public sector. There will be nine country books, one edited volume and one overview book. Each of the country reports has been reviewed by at least two external peer referees.

**229** The nine country books are:

- Florian Bieber — *Post-War Bosnia: Ethnicity, Inequality and Public Sector Governance*
- Niraja Gopal Jayal — *Representing India: Ethnic Diversity and the Governance of Public Institutions*
- Jon Fraenkel — *Ethnic Structure—Public Sector Inequality and Electoral Engineering in Fiji*
- Onalenna Selolwane — *Ethnicity, Inequality and Public Sector Governance in Botswana*
- Karuti Kanyinga — *Ethnicity, Inequality and Public Sector Governance in Kenya*
- Nataljia Kasatkina and Vida Beresnevičiute — *Ethnicity, Inequality and Public Sector Governance in Lithuania*
- Abdul Raufu Mustapha — *Ethnicity, Inequality and Public Sector Governance in Nigeria*
- Ralph Premdas — *Ethnic Conflict, Inequality and Public Sector Governance in Trinidad and Tobago*
- Artis Pabriks — *In Defiance of Fate: Ethnicity, Inequality and Public Sector Governance in Latvia*

**230** The manuscripts on Bosnia and India have already been revised and submitted to Palgrave Macmillan. The other reports are being revised and upgraded into full book manuscripts.

**231** The edited book is titled *Ethnicity, Inequality and Public Sector Governance* (Yusuf Bangura, ed.). It contains abridged versions of the 15 reports and a substantial introduction. Considerable time was spent coordinating the revision of the chapters and, in some cases, substantially editing them. The edited volume and the Bosnia and India books will be the first publications in the series.

**232** The research coordinator will also write the overview volume, titled *Ethnicity, Inequality and the Public Sector*. It will draw on the 15 country studies and other published works in the field. Five chapters will discuss ethnicity, group dynamics and inequality in the public sectors of five different sets of countries. Another four chapters will focus on institutional and policy reforms, which will

include issues related to proportionality and redistribution; majoritarian rule and power sharing; federalism and decentralization; and minority rights.

**233** The reports on Malaysia, Nigeria and Switzerland have been revised following peer review and are forthcoming as Programme Papers. A few other country reports are also likely to be published as Programme Papers.



## ADVISORY WORK

**234** UNRISD staff members are frequently called upon to act in a range of advisory roles for United Nations (UN) agencies, multilateral and bilateral organizations, governments, non-governmental organizations (NGOs), research institutes and universities. This provides UNRISD with opportunities to make substantive contributions to the thinking and programmes of other institutions and groups, while staff members benefit from the exchange of ideas and are also able to network, identify potential researchers and explore funding opportunities. In 2004, UNRISD staff carried out advisory and consultancy activities on over 30 occasions. Researchers also write and submit articles for scholarly journals; such work carried out during the current reporting period is also listed in this section.

### **María Victoria Avilés Blanco**

- Carried out field work for the Global Fund to Fight AIDS, Tuberculosis and Malaria, and the National Malaria Programme in Honduras, for the project *Caracterización Ecosistémica de la Malaria en Honduras*, 7–29 August 2004; and submitted the related report, *Los Determinantes Socioeconómicos de la Malaria en Honduras: Hacia una Agenda de Investigación*, to the Global Fund.

### **Yusuf Bangura**

- Chaired a session on conflict and recovery at the UNU-WIDER conference on Making Peace Work, Helsinki, Finland, 4–5 June 2004.
- Acted as a member of the Board of Experts for the Office of the United Nations High Commissioner for Human Rights (OHCHR) in the selection of papers on Good Governance Practices for the Promotion of Human Rights, for an international conference on the subject in the Republic of Korea, 14 April 2004.
- Reviewed papers for publication in *Development and Change* and *Journal of Human Development*.
- Editorial Board member, *Refugee Survey Quarterly*, the journal of the Office of the United Nations High Commissioner for Refugees (UNHCR).
- Acted as external advisor for *The State of the World's Refugees 2005*, forthcoming from the UNHCR.

### **K.B. Ghimire**

- Gave a seminar on Rural Youth, Future of Agriculture and Social Mobilization at the Institute of Social Studies (ISS), The Hague, Netherlands, 21 June 2004.
- Gave a presentation on UN World Summits and Civil Society Engagement at the Faculty of Economic and Social Sciences, University of Geneva, 12 May 2004.
- Gave a presentation on Civil Society Movements and the Market Question at the Faculty of Economics, University of Urbino, Italy, 27 April 2004.
- Acted as external examiner for a doctoral thesis at the Charles Stuart University, Australia, March 2004.
- Acted as resource person for the United Nations Conference on Trade and Development (UNCTAD), for a project on foreign investment in tourism.

### **Huck-ju Kwon**

- Gave a seminar on Transforming the Developmental Welfare State in East Asia at the Institute of Applied Social Science, University of Birmingham, United Kingdom, 7 December 2004.
- Gave a seminar on Social Policy in a Development Context at the Graduate Institute of Development Studies (IUED), Geneva, 11 November 2004.

### Thandika Mkandawire

- As member, took part in the second Global Scientific Committee meeting of the United Nations Educational, Scientific and Cultural Organization (UNESCO) Forum, São Paulo, Brazil, 23–24 July 2004, and Paris, 1–3 December 2004.
- Presented a paper on *Africa in the 21st Century: Integration and Renaissance* at the first Conference of Intellectuals from Africa and the Diaspora, organized by the African Union, Dakar, Senegal, 6–9 October 2004.
- As member, took part in the Centre for Research on Inequality, Human Security and Ethnicity–Centre Advisory Review Group (CRISE–CARG) meeting at Queen Elizabeth House, and took part in a panel on What Is Happening to Human Development in the Current Environment?, at the United Nations Development Programme (UNDP) Development Course 2004, Oxford, United Kingdom, 23–24 September 2004.
- Was keynote speaker at the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) 2004 Annual Conference, with a paper titled *Good Governance: The Itinerary of an Idea*, Eschborn, Germany, 16 June 2004.
- Presented a paper on *The Spread of Economic Doctrines in Post-Colonial Africa* at the second International Conference on the Ethiopian Economy organized by the Ethiopian Economy Society, Addis Ababa, Ethiopia, 1–4 June 2004.

### Shahra Razavi

- Acted as external referee for *Taking Action: Achieving Gender Equality and Empowering Women*, the final report of the UN Millennium Project Task Force on Education and Gender Equality, November 2004.
- Participated in the Expert Group on Development Issues (EGDI) Study Group Inception Workshop, Global Perspectives on Nordic Approaches to Gender Equality, Ministry of Foreign Affairs, Stockholm, Sweden, 4–5 February 2004; and presented a paper at the EGDI Authors Writeshop, *Global Perspectives on Nordic Approaches to Gender Equality*, 21–22 October 2004.
- Presented a paper on *Gender and the Silences of Contemporary Social Policy Debates* at the International Development Economics Associates (IDEAs), the Economic Commission for Latin America and the Caribbean (ECLAC), the Facultad Latinoamericana de Ciencias Sociales (FLACSO) and the Universidad Nacional Autónoma de México (UNAM) workshop on Constraints to Development and Strategic Alternatives in the Current Conjuncture, Mexico City, 7–8 October 2004.
- Co-chaired and coordinated with the United Nations Economic Commission for Europe (UNECE) the Inter-Agency Network on Women and Gender Equality (IANWGE) meetings, Geneva, July and September 2004.
- Acted as external referee for a project proposal submitted to the Swedish International Development Cooperation Agency (Sida), August 2004.
- Made a panel presentation on Women's Access to Assets as Part of the Strategy to Reduce Poverty, at the Social Forum on Poverty, Rural Poverty and Human Rights, organized by the OHCHR during the United Nations Sub-Commission on Promotion and Protection of Human Rights, Geneva, 22–23 July 2004.
- Delivered a public lecture on Gender Justice, Development and Rights: Some of the Challenges of the Present Era at the Centre for Development Research, University of Bonn, Germany, 16 February 2004.
- Reviewed papers for publication in the journal *Global Social Policy*.

### Cecilia Ugaz

- Chaired one of the sessions of a training seminar for Europe-based Peruvian diplomats on the promotion of investments, organized by UNCTAD and the Ministry of External Affairs of Peru, United Nations Office at Geneva, 28–30 September 2004.

**Peter Utting**

- Presented the paper *Rearticulating Regulatory Approaches: Public-Private Authority and Corporate Responsibility* at the conference on Changing Patterns of Authority in the Global Political Economy, University of Tübingen, Germany, 14–16 October 2004.
- Reviewed a book chapter on global public-private partnerships for the UNDP, September.
- Wrote “Corporate responsibility and the movement of business” for a forthcoming issue of the journal *Development in Practice*, September.
- Presented the paper *Learning from Networks* at the planning workshop to establish Globethicsnet, Bossey, Switzerland, 25 August 2004.
- Wrote the entry on corporate social responsibility (CSR) for a forthcoming encyclopaedia on globalization, August.
- Presented the paper *Engaging Small and Medium-Sized Enterprises in Corporate Social Responsibility: Towards a Fair Agenda* at the UNECE Expert Meeting on Good Governance for SMEs, Geneva, 1–2 April 2004.
- As member, participated in the UNCTAD Consultative Group on CSR reporting, which met in Geneva on 5 March 2004 to discuss harmonization in CSR reporting practices.
- Made a panel presentation on CSR and transnational corporation (TNC) regulation at The Public Eye on Davos, 21 January 2004.
- Acted as external examiner of a doctoral candidate, Judge Institute of Management, Cambridge, United Kingdom.
- Acted as external referee for two project proposals submitted to Sida, Sweden, August.
- Carried out advisory consultations with the Swedish Ministry for Foreign Affairs and UNCTAD.





# OUTREACH: PUBLICATIONS AND DISSEMINATION

## Introduction

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

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

**237** During this reporting period UNRISD launched a new series, Research and Policy Briefs, which aims to improve the quality of development dialogue. Research and Policy Briefs situate the Institute's research within wider social development debates, synthesize its findings and draw out issues for consideration in decision-making processes. They provide this information in a concise format that should be of use to policy makers, scholars, activists, journalists and others.

**238** A steady stream of manuscripts flowed to the Publications and Dissemination Unit for processing (including peer review, editing, layout and printing for in-house publications, and contractual negotiations for co-publications). In 2004, over three publications were issued each month on average. Five books were co-published and one was published in-house, as were 25 Programme Papers, two reports, three Research and Policy Briefs, two issues of Conference News and one issue of *UNRISD News*.

**239** Publications staff continued to use freelance editors and designers intensively in order to process the ever-increasing quantity of manuscripts being passed on for publication. External expertise was also used during this reporting period for translation, and for the design, illustration and layout of *Gender Equality: Striving for Justice in an Unequal World*. While the volume of work to be published means that the recourse to freelancers is a necessity, considerable time is spent by in-house staff on the testing and training of freelancers, drawing up detailed contractual terms of reference, and working in close collaboration with the freelancers to ensure that their work is of high quality.

**240** During the reporting period, two new members joined the staff of the Publications and Dissemination Unit. In February, an associate information officer was appointed to manage the UNRISD Web site (half-time) and to oversee the production and the dissemination of *Gender Equality: Striving for Justice in an Unequal World* (half-time). In December, an event organizer was recruited to prepare the series of international dissemination events for the report in 2005–2006.

## Web Site

### *Content Development and Visibility*

**241** During the reporting period, the structure and location of information in the About UNRISD and FAQs sections of the Web site were rethought, with a view to ensuring better accessibility of the information to online readers. Improved visibility of the UNRISD Web site was also achieved through more systematic advertising in print editions of the Institute's publications.

### *Statistics*

**242** In March 2004, UNRISD began using Web analytics software called WebAbacus to monitor Internet traffic to its Web site, and statistics showed an average of 16,196 unique visitors to the site each month.<sup>1</sup> During the reporting period, the number of PDF versions of the Institute's publications downloaded directly from the site increased greatly, from 39,358 in 2003 to 66,718 in 2004; and there were 3,903 requests to receive PDF versions via an automated email mechanism.

**243** Since March 2004, UNRISD has also been monitoring the Web site's Email Alerts service more closely. On average, 10 Email Alerts were released each month (all types of alerts included). In July 2004, an automated clean-up system was developed to delete invalid addresses from the list of subscribers. At the end of the reporting period, 4,722 subscribers were registered for the UNRISD Email Alerts service, of which 642 (13.6 per cent) were subscribed to receive daily alerts, 810 (17.15 per cent) to receive weekly alerts, and 3,270 (69.25 per cent) to receive monthly alerts.

### *Technical Developments*

**244** In autumn 2004, as required by the United Nations Information and Communication Technology Service (ICTS), UNRISD made preparations for the upgrade of the software used to publish information online. A group of "test" users was set up and proceeded in the testing of the upgraded version of the software. Installation of the upgraded version of the software was scheduled for January 2005.

## Dissemination

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

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<sup>1</sup> Web statistics are often distorted by what is known as "spider" traffic, that is, traffic generated automatically by Internet search engines such as Google, MSN, Yahoo and so on. With WebAbacus, it is possible for UNRISD to eliminate a large proportion of the traffic generated by these spiders and obtain a fairly accurate estimation of the actual ("human") traffic to the site. The apparent decrease in the number of unique visitors during the current reporting period in comparison with the previous one is due to improved filtering of spider traffic. The number of visitors reported on average for 2004, while lower than the 2003 figure, is probably more representative of real usage of the site.

offices and information centres in the United Nations (UN) system. The UNRISD mailing list database included 12,006 addresses at the end of this reporting period.<sup>2</sup>

### *Targeted Dissemination*

**246** Dissemination staff use a number of targeted mailing lists, including subject-specific ones (corporate social responsibility [CSR], gender, information technologies, social policy) and audience-specific ones. The latter include Media Hound and Owl Track, which allow focused dissemination efforts and encourage interactivity between the Institute, the media and academic institutions, respectively. These two contacts databases are used to register what publications are sent to whom and when, and to track the use of these publications by the recipients.

**247** In 2004, a total of 1,362 press releases were sent out to 342 journals in English, 104 journals in French, and 89 journals in Spanish. At the end of 2004, the Media Hound database comprised 812 contacts, 500 of which regularly receive mailings from the Institute. Press releases and UNRISD publications were also sent to diplomatic missions, high-ranking, field and other officials within the UN and other intergovernmental organizations, parliaments, academic institutions, NGOs and civil society groups.

**248** Dissemination staff also use the Media Hound database to register mentions in the media of UNRISD and its publications (including articles, abstracts, bibliographic citations and book reviews). During the reporting period, 113 media citations were tracked through press clippings returned to UNRISD and through Internet searches. It is unlikely that this figure adequately reflects the real extent of citations of UNRISD work, for it is not possible to collect comprehensive data using such monitoring methods alone. Nonetheless, even the limited feedback received does provide valuable information for future strategizing and is useful in building meaningful and accurate contact information.

**249** There are 4,712 academic and university contacts in the UNRISD mailing list database. The Owl Track database, with 180 contacts, tracks permission requests received by UNRISD regarding the use of the Institute's publications.<sup>3</sup> UNRISD dissemination staff urge universities that have included UNRISD publications in their courses without having contacted the Institute for permission to provide this information in order to enhance feedback and maintain up-to-date statistics. Dissemination staff also conduct Internet searches to gather more

<sup>2</sup> Including (on 31 December 2004): 2,637 non-governmental organizations (NGOs); 167 foundations; 1,222 public libraries; 120 diplomatic missions; 596 governmental and parliamentary representatives; 2,060 academic and research institutions; 2,652 universities; 136 United Nations Development Programme (UNDP) Resident Representatives; 60 UN Information Centres, and 2,356 miscellaneous smaller categories, including civil society, students and the private sector.

<sup>3</sup> Permissions were granted to the following in 2004 for the use of UNRISD publications in course packs, CD-Roms and other educational supports: University of South Australia • University of Technology, Australia • Methodist University of São Paulo, Brazil • Institute of Chartered Financial Analysts, India • American University of Beirut, Lebanon • Institute of Social Studies, the Netherlands • University of Oslo, Norway • De La Salle University, the Philippines • University Complutense of Madrid, Spain • University of Pretoria, South Africa • Graduate Institute of Development Studies, Switzerland • University of Geneva, Switzerland • University of Lausanne, Switzerland • National Institute for Strategic Studies, Ukraine • University of Kyiv-Mohyla, Ukraine • Bath University, United Kingdom • Development Studies Institute, United Kingdom • Open University, United Kingdom • Oxford University, United Kingdom • School of Oriental and African Studies, United Kingdom • University of Sussex, United Kingdom • Duke University, United States • George Washington University, United States • Tufts University, United States • Princeton University, United States • University of California at San Francisco, United States • University of Missouri-Columbia, United States • University of South Florida, United States • World Association for Christian Communication-Latin America.

information on the use of UNRISD materials in addition to that received in the form of permission requests from universities and other academic institutions.

**250** The Institute's fortieth anniversary report, *Research for Social Change*, was widely disseminated to national parliaments, the European Parliament, the Parliamentary Assembly of the Council of Europe, and other European Union (EU) institutions.

### ***Research and Policy Briefs***

**251** The new series of Research and Policy Briefs launched by UNRISD during the current reporting period offered an opportunity to further expand outreach to policy-making bodies. In relation with the launch of this new series, the coverage on the UNRISD mailing list of policy makers in parliaments around the world was expanded to 242 recipients.

**252** In the autumn of the reporting period, a survey, both in electronic and printed formats, was carried out to obtain feedback on the quality of this new series of publications. While a formal evaluation of the survey results is to be finalized, it appears that the new series has been well received both in terms of the quality of the research and of the presentation.

### ***CD-Rom***

**253** During the reporting period, technical specifications were completed for the production of a CD-Rom containing the Institute's publications. In autumn 2004, in accordance with UN procedures, potential suppliers were invited to submit proposals for the conceptualization and implementation of the CD-Rom.

**254** The UNRISD CD-Rom will contain the Institute's recent publications, as currently available on the Web site. The CD-Rom is intended to complement the Web site and printed publications, and reinforce the dissemination efforts of the Institute in a cost-effective way, specifically in regions where accessibility to the Internet is limited.

### ***Gender Equality: Striving for Justice in an Unequal World***

**255** An associate information officer was hired in February and began putting production plans into place for this major UNRISD report. In accordance with UN procedures, UNRISD identified a design company for the creation of a visual identity for the project. By autumn, a logo had been designed to be used on all publications resulting from this UNRISD project, and the first set of outputs was in production.

**256** A comprehensive dissemination strategy was developed for this UNRISD report during the current reporting period. In December, an event organizer was recruited to prepare, in collaboration with the project's associate information officer, the series of international dissemination events planned for 2005–2006.

**257** Information about the UNRISD report was sent to 78 editors of journals specialized in gender issues. By the end of the reporting period, 28 of them had responded positively by requesting a review copy of the report. In June 2004 at the UN Editors Group meeting, the Institute's editor briefed the attendees about the UNRISD report. A flyer advertising the report was prepared and disseminated in 14 targeted events during the second half of the reporting period. Finally, an article about the report was published in *UNRISD News* No. 26 (Spring/Summer 2004).

**258** During the reporting period, UNRISD discussed the possibility of co-organizing international events with several research institutions: the University of Pennsylvania (United States), the African Gender Institute (University of Cape Town, South Africa), the International Development Research Centre (IDRC, Canada), the Middle East Technical University (Turkey), and the University of Buenos Aires (Argentina). By the end of the reporting period, UNRISD had begun organizing the launch of the report to coincide with the 49th Session of the Commission on the Status of Women in New York. Two events were in the planning stages: a full-day public event at the Ford Foundation on 7 March, and an official side event at UN headquarters on 8 March.

### *Dissemination to International Conferences*

**259** As a result of tracking related events worldwide, UNRISD publications were made available at a range of important events organized by the UN and other organizations, including universities and NGOs. During the reporting period, 9,320 publications were disseminated to 25 international conferences and 10 seminars in 15 countries around the world.<sup>4</sup> These figures show a pattern of dissemination comparable to that of 2003.

<sup>4</sup> Countries covered were Argentina, Brazil, Ethiopia, Finland, France, Germany, India, Italy, Latvia, Nigeria, Norway, Switzerland, Thailand, the United Kingdom and the United States.

Venues included [total copies disseminated shown in brackets]: World Social Forum, 15–21 January 2004, Mumbai, India [884] • Femmes en mouvement (colloquium), Graduate Institute of Development Studies, 22–23 January 2004, Geneva [135] • Globalization of the Welfare State? World Society, Transnational Social Policy and New Welfare States (seminar), Hanse Institute for Advanced Study, 5–8 February 2004, Delmenhorst, Germany [104] • Corporate Responsibility in Practice (conference), Royal Institute of International Affairs and FTSE, 1–2 March 2004, London, [27] • Social Policy in a Development Context (UNRISD Health Component conference), 15–17 March 2004, Helsinki, Finland [200] • Ethnic Inequality and Public Sector Governance (UNRISD conference), 25–27 March 2004, Riga, Latvia [390] • United Nations Commission on Human Rights, 22 March–19 April 2004, Palais des Nations, Geneva [2,292] • Working of the UN System and Global Challenges (seminar), 28 April 2004, University of Urbino, Italy [107 documents and 100 flyers] • Varieties of Globalization: Global Ideas Matter, Local Power Decides? (seminar), Stein Rokkan Centre, University of Bergen, 6–8 May 2004, Bergen, Norway [84] • Making Peace Work (UNU-WIDER conference), 4–5 June 2004, Helsinki, Finland [145] • University of Geneva, Department of Economics (seminar), 12 May 2004, Geneva [160] • WIDE Annual Conference 2004, Bonn, Germany, 20–22 May 2004 [120 publication flyers] • WHO Annual Conference, 17–22 May 2004, Palais des Nations, Geneva [185] • United Nations Editors 40<sup>th</sup> Anniversary Conference, 10–11 June 2004, OECD, Paris [89] • UNAIDS International Conference on HIV/AIDS, July 2004, Bangkok, Thailand [80] • Cyberpower and Net-Governance (roundtable), Club suisse de la presse and Internet Society, 16 June 2004, Geneva [82] • 92<sup>nd</sup> Session of the International Labour Conference, 1–17 June 2004, Palais des Nations, Geneva [1,036] • Global Compact Counter-Summit: Exploring Real Corporate Accountability in the UN System, EarthRights International, Global Policy Forum, etc., 23 June 2004, United Nations Plaza, New York [50] • UN Global Compact Leaders Summit, 24 June 2004, United Nations Headquarters, New York [100] • Coalition on Corporate Accountability, Friends of the Earth, 13 July 2004, London [220] • IAMCR 2004: Communication and Democracy, International Association for Media and Communication Research, 25–30 July 2004, Porto Alegre, Brazil [460] • ACUNS Seventeenth Annual Meeting, 30 June–2 July 2004, Geneva [690] • 2004 Social Forum: Poverty, Rural Poverty and Human Rights, UN Sub-Commission on the Promotion and Protection of Human Rights, 22–23 July 2004, Palais des Nations, Geneva [90] • The Meaning of Globalization (conference), Globalization Studies Network, 18–21 August 2004, University of Warwick, United Kingdom [33] • UN Sub-Commission on the Promotion and Protection of Human Rights, 56<sup>th</sup> Session, 26 July–13 August 2004, Palais des Nations, Geneva [615] • UNRISD Research Activities (seminar for visiting students), UNOG Information Service, 6 September 2004, Palais des Nations, Geneva [38] • The HIV/AIDS Pandemic in Africa and African Academy of Sciences 6<sup>th</sup> General Assembly, 21–25 September 2004, Abuja, Nigeria [162] • Fourth African Development Forum: Governance for a Progressing Africa, UNECA, 11–15 October 2004, Addis Ababa, Ethiopia [110] • Changing Patterns of Authority in the Global Political Economy, International Centre for Academic Cooperation, Institute of Political Science, University of Tübingen, 14–16 October 2004, Germany [122] • Consultation on Business and Human Rights, UNCTAD, 22 October 2004, Palais des Nations, Geneva [160] • Social Policy in a Development Context (UNRISD seminar), University of Lausanne, Switzerland, 11 November 2004 [35] • UNOG/UNU Fifth Geneva Research and Policy Dialogue, 26–27 October 2004, Palais des Nations, Geneva [85] • New Approaches to Poverty: Concepts and Measurements (UNRISD seminar), 4 November 2004, Palais des Nations, Geneva [97] • Social Policy (UNRISD presentation), School of Social Sciences, University of Birmingham, 7 December 2004, United Kingdom [75] • Global Civil

**260** In the case of the World Social Forum (WSF) held in Mumbai in January 2004, 884 copies of the Institute's publications were disseminated among civil society representatives and activists, international and local NGOs, and journalists. It is worth noting that UNRISD was the only UN body to be represented at the WSF with a stand, and that a number of high-ranking UN officials had chosen to attend.

**261** At the annual session of the Commission on Human Rights in Geneva in March–April 2004, 2,292 copies of UNRISD publications were disseminated to governmental delegations, UN and specialized agency representatives, NGOs and human rights activists, and the media. Likewise, at the International Labour Conference in June 2004, 1,036 copies of relevant UNRISD publications were disseminated.

## Publishing in Partnership

**262** Co-publishing arrangements with commercial and academic publishing houses allow the Institute to benefit from the expertise and distribution networks of experienced and internationally renowned companies. This enhances visibility, as publications appear not only in UNRISD's own promotional materials and on its Web site, but also those of the partner co-publishing institutions, with their own distribution networks and retail agents that complement the Institute's efforts.

**263** During the report period, UNRISD signed memorandums of agreement with Palgrave Macmillan concerning the copublication of a series of 10 edited volumes on *Social Policy and Development*, and a series of 11 volumes on *Ethnicity, Inequality and Public Sector Governance*. The first two books of the series on *Social Policy and Development* were released in December 2004.

## Co-Publications

**264** Five co-publications came out in 2004.

- *Au coeur des crises nationales au Rwanda et au Burundi: La lutte pour les ressources*, Marc Rwabahungu, co-published with L'Harmattan, Paris, 2004
- *Living Longer: Ageing, Development and Social Protection*, Peter Lloyd-Sherlock (ed.), co-published with Zed Books, London, 2004
- *Globalization, Export-Oriented Employment and Social Policy: Gendered Connections*, Shahra Razavi, Ruth Pearson and Caroline Danloy (eds.), co-published with Palgrave Macmillan, Basingstoke, 2004
- *Social Policy in a Development Context*, Thandika Mkandawire (ed.), co-published with Palgrave Macmillan, Basingstoke, 2004
- *Transforming the Developmental Welfare State in East Asia*, Huck-ju Kwon (ed.), co-published with Palgrave Macmillan, Basingstoke, 2004

## In-House Publications

**265** Twenty-five Programme Papers, two reports, one book, three Research and Policy Briefs, two issues of Conference News, and one issue of *UNRISD News* (No. 26, Spring/Summer 2004) were issued in 2004, as follows:

### Programme on Civil Society and Social Movements

- PP CSSM 7 *Understanding the Evolving Diversities and Originalities in Rural Social Movements in the Age of Globalization*, Neil Webster
- PP CSSM 8 *Peasant Associations in Theory and Practice*, Nora McKeon, Michael Watts and Wendy Wolford
- PP CSSM 9 *Civil Society and the Uncivil State: Land Tenure Reform in Egypt and the Crisis of Rural Livelihoods*, Ray Bush
- PP CSSM 10 *Civil Society and Social Movements: The Dynamics of Intersectoral Alliances and Urban-Rural Linkages in Latin America*, Henry Veltmeyer
- PP CSSM 11 *Post-Soviet Institutional Design and Rural Livelihoods in Uzbekistan*, Deniz Kandiyoti
- PP CSSM 12 *Agrarian Research Institutes and Civil Society in Kazakhstan and the Kyrgyz Republic: In Search of Linkage*, Malcolm D. Childress
- PP CSSM 13 *Agricultural Restructuring and Trends in Rural Inequalities in Central Asia: A Socio-Statistical Survey*, Max Spoor
- PP CSSM 14 *Islamisme et pauvreté dans le monde rural de l'Asie centrale post-soviétique: Vers un espace de solidarité islamique?*, Habiba Fathi

### Programme on Democracy, Governance and Human Rights

- PP DGHR 12 *Lecciones de la participación política de las mujeres*, Cecilia Blondet
- PP DGHR 13 *Technocratic Policy Making and Parliamentary Accountability in Argentina, 1983–2002*, Javier Corrales
- PP DGHR 14 *Communities and Local Government: Three Case Studies in São Paulo, Brazil*, Raquel Rolnik and Renato Cymbalista
- PP DGHR 15 *Chicago's Near South Side: Revisiting the South Loop and South Armour Square, 2001*, David C. Ranney and Patricia A. Wright
- PP DGHR 16 *Living for the Sake of Living: Partnerships between the Poor and Local Government in Johannesburg*, David Everatt, Graeme Gotz and Ross Jennings

### Programme on Identities, Conflict and Cohesion

- PP ICC 3 *Poverty and Prosperity: Prospects for Reducing Racial/Ethnic Economic Disparities in the United States*, Sheldon Danziger, Deborah Reed and Tony N. Brown
- PP ICC 4 *Policing and Human Rights: Eliminating Discrimination, Xenophobia, Intolerance and the Abuse of Power from Police Work*, Benjamin Bowling, Coretta Phillips, Alexandra Campbell and Maria Docking
- PP ICC 5 *Racial Justice: The Superficial Morality of Colour-Blindness in the United States*, Glenn C. Loury
- PP ICC 6 *Managing Ethnic Relations in Post-Crisis Malaysia and Indonesia: Lessons from the New Economic Policy?*, Khoo Boo Teik
- PP ICC 7 *The New Economic Policy and Interethnic Relations in Malaysia*, Jomo K.S.
- PP ICC 8 *Environment and Morality: Confronting Environmental Racism in the United States*, Robert D. Bullard
- PP ICC 9 *Exclusionary Populism in Western Europe in the 1990s and Beyond: A Threat to Democracy and Civil Rights?*, Hans-Georg Betz

- PP ICC 10 *The Politics of Land Distribution and Race Relations in Southern Africa*, Sam Moyo

#### **Programme on Social Policy and Development**

- PP SPD 16 *Late Industrializers and the Development of the Welfare State*, Chris Pierson
- PP SPD 17 *The Developmental Welfare State in Scandinavia: Lessons to the Developing World*, Stein Kuhnle and Sven E.O. Hort

#### **Programme on Technology, Business and Society**

- PP TBS 13 *Barricades and Boardrooms: A Contemporary History of the Corporate Accountability Movement*, Jem Bendell
- PP TBS 14 *The Political Economy of Corporate Responsibility in Brazil: Social and Environmental Dimensions*, Paola Cappellin and Gian Mario Giuliani

#### **Reports**

- *Investigación para el desarrollo social*, Informe del cuadragésimo aniversario de UNRISD
- *Recherches pour le changement social*, Rapport du quarantième anniversaire de l'UNRISD

#### **Book**

- *From Unsustainable to Inclusive Cities*, David Westendorff (ed.)

#### **Research and Policy Briefs**

- RPB 1 *Corporate Social Responsibility and Business Regulation*
- RPB 2 *Social Development and the "Information Revolution"*
- RPB 3 *Technocratic Policy Making and Democratic Accountability*

#### **Conference News**

- CN 13 *Corporate Social Responsibility and Development: Towards a New Agenda?*, Report of the UNRISD Conference, Geneva, 17–18 November 2003
- CN 14 *Social Knowledge and International Policy Making: Exploring the Linkages*, Report of the UNRISD Conference, Geneva, 20–21 April 2004

## **UNRISD Staff Contributions to Outside Publications**

- Yusuf Bangura, "Ethnic structure, inequality and public sector governance", *The Baltic Times*, 1 April 2004
- Kate Ives (and Jem Bendell), "World review", *Journal of Corporate Citizenship*, Issue 16, Winter 2004
- Thandika Mkandawire, "Disempowering new democracies and the persistence of poverty", in Max Spoor (ed.), *Globalization, Poverty and Conflict: A Critical "Development" Reader*. Kluwer Academic Publishers/Springer Verlag, Dordrecht, 2004
- Peter Utting, "Neue Ansätze zur Regulierung Transnationaler Unternehmen: Potenzial und Grenzen von *Multistakeholder*-Initiativen" ["New approaches to TNC regulation: The potential and limits of multistakeholder initiatives"], in Tanja Brühl et al. (eds.), *Unternehmen in der Weltpolitik: Politiknetzwerke, Unternehmensregeln und die Zukunft des Multilateralismus*. Dietz Publishers, 2004



## UNRISD Reference Centre

**266** The Reference Centre holds all UNRISD documents, including materials of historical significance. It also maintains a small collection of journals, books and monographs, and specialized publications for use by the Institute's staff. UNRISD has 11 paid subscriptions to key, specialized journals dealing with its research programme (and which are not available in the UN Library). UNRISD has some 50 exchange agreements with other publishers from developing and developed countries.

**267** During the reporting period, UNRISD consulted the UN Information and Communication Technology Service (ICTS) with a view to implementing a computer-based inventory monitoring system. Appropriate software was identified and installation was scheduled for early 2005.



# RESEARCH ASSISTANTS AND GRADUATE STUDENT PROGRAMME

**268** Young scholars participate in the UNRISD programme of research via two mechanisms: as research assistants, and through the Institute's Graduate Student Programme. A limited number of outstanding students and scholars from around the world are thus offered the opportunity to gain experience in an international research setting. Young scholars are selected on the basis of their academic experience and interests, and spend between two months and two years at UNRISD assisting research coordinators in developing project proposals, compiling annotated bibliographies and data, and helping to organize research seminars and conferences. In the past year, they also co-authored papers, prepared and reported on conferences, and participated in field research. During the reporting period, research assistants and participants in the Graduate Student Programme came from Argentina, Canada, China, Germany, Greece, Italy, Singapore, Spain, Sweden, Switzerland and the United Kingdom.

## **Research Assistants and Participants in the Graduate Student Programme (2004)**

- Désirée Abrahams, United Kingdom
- María Victoria Avilés Blanco, Spain
- Hongyu Chen, China
- Alessandra Dal Secco, Italy
- Carl-Johan Hedberg, Sweden
- Kate Ives, United Kingdom
- Kevin Lo, Canada
- Justin MacDermott, Sweden
- Alexander Peyre Dutrey, Sweden
- Britta Sadoun, Germany
- Michele Tan, Singapore
- Constanza Tabbush, Argentina
- Jenny Vidal, Greece
- Murat Yilmaz, Switzerland



# STAFF LIST<sup>5</sup>

## **DIRECTOR**

Thandika Mkandawire

## **DEPUTY DIRECTOR**

Peter Utting

## **ASSISTANT TO THE DIRECTOR**

Nina Torm

## **ADMINISTRATIVE AND SUPPORT STAFF**

Katrien De Moor

Josephine Grin-Yates

Mensur Ismail\*

Angela Meijer

Wendy Salvo

Anita Tombez

## **PUBLICATIONS, DISSEMINATION AND REFERENCE CENTRE**

Suroor Alikhan

Nicolas Bovay

Sylvie Brenninkmeijer-Liu

Caroline Danloy (as of February 2004)

Jenifer Freedman

Véronique Martinez

Pamela Smaridge

Maria Zaballa\* (as of December 2004)

## **PROJECT STAFF—SPECIAL EVENTS AND ACTIVITIES**

### **Policy Report on Gender and Development**

Urvashi Butalia\*\*

Susana Franco\* (as of April 2004)

Anne Marie Goetz\*\*

Nicola Piper\* (June–November 2004)

Shahra Razavi

Ann Zammit\*

### **Social Knowledge and International Policy Making: Exploring the Linkages**

Peter Utting

### **Consultation Meeting on Future UNRISD Research**

Peter Utting

## **PROJECT STAFF—ONGOING RESEARCH**

### **Social Policy in a Development Context**

Yusuf Bangura

Huck-ju Kwon

Thandika Mkandawire

Shahra Razavi

Cecilia Ugaz

Jimi Adesina\*\*

Andrea Giovanni Cornia\*\*

Olli Kangas\*\*

Massoud Karshenas\*\*

Meri Koivusalo\*\*

Maureen Mackintosh\*\*

Joakim Palme\*\*

Manuel Riesco\*\*

### **Politics and Political Economy of HIV/AIDS**

Joseph Collins\*\*

William Rau\*\*

Cecilia Ugaz

### **Community Responses to HIV/AIDS**

Rene Loewenson\*\*

Cecilia Ugaz

### **Commercialization, Privatization and Universal Access to Water**

Cecilia Ugaz

### **Business Responsibility for Sustainable Development**

Peter Utting

### **UN World Summits and Civil Society Engagement**

K.B. Ghimire

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

K.B. Ghimire

### **Ethnic Structure, Inequality and Governance of the Public Sector**

Yusuf Bangura

## **VISITING FELLOWS**

Edda Magnus (as of November 2004)

Amanda Sloat (February–April 2004)

\* consultant based at UNRISD \*\* external consultant

<sup>5</sup> See also Research Assistants and Graduate Student Programme (page 63).