BUILDING SOUTHERN RESEARCH CAPACITY

A literature review undertaken as part of a mapping exercise to identify organisations involved in strengthening southern research capacity

Ballantyne, P. et al (2000), (2000) Information and Knowledge Management: Challenges for Capacity Builders. Policy Management Brief No. 11, July 2000. Maastricht, Netherlands: ECDPM.

Information and communication technologies (ICTs) represent for many people an opportunity to address the challenges of development and help to reduce poverty by a combination of wealth and job creation, delivering better services, and building capacity within government and community organisations.

Bezanson, KA and Oldham, G. (2000) (2000) Issues and options concerning a European Foundation for Research for Development. Brighton, UK: IDS.

This report was prepared by IDS for the European Commission after the European Parliament asked the Commission to take steps to establish a new European Foundation for Research for Development (EFRD). The report is the culmination of an exploration by the authors of the strategic issues surrounding the establishment of this new Foundation. It sets out the background to the study, reviews past experiences and current trends in development assistance, and finally explores the key issues and options for a new European initiative.

Danida (Danish Ministry of Foreign Affairs) (2000) Enhancing Research Capacity in Developing Countries (ENRECA), Vol I and Vol II. Copenhagen, Denmark: Danida.

This purpose of this report was to evaluate the ENRECA programme (Bilateral Programme for Enhancement of Research Capacity in Developing Countries) and to make recommendations. Overall, the ENRECA programme seems to be an imaginative and effective example of how a relatively small amount of money may be used to build public sector research capacity in developing countries. The Programme has been effective in terms of enhancing two of the four generally recognised forms of research capacity: tangible and human capital. More work could be done on the other two - organisational and social capital. There is cause for concern about the longer-term sustainability of ENRECA at Programme level, particularly in the case of capacity-based projects. This is mainly due to the fact that Danish universities are faced with growing financial constraints and are increasingly insisting that the work done by staff be cost effective. ENRECA's tangible contributions are small compared with both other programmes and consultancies. Although the flexibility and problem-orientation of ENRECA management is largely credited with promoting efficiency in the field, information and knowledge management appear to be major problems within ENRECA.

Danida (Danish Ministry of Foreign Affairs) (2001) Partnerships at the Leading Edge: A Danish Vision for Knowledge, Research and Development. Copenhagen, Denmark: Danida.

The Commission on Development-Related Research in Denmark was established to learn whether anything could be done to improve learning for policy making in a rapidly changing world, by appraising the role of the Danish development research sector and the contribution through research, teaching and consultancy to international as well as Danish development goals and to formulate a new strategic framework for future Danida support to guide participants in the sector.

DFID (2001) Research and Dissemination - Responding to user needs? London, UK: IUDD, DFID.

An internal note summarising issues raised by reports on IUDD dissemination activities and discussions with other departments focusing on how to improve tha relevance, impact and dissemination of results of research commissioned by IUDD.

Earl, S. and Smutylo, T. (1998) Supporting Development Research: An Assessment of the Specifics of IDRC's Approach to Programme Delivery. Ottowa, Canada: IDRG.

This paper analyses the question of whether ICTs can help alleviate poverty in low-income countries, focusing particularly on the role of ICTs in assisting the development of small and micro-enterprises.

It suggests that ICTs are more likely to play a role as a communication technology, rather than as an information processing or production technology. Given serious inequalities that constrain the use of ICT-based information by poor entrepreneurs, ICTs may have a greater role to play in giving 'voice' to the poor' i.e. making the poor information providers more than information recipients. The paper is critical of 'the ICT fetish' that dominates much of development thinking at present and turns the use of ICTs within development into an end in itself rather than a means of acheiving other development goals. It identifies a number of 'development opportunity costs' associated with this discourse and increased investment in ICTs at the expense of other sectors. Finally the following development priorities for Information, ICTs and Poverty are identified:

EEPSEA (2001) Economy and Environment Programme for Southeast Asia Annual Report 2000. EEPSEA.

EEPSEA's Annual Report 2000 describes its work over the year, and highlights its commitment to capacity building for the economic analysis of environmental problems so that researchers can provide sound advice to policy makers.

Grindle, M. and Hilderbrand, M. (1999) The Development Studies Sector in the United Kingdom: Challenges for the New Millennium'. A Report prepared for the Department for International Development. Massachusetts, USA: Harvard University.

This Report was prepared for the UK Department for International Development. It is a strategic assessment of the structure, conduct, and performance of the development studies sector in the United Kingdom.

Helland, J. (2000) Research capacity building through partnership: the Tanzanian-Norwegian case. Guest contribution to www.capacity.org, Issue 6. ECDPM.

This paper explores the partnership between the Institute of Development Management (IDM) in Tanzania and Agder College in Norway. From its very beginning the relationship has been an equitable partnership, where the comparative strengths and weaknesses, advantages and disadvantages of the two institutions have complemented each other. The process of developing the relationship is also explained. The paper concludes with some important lessons that can be learnt from the IDM-Agder College collaboration

Ilsoe, B. and Rudinger, E. (1995) ENRECA - The Danish Bilateral Programme for Enhancement of Research Capacity in Developing Countries, Agricultural Sciences for Biodiversity and Sustainability in Developing Countries Workshop. Copenhagen, Denmark: Danida.

The Danish Bilateral Programme for Enhancement of Research Capacity in Developing Countries (ENRECA) supports capacity building in developing country research institutions through individual co-operative research projects carried out as "twinning arrangements" with research institutions in Denmark. Evaluation of the ENRECA programme demonstrated that it is providing valuable contributions to research capacity building in developing countries with high efficiency and a low cost/benefit ratio. Significant research results have come forth, a considerable number of postgraduate degrees have been awarded and the projects are extending the research results to the potential users. The ENRECA projects deal with a wide range of subjects within health, agricultural, technical, social, and natural sciences. Interdisciplinary research and collaboration between projects are encouraged.

INASP (2001) INASP Newsletter No 17, June 2001. Oxford, UK: INASP.

INASP is a co-operative network of partners whose aim is to enhance world-wide access to information and knowledge

Intal, P. S., Jr. (2001) Thanks to smart research capacity building, there is a need for smarter research capacity building. IDRC Workshop on Trade Negotiations and Trade Policies in Developing Countries. Ottawa, Canada: IDRC.

This short note presents the view that the previous investments in research capacity building in developing countries have been relatively successful and have borne fruit. However, because of the fast changing international environment and partly because of the relative success in research capacity building, the demands on the domestic research capacity in developing countries have become greater and more difficult. This calls for a smarter strategy on investments for research and institutional capacity building.

ISEA (2000) Innovation through Partnership: Partnerships as Knowledge, Networks for Innovation. London, UK: Institute of Social and Ethical Accountability.

Innovation through Partnership is a joint business, government and civil society initiative encouraging business and community innovation through partnership. This pamphlet outlines the aims of the initiative and some of their projects to date. It looks at the challenges faced by today's business, how partnerships can provide innovative solutions - Innovation through Partnership was created to highlight this potential and to develop effective means to harness it.

ISNAR (2001) Annual Report 2000: International Service for Agricultural Research. The Hague, Netherlands: ISNAR.

ISNAR's Annual Report 2000 describes its work over the year, and highlights its commitment to capacity building for agricultural research management in developing countries.

ISNAR (2000) Creating ownership of agricultural research through capacity building. ISNAR Theme Essay. INSAR.

The essay looks at agricultural research capacity building through the lens of ISNAR's work to strengthen national agricultural research systems (NARS) in developing countries. It focuses on two distinct levels of capacity building: at the level of individual research or research manager, and at the organisational level. Three guiding values underlie ISNAR's work to help developing countries build their agricultural capacity: participation, learning by doing, and respect for diversity.

Kadt, E. de (1995) Capacity building and development information. Capacity building for development information J. van Laar. Maastricht, Netherlands: ECDPM.

The paper considers capacity building within the field of information. Both consist of various components, located at different levels, and therefore a 'holistic' approach is required. Various kinds of institutions have information and documentation units, having somewhat distinct roles and different needs. Four relevant institutions are identified - universities, academic research institutes, government departments and NGOs. The private sector is also important. These different institutions require different approaches with regard to capacity building. The same is true of different countries, which have different capacities. Access to information - hard copy and electronic - as vital.

Kaplan, A. (2000) Capacity Building: shifting the paradigms in practice. Development in Practice 10 (3,4), August.

KFPE (1998) Guidelines for Research in Partnership with Developing Countries: 11 principles. Bern, Switzerland: KFPE.

The Guidelines comprise 11 Principles for research in partnership between an industrialised country and developing countries. For each there is a description of the overall aim, practical suggestions as

to how it can be achieved, and a checklist of questions for evaluating how far a specific proposal fulfils the aim. The 11 Principles are all closely linked, and no hard-and-fast boundaries can be drawn between them.

KFPE (2001) Enhancing Research Capacity in Developing and Transition Countries: Experiences, discussions, strategies and tools for building research capacity and strengthening institutions in view of promoting research for sustainable development. Bern, Switzerland: KFPE.

About 85% of all the resources devoted to research throughout the world are currently being invested in the high-income countries of the OECD. India, China and the new industrialised countries of East Asia account for a further 10%. This means that the rest of the world invests only about 4-5% in research. The overall efforts invested in research in developing and transition countries thus need to be considerably intensified. There is an urgent need to narrow the gaps between rich and poor countries, between research needs and realities and between research and its impact. It is especially important to explore and evaluate ways and means of enhancing research capacity in the South - above all at the institutional level.

Killick, T. (2001) Donor funding of socio-economic research in Southern countries. Draft of a paper prepared for the Workshop on 'Building Southern Socio-economic Research Capacity', sponsored by the UK Department for International Development, held at the University of Natal,on 12-13 June 2001. Durban, South Africa.

This paper describes how a new donor might go about deciding whether to devote some of its money to social and economic research

Land, T. (2000) Implementing institutional and capacity development: conceptual and operational issues. Paper for workshop on 'Operational approaches to institutional and capacity development', Harare, Zimbabwe, 27-19 October 1999. Maastricht, Netherlands: ECDPM.

This paper was prepared as an input to the Workshop on "Operational Approaches to Institutional and Capacity Development" in October 1999, and as an introduction to the presentation of cases. It provides an overview of conceptual and operational issues, and draws on the ten case studies prepared for the workshop to distill what can be learned about our understanding of what capacity and capacity-building is; how we go about building, developing and mobilising capacities; and how we use evaluation in capacity development programmes and processes

Lusthaus, C., Andersen, G. and Murphy, E. (1995) Institutional Assessment. A Framework for Strengthening Organisational Capacity for IDRC's Research Partners. Ottawa, Canada: IDRC.

This IDRC publication answers to the need to address so-called the "capacity gap" of its Southern partners. Noting the lack of tools for institutional development, the book provides a model to assist both internal (self-assessments) andexternal (funding agency) efforts for assessing and strengthening organisations

McGann, J. (2001) Globalisation and the Growth of Think Tanks.

Mentz, JCN (1997) Personal and Institutional Factors in Capacity Building and Institutional Development. ECDPM Working Paper No. 14. Maastricht, Netherlands: ECDPM.

The central focus of this paper is an analysis of the concepts of capacity and capacity building and their role in public service management. What constitutes capacity? How is capacity developed or built? And how does capacity building fit into the process of civil service reform? Capacity building does not take place in a vacuum, but in a specific economic, social and political context. Mentz considers the context of public service management in Africa. The role of the world view of people in

this process is considered. A review of the contributions of the more important authors in this field is conducted in the paper, and an alternative framework for examining the issue of capacity is then presented. This is based on what are termed personal and non-personal dimensions of capacity.

Newman, D. and de Haan, A. (2001) Draft Report on the DFID-sponsored Workshop on Southern Socio-economic Research Capacity, held at the University of Natal, Durban, on 12-13 June 2001. London, UK: DFID.

The workshop was organised to discuss the capacity for socio-economic research in the South, and the role that donors play and should play in supporting this. It brought together an international group of about 30 experts, researchers and representatives of funding agencies.

Norwegian Ministry of Foreign Affairs (1999) Strategy for strengthening research and higher education in the context of Norway's relations with developing countries.   Norwegian Ministry of Foreign Affairs.

The purpose of the present research strategy is to define the main priorities for the various support schemes for strengthening research and higher education in the South and for development research in Norway. A further objective of the strategy is to facilitate better co-ordination between the various players involved in this field, primarily the Research Council of Norway, the Norwegian Council of Universities (UR), the Norwegian Agency for Development Co-operation (NORAD) and the Ministry of Foreign Affairs. A number of measure as being planned with a view to ensuring a coherent approach in Norwegian policy formulation. The aim is to promote greater synergy between the various support schemes whose aim is to strengthen competence building in the South and increase Norwegian knowledge about developing countries. The intention behind the co-ordination measures outlined in the present strategy is to further clarify the roles and responsibilities of the various players and to establish an appropriate division of labour between them.

O Gad, L. (2001) Comments on the Bridging Research and Policy Workshop. Presentation held at Warwick University, 16-17 July 2001 Personal Communication. Personal Communication.

The report provides comments on and a reaction/suggestion to the workshop on Bridging Research and Policy. It is divided into two parts. The first comments on the content of the workshop. Various issues were raised, including formation vs. 'matriculation', network vs. clique, concentration vs. diversification, individual agendas vs. policy/organisational priorities, value-laden vs. 'technocratic', action-oriented research vs. research-for-its-sake, short-term vs. long-term planning and implications for research, public vs. private and contradiction competition among policy makers. The second provides comments and suggests on the proposed project on the theme of bridging research and policy. Capacity building is an important part of bridging research and policy.

Priestley, C. (2000) ENRECA Evaluation: Survey of other donor agencies' approaches to research capacity building. Copenhagen, Denmark: Danida.

This summary report examines the significant characteristics of four comparative programmes - the Joint Financing Programme for Higher Education (MHO), The Netherlands; Multi-annual Multi-disciplinary Research Programmes (MMRP), DGIS, The Netherlands Ministry of Foreign Affairs; Norwegian Universities' Committee for Development, Research and Education (NUFU); and SIDA: SAREC Programme of Research Co-operation with Developing Countries.

RAWOO (1995) A Medium-term perspective on research for development.Research needs and Dutch research capacity. The Hague, Netherlands: RAWOO.

In this report the priorities on the international and, where possible, Southern research agendas are set against the availability of Dutch research capacity. This confrontation between demand and supply led to the selection of a number of research themes to which priority should be given. Taking

the aims of sustainable development as its point of departure, and building upon the priorities contained in international and Southern research agendas

RAWOO (1995) Supporting capacity building for research in the South. Publication No 10. The Hague, Netherlands: RAWOO.

The Minister for Development Co-operation asked the RAWOO to report on future policy aimed at the building up and strengthening of research capacity in developing countries

RAWOO (2001) North-South Research Partnerships Issues and Challenges. Draft Report on the Trivandrum Expert Meeting, October 1999.

The main goal of the meeting was to have a collective reflection on North-South co-operation, the underlying factors and ambiguities, through a process of sharing individual experiences.

RAWOO (1999) Building Bridges in research for development - Review of 1997 and 1998. The Hague, Netherlands: RAWOO.

This bi-annual report reviews the first two years of the Council in its new, international composition. It examines the major challenges in the Council's work, it presents the RAWOO approach to enhancing knowledge for development and the basic policy principles underlying this approach, and it reports on work in progress.

Schacter, M. (2000) Capacity Building: A new way of doing business for development organisations. Ottawa, Canada: Institute on Governance.

This Policy Brief provides an overview of challenges faced by development assistance agencies as they seek to adopt a capacity-building perspective. It explores the operational roots of those challenges, and describes approaches to addressing them. It concludes that if a 'capacity-building' approach is to be taken seriously, it means that development assistance agencies must become better at bending their policies and procedures - their "way of doing business" - to the needs and circumstances of the countries they serve

Skuse, A. UNDP, World Bank and Club Ekonomika (2000) Case Study 1: Enhancing National Capacity through HIV Action Research. London, UK: DFID.

Increasingly, questions concerning who will benefit and who will be left out of the ICT revolution are coming to the fore in policy debates. Equally, concerns over areas of the developing world being left out of globalisation or being slow to develop ICT infrastructure centre on the potential negative impacts upon economies, economic decision making and the networking, advocacy and empowerment potential that ICTs can bring to civil society groups. This paper provides a very general review of the opportunities and constraints associated with trends in globalisation and information and communication technologies. In particular it looks at information rights, empowerment and the economic barriers to access to ICTs that create an 'information excluded' underclass.

Stone, D. (2001) Bridging Research and Policy, Radcliffe House, University of Warwick, July 2001 Workshop report for DFID.   Personal Communication.

The report provides a summary of the workshop on Bridging Research and Policy

Sutton, R. (1999) The policy process: an overview. ODI Working Paper 118. London, UK: ODI.

The paper offers an introduction to analysis of the policy process. It identifies and describes theoretical approaches in political science, sociology, anthropology, international relations and management. It then reviews five cross-0cutting themes: a) the dichotomy between policy-making and implementation; b) the management of change, c) the role of interest groups in the policy

process; d) ownership of the policy process; and e) the narrowing of policy alternatives. The paper concludes with a 21-point check-list of 'what makes policy happen'. A glossary of key terms is also provided

Swedish National Committee for the UNESCO World Conference on Science (1999) Science and Development in the Third World: A UNESCO Seminar. Uppsala, Sweden: Swedish National Committee for the UNESCO World Conference on Science.

The document summarises the various presentations made at the UNESCO Seminar in May 1999.

Szaro, R. C., Thulstrup E. et al () Mechanisms for Forestry Research Capacity Building International Consultation on Research and Information Systems. IUFRO.

The gap between developed and developing countries in forestry research capacity remains unacceptably wide. Much work is required to build research capacity in developing countries. Any effective research capacity building strategy much aim at building scientific, technological and managerial abilities and capacities at the individual, institutional and regional levels.

The Lancet (2000) Enabling research in developing countries. The Lancet 356(9235), 23 September 2000.

In preparation for the International Conference of Health Research for Development in Bangkok in October 2000, The Lancet devoted an entire issue to research in developing countries. The articles in the issue reflect on some of the difficulties and issues relating to work in a developing country setting.

University of Bergen (1999) NUAS, North-South Co-operation in Higher Education and Research: Nordic Goals, Strategies, Issues and Experiences. Proceedings from the NUAS-NUS Conference, 15-16 April 1999. University of Bergen / NUAS.

This document is a collection of papers presented at a conference organised by the Office of International Relations, University of Bergen in April 1999. 124 people met in Bergen to discuss higher education and research co-operation with institutions in developing countries.

West, M. and Shackleton, L. (1999) USHEPIA: Building a Research Capacity Network in Africa, ADEA Working Group on Higher Education, The World Bank, July 1999. Association for the Development of Education in Africa.

A case study of the USHEIPiA (University Science, Humanities and Engineering Partnerships in Africa) project is presented in an attempt to suggest ways of developing African research capacity using a network of institution. The USHEPiA experience demonstrates the effectiveness of a network based on a common needs assessment, the enthusiasm of all participants, and adequate management capacity. This study examines the origins of the project, reviews its modus operandi and its achievements, and then attempts a critical analysis of its effectiveness to date and the lessons learned.

Wils, F. (1995) Building up and strengthening research capacity in southern countries. Publication No 9. The Hague, Netherlands: RAWOO.

This study is an analytical report that consolidates the main literature on the topic of strengthening research capacity in the South. The problems and needs of Southern countries striving to build up and strengthen their own research capacity are set against the response from multi- and bilateral donor organisations. The Dutch response is analysed in detail. On the basis of this examination, the report concludes by putting forward a number of implications for policy