

# RESEARCH FOR SOCIAL CHANGE

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UNRISD Institutional Strategy  
2011-2014







**UNRISD**

UNITED NATIONS RESEARCH INSTITUTE FOR SOCIAL DEVELOPMENT

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**Research for Social Change**  
**UNRISD Institutional Strategy**  
**2011–2014**

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This document outlines an institutional strategy for UNRISD for 2011–2014. It was developed following a Results-Based Management workshop in April 2010 as a basis for funding proposals and for informing donors and other key constituencies about planned activities. Based on the strategy, a detailed workplan will be developed on an annual basis. This document complements the UNRISD research agenda for 2010–2014, *Social Development in an Uncertain World*, as well as communication and fundraising strategies (being developed).



# 1. SUMMARY

For almost half a century UNRISD has played a unique role within the United Nations system as the sole agency dedicated exclusively to research on issues of *social development*. Social development can be broadly understood as *processes of change that lead to improvements in human well-being, social relations and social institutions, that are equitable, sustainable, and compatible with principles of democratic governance and social justice*.

This document lays out an institutional strategy for UNRISD for 2011–2014. Our overall goal is to generate knowledge and articulate policy alternatives that address urgent social development challenges, and contribute to a reduction in poverty and inequality. To achieve this goal, UNRISD will pursue three objectives:

- to undertake research that illuminates social development challenges and contributes to the articulation of policy options relevant to the current context of crisis and uncertainty;
- to increase the recognition and use of our research within the United Nations system, the donor community, academia and civil society in order to influence policy and practice; and
- to secure the long-term financial stability of the Institute through an increase in funding and diversification of funding sources.

Through an extensive network of researchers around the world, UNRISD provides global perspectives on contemporary social development processes and problems. Our research is marked by a core focus on *social* institutions, relations and processes, as well as on the essential interconnectedness between social, economic and political dimensions of development. We build on a steady tradition of examining the social impacts of long-term processes of structural and social change, and of particular development strategies and policies. UNRISD research frequently challenges conventional thinking and generates alternative policy options. In the light of recent, recurrent and persistent crises and continued uncertainties (whether related to economic recovery or a changing climate), there is a clear need to rethink old approaches and assumptions, and to examine the innovative new practices coming from the South which offer constructive alternatives.

The new strategy for the Institute engages with these contemporary development challenges. UNRISD research for 2010–2014 aims to deepen the analysis of social development in contexts of crisis and heightened uncertainty. Under the theme of *Social Policies for Inclusive and Sustainable Development*, research will focus on the role of social policies in supporting economic growth, democratic participation and social justice. We will examine the mechanisms for extending social policies to excluded groups, options for financing such policies and the implications of different economic policies for social outcomes. A second theme, *The Political and Institutional Dynamics of Social Development*, focuses on the politics of achieving sustainable and equitable social development outcomes. Research will explore the politics of domestic resource mobilization and allocation for social development, and the types of organizational and institutional arrangements through which marginalized groups make claims on states or other power holders. These themes build on strong traditions of UNRISD research while responding to new issues emerging in the light of recent crises, recognized knowledge gaps and neglected research areas, and the concerns of the United Nations system.

In addition to our research agenda, the Institute has prioritized renewed efforts to communicate effectively with diverse stakeholders, and to engage in UN policy processes, in order to enhance the impact of our research. We will also continue our efforts to secure the longer term financial stability of the Institute through a strategy to increase the level of funding and to diversify funding sources.

## 2. ABOUT UNRISD

UNRISD was established in 1963 to create an autonomous space within the United Nations system for policy-relevant research and dialogue on pressing issues of social concern. Its enduring purpose over almost half a century has been to exercise leadership within the United Nations system in generating knowledge and articulating policy alternatives on contemporary social development processes and problems. Through its activities, it contributes to the broader goals of the United Nations system of reducing poverty and inequality, advancing well-being and rights, and creating more democratic and just societies.

UNRISD has unique characteristics which enable it to play this distinctive and challenging role.

- It is the only organization within the United Nations system dedicated exclusively to undertaking multidisciplinary research on contemporary social development issues.
- As an autonomous agency governed by a Board of leading scholars operating in their individual capacity, UNRISD has the freedom to produce critical, high-quality research and to provide a neutral ground for debate and discussion.
- It is the centre of an extensive global network of academic, policy and advocacy institutions that both participate in and use UNRISD research.
- Located under ECOSOC, it has the institutional channels to promote the flow of research findings, ideas and information between its multiple partners and the United Nations system.
- It is small and flexible with the capacity to be responsive to new social issues and problems as they arise.

Based on this mandate and position, UNRISD fulfils several important functions.

- It undertakes and coordinates high-quality, multidisciplinary, cross-country comparative research on issues which reflect the core values and concerns of the UN community.
- Through its empirical research, it frequently challenges mainstream ideas and provides alternative visions which help to frame debates and shape policies on social development issues.
- It uses the convening power that comes with its institutional location and autonomy to engage with scholars, policy makers and civil society groups in the North and South, who in turn make use of UNRISD research in their own policy making and advocacy activities.
- Through its research partnerships with individuals and institutions in the South, UNRISD expands access for Southern researchers to global networks and provides a platform for



making Southern research visible in international academic and policy fora.

The contribution of UNRISD research and related activities has been recognized in positive evaluations by major donors and other independent reviewers.<sup>1</sup> Noteworthy features include the exercise of remarkable convening power, attracting members of academia, policy communities and civil society from across the world to its events, and as research partners and visiting researchers. UNRISD staff members are invited to undertake advisory activities both in UN Expert Groups and processes, and through membership of other academic or civil society bodies. Through these diverse channels, UNRISD contributes to debate and policy dialogue, to challenging orthodoxies and to the development of alternative approaches. Examples include its early contribution to thinking on participation in development, research highlighting the social effects of globalization for the 1995 World Social Summit, an influential 2005 report on gender equality, and pioneering research on “transformative” social policy in a development context. Most recently, UNRISD has published a major report on *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*, which is making a significant contribution to current debates around poverty reduction strategies and the Millennium Development Goals (MDGs).

UNRISD maintains its autonomy to undertake independent research and provide a neutral ground for policy discussion by remaining financially independent of the United Nations system. It relies for funding of its core activities entirely on voluntary contributions from member state governments and other donors. In supporting UNRISD, core donors contribute to the assurance of a diversity of views and voices on development issues at the highest level in the global system. In a context where a small number of large institutions wield almost monopolistic influence on development thinking and policies, there is an ever more pressing need to strengthen such institutional spaces where alternative views can be shaped and articulated. If securely funded, UNRISD can be a major platform both for producing and for bringing together such views to inform and influence global debates. This outcome constitutes a public good beyond the value of specific research contributions being undertaken at any particular point in time.

In the current period of global uncertainty, UNRISD faces new challenges. First, as an Institute, it needs to respond with greater urgency to multiple and ongoing crises—economic, social and environmental—and their persistent implications for poverty reduction, equity and social justice. There is an urgent demand for evidence that provides alternative pathways for reducing poverty, protecting the vulnerable, and promoting longer term trajectories of growth that are more socially equitable and sustainable than those of the past three decades. Second, progress must be achieved in an environment of fiscal constraint, with a strong likelihood that reduced or more narrowly targeted donor funding will further limit resources and capacities both to undertake research that generates new evidence, and to implement innovative solutions on the ground. These financial pressures directly impact on UNRISD and its work.

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<sup>1</sup> Recent evaluations have included: *Evaluation of UNRISD's Contribution to Beijing+10* (2007), EU end-of-project evaluation; *Too Good to be True? UNRISD 1996–2005* (2006), Sida-led evaluation on behalf of the Nordic countries, and *A DFID Review of UNRISD Work, 1999–2001* (2002).

### 3. OBJECTIVES AND EXPECTED OUTCOMES

#### Research

**Objective 1:** Knowledge generated through UNRISD research contributes to a better understanding of, and greater pluralism in approaches to, contemporary social development and poverty reduction challenges.

**Context.** UNRISD’s new research agenda is shaped by the altered global context following the global financial crisis. The aspirations of the new millennium to “make poverty history” now face challenges of a magnitude and complexity that were unimaginable a decade ago. Global interdependence, far from transmitting promised benefits, has brought many economies into crisis. The complex interconnections between failures of markets, weak political systems and a mismanaged environment undermine the already precarious livelihoods of millions of people, increasing inequalities and exclusion. An unsustainable development model limits the options available to less developed countries and poorer populations located in the most fragile environments. The current context is thus one in which many development certainties have been shattered. However, the space for alternatives seemingly created in the wake of crisis is rapidly shrinking as governments under fiscal constraint cut essential public spending and return to procyclical austerity measures, with potentially devastating consequences particularly for low-income groups. Without deliberate policy interventions aimed at generating secure livelihoods, equity and social cohesion, an intensification of poverty and exclusion is likely to increase conflict over scarce resources, further undermining progress toward commitments such as the MDGs.

This backdrop creates a new climate and urgency for thinking about the social dimensions of development. It sharpens the focus on critical gaps and questions that need research—for understanding failures in current policy and practice, as well as for identifying successful or promising future alternatives. It acknowledges that uncertainty—in people’s lives, in the global economy, and in development ideas—will be a significant feature of the development field for the coming years. This requires re-framing the development problem, recognizing the possibility of diverse development paths and a range of development objectives—not only income growth and poverty reduction, but also equality and rights, social and environmental justice, cultural values and political participation. Policy choices need to emerge from debates among competing views, pluralism of ideas, and an understanding of how political processes and power configurations at local, national and global levels shape potential outcomes.

**Outcomes.** UNRISD research for 2010–2014 aims to deepen the analysis of social development in contexts of crisis and heightened uncertainty, reflecting the centrality of social development to human progress. Specific projects will contribute to understanding (i) how to overcome poverty and inequality, by extending social policies and protection to marginalized groups under different economic and political conditions; and (ii) the political processes underpinning the achievement of poverty reduction and social justice. Research on social policy and the politics of social development will inform current debates around poverty reduction and alternative development strategies for balanced and inclusive growth, contributing to key UN processes, including the elaboration of a post-MDG poverty reduction agenda. UNRISD will continue to engage with heterodox

thinkers and highlight diverse perspectives, particularly the voices of Southern researchers.

**Research.**<sup>2</sup> The 2010–2014 agenda is framed around two main themes which build both on UNRISD’s recent activities (including its 2009 conference on *The Social and Political Dimensions of Crisis*; and its 2010 flagship report, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*) and on its demonstrated strengths in areas of social policy, governance, social movements and gender. It retains a core focus on *social* institutions, relations and processes, as well as on the essential interconnectedness between social, economic and political dimensions of development. It focuses both on what kind of policies need to be adopted to achieve desirable social outcomes, and on how such outcomes can be achieved under different economic and political circumstances. Thus it addresses both *policies* and *politics* pertinent to the achievement of social goals. Overall, the research aims to respond to, and foresee, new issues, knowledge gaps and neglected areas, while engaging with the core concerns of the United Nations system (see Annex 1 for a summary of themes and projects).

### *Research theme 1: Social policies for inclusive and sustainable development*

The UNRISD framework of “transformative social policy” integrates the multiple goals of enhancing productive economic activity, supporting reproduction and distributive objectives, while also providing protection and fostering social cohesion. It emphasizes the role of universal social policies for achieving these economic and social goals. Rooted within this framework, new research will examine the social dimensions of recent crises and related processes of social transformation, and their implications for different social groups and institutions. It will identify possibilities for creating more resilient, sustainable and inclusive development paths through universal social policies under different economic conditions. Projects will analyse the complex but poorly understood links between economic and social institutions, policies and outcomes, while also extending the examination of social policy from national and subnational policies and responses to the neglected area of global and regional debates and governance mechanisms. Collectively, the research will contribute to a broader understanding of how processes of maintaining and reproducing individuals, families, communities and other social institutions can be located centrally within political-economy debates on growth and recovery, highlighting the essential role of such processes both in economic growth strategies and in attaining the MDGs.

Specific projects within this transformative framework will examine a number of issues and questions, summarized below.

#### **Alternative social policies for development**

The global context of crisis and uncertainty highlights the urgency of identifying development policies that simultaneously promote productivity and growth alongside greater inclusiveness, sustainability and empowerment. In many parts of the developing world we are seeing the emergence of innovative social and economic policies which we believe offer promising alternative approaches, whether in terms of state-led policies or through the demand of social movements and grassroots initiatives. First, a number of states (particularly emerging economies) are pursuing social policies as integral parts of development strategies

<sup>2</sup> See also *Social Development in an Uncertain World: UNRISD Research Agenda, 2010–2014*.

which diverge both from dominant prescriptions of the development community, and from each other. Research on the nature and political economy of social policies in emerging powers, such as China, India and Brazil, will allow for an examination of the conditions for success and the limits of differing national strategies and interventions. Second, diverse forms of *social economy* approaches, such as self-help and cooperative forms of organization, social enterprise, or food sovereignty and agro-ecology programmes, may also create alternative models and pressures for a more socially inclusive development strategy. Can such initiatives be effectively scaled up and replicated? What happens to their transformative potential when local and national governments, corporations and international agencies actively engage in their promotion?

As well as identifying such innovations and alternatives, it is also necessary to analyse the transferability of relevant lessons for other countries. Reflecting mainstream theories of development centred on economic growth, explanations of successful development have often marginalized the role of social policy, regarding it as a residual or compensatory component of development strategies. Successful experience shows, however, that both growth and poverty reduction arise from appropriate coordination of economic and social policies. Learning from successful development should take into account this observation, while giving sufficient attention to the specificities of local context and the historical foundations of local institutions. Research on the development experience of the Republic of Korea will provide a first case study aiming to understand the institutional configuration needed for both economic growth and social development. It will focus on the role of institutions in the economic and social policy spheres in the Republic of Korea and draw lessons for Korea's assistance to developing countries in particular, with implications more generally for low-income economies.

### Social policy, informality, migration and gender

Delivering social policies remains a major challenge in environments characterized by high and often growing levels of informality—not only of employment, but also in terms of how business is done, services accessed, laws enforced, fees collected or taxes avoided. Informal employment and its connections to social policy is a key starting point for understanding the pervasive informal or unregulated institutional arrangements and relationships that shape economic and welfare outcomes. What social policies are possible in environments with high levels of informal employment? What are the implications for extending and financing social protection in these circumstances? Research will focus on *inclusive social policies for informal workers*, with a particular focus on the implications of informality for women and their access to social protection.

Another population group with tenuous claims on social protection is migrant labour. Existing research focuses largely on South-North migrant flows. However, large-scale South-South migration flows occur between countries (as well as within large emerging economies) with often poorly developed social welfare systems. How should social protection and provisioning for this group be addressed, and by whom? What is the potential role of regional alongside national governance institutions? Research will focus on the nexus between migration, development and social policy in both sending and receiving countries, and on the potential role of governance institutions at different levels. Attention will also be given to the gender dimensions of migration and related issues of care work and care deficits. A project on internal migration in China will focus specifically on the relationship between migration and health.

## Universalizing social policies

Despite a broad consensus on the values of universalism, for example, in the provision of basic infrastructure and services, including transportation, water and sanitation, basic health care and education for all, and in basic social security, strategies to achieve these goals are as diverse as historical experiences of social protection systems. Variation exists in terms of the role of the public and private sectors, mechanisms for mobilizing, allocating and redistributing resources, and the perceived impact of specific programmes on poverty and inequality. Why and how have some states successfully achieved universalism in social protection while others not? What makes a society move toward universalism? What role do targeted programmes play in the process of universalization? Moving beyond existing analyses of the welfare regimes of advanced countries, on the one hand, and the (often technical) dichotomization of universal and targeted approaches, on the other, the proposed research will examine successful and unsuccessful experiences of social protection. Dimensions examined will include expansion of coverage, the generosity of benefits and improvements in quality whether through universal or targeted interventions. A focus on the complementarities among welfare institutions, synergies between social protection and economic growth, and the continuity and change of institutional arrangements in moving toward universalism, will enable us to draw policy lessons particularly for developing countries.

## Macroeconomic policies, fiscal space and the financing of social policy

An appropriate macroeconomic environment and adequate fiscal resources are prerequisites for desirable social policies. A major gap in the literature concerns the relationship between *macroeconomic policies and social development*. A starting point for such research would be an analysis of public sector spending and social development in the wake of crisis. What role do social policies and investments play in promoting growth, economic stability, labour market functioning and social cohesion? What complementary macroeconomic policies most effectively contribute to social development goals? How can we assess the social, economic and often political costs of alternative social policies, drawing on historical and contemporary experiences? Likewise, little is known about the distributional and efficiency consequences of alternative mechanisms for mobilizing and allocating resources to finance social policy. Building on earlier research, a project on *financing social policy in times of crisis* will explore options and constraints for financing social policy in diverse country contexts under circumstances of fiscal stimulus and austerity.

## *Research theme 2: The politics and institutional dynamics of social development*

The second organizing theme of the research programme will focus on the political processes and institutional arrangements that foster positive social change. Research will examine the politics and processes through which state and non-state actors can deliver improved welfare outcomes to citizens. Social development requires effective and accountable states, institutionalization of rights, sustained public engagement, and types of politics that empower groups, such as the poor or those marginalized, for example, by ethnicity, to exercise influence in how policies are made and resources allocated. Policy reforms for effective states with progressive social agendas and active citizenship remain disappointing, often ignoring structural factors that reproduce inequalities in power relations, or neglecting informal kinds of mobilization and citizen action. What are the

possibilities for democratic developmental states with an active citizenry and enforceable social contract in the twenty-first century?

### Politics of domestic resource mobilization for social development

Linked to research (described above) on financing social policy, new research seeks to explore the conditions under which aid dependent countries can mobilize domestic resources to finance social development; changes in state-citizen and donor-recipient relations associated with the dynamics of resource mobilization and allocation; and governance reforms that can lead to improved and sustainable revenue yields and service provision. A context of constrained public finances intensifies contestation and competing claims over the mobilization and allocation of resources. How can states be held responsive to citizens, and how can citizens effectively make claims on the state to ensure that resources are mobilized and allocated for improved social outcomes? What is the role of political elites and emerging middle classes in developing progressive social contracts? What mediating structures, delivery and accountability mechanisms are needed to ensure the inclusion and representation of the poor or disadvantaged in such processes?

### Making claims: Participatory institutions, activism and empowerment

Ensuring resources are allocated for progressive social development purposes requires participatory mechanisms that enable citizens to deliberate over the provision of public goods and services. Does the creation of participatory institutions help improve access of the poor to public goods? Do such innovations allow subordinate groups to effectively assert political power and to positively challenge existing patterns of poverty and inequality? To what extent can such innovations be successfully replicated beyond their original context? A number of projects focus on dimensions of this topic, examining the nature of participatory institutions oriented to empowering disadvantaged and socially excluded groups, in order to highlight how some forms of institutional innovation can address the challenges of social inequality in developing countries while simultaneously contributing to democratic deepening.

*Making claims for gender equality.* One project will examine these questions specifically in relation to women. It will explore how and when claims for gender equality are facilitated by engagement with the state, by exploring the interface of institutional structures and political agency with regard to women's rights and entitlements in three broad areas: personal autonomy and bodily integrity; livelihoods; and welfare entitlements. What role have women's rights advocates played in lobbying for, and designing, policy responses; with what input from women's constituencies; through what kinds of alliances with other social movements, political parties and state agencies? What role have global ideas and legal conventions played in such processes?

*Global justice activism in times of crisis.* The changing nature of governance means that civil society actors interact with policy processes, exert claims and seek redress in diverse ways. These include protest, advocacy campaigns, lobbying, bargaining, participation in knowledge networks and policy dialogue, private standard-setting, and grievance procedures. Proposed research will examine if, and how, these different forms of activism and participation enable civil society actors to gain control and influence over resources and regulatory institutions in key issue areas related to food and land, social policy, corporate accountability and macroeconomic policy. Particular attention will be paid to examining the changing dynamics of global justice activism and participation in the context of the contemporary food and financial crises.

## Regulation, markets and corporate accountability

While the state remains a central actor in market and business regulation, and citizens and social movements are essential in claims-making and accountability, private actors—including NGOs and enterprises in the corporate and social sectors (such as water, health and education)—also play a significant role. What forms of regulation and accountability, involving which actors and mechanisms, are most effective from the perspective of social development? Two sets of issue areas are of particular interest. First, how should markets for essential services be organized and regulated, and made compatible with social goals of universal access? Attention here will focus on the situation in low-income countries where the commercialization of social services has expanded rapidly in contexts of weak regulation, with direct implications for access, affordability and the quality of essential services. Second, how can large corporate actors that wield significant market and political power across international borders, often with damaging social and environmental consequences, be held accountable to citizens and contribute to social development?

## *Special Events*

### Climate change as a social development issue—Conference, 2011

It is increasingly clear that neglect of the social pillar of the sustainable development agenda undermines the possibility of achieving its objectives. Furthermore, without a strong social focus, policies for addressing climate change or new initiatives around the “green economy” or green growth will fail to deliver development that is inclusive and sustainable. While the profound development implications of climate change are now well accepted, the major challenge remains one of framing the climate change debate as one in which human needs and security are central. This involves a shift from the dominant discourse that defines expertise, institutional location and possible solutions in scientific and technical terms, to one in which alternative and sustainable futures are built on individual and community capacities to create change. Appropriate policies for social development must be an integral component of such alternatives. A new initiative on the social dimensions of sustainable development and green economy will lead to a conference and outputs that inform the agenda for Rio+20, while also creating new research networks and defining an agenda for future research.

### UNRISD 50th Anniversary, 2013—50 Years of Social Development: Retrospect and Prospect

Activities leading to a major publication and event in 2013 will highlight 50 years of social development research and its impact within and beyond the United Nations system. A series of events will bring together leading thinkers and new researchers to review research findings and lessons from the past, and to reflect on innovations and evidence that suggest new pathways for the coming decades.

## **Communications and Influence**

**Objective 2:** UNRISD research is used by stakeholders within the United Nations system, academia and civil society, and influences policy and practice on social development and poverty reduction.

**Context.** In response to an increasingly crowded development information environment, rapidly evolving communication technologies, and with greater pressure from donors to demonstrate impact, UNRISD has prioritized the development of a new strategy for outreach and influence. The Institute has consistently worked to ensure that its research comes to the attention of key actors in the international development community in order to influence policy and advocacy, and to support evidence-based learning and knowledge sharing. It does so through a range of targeted outputs and mechanisms that are appropriate for different audiences (see Annex 2). UNRISD also provides all in-house publications, CD-Roms and selected copublications free of charge to almost 250 depository libraries (the majority in the South) and to major university libraries.

**Outcomes.** UNRISD will more effectively communicate its research to diverse stakeholders. Leveraging its strengths as a trusted source of independent, high-quality research, UNRISD will explore the use of new communication mechanisms and technologies, as appropriate, to raise its profile with key audiences and seek new channels for impact. It will continue to provide a bridge to the United Nations system for Southern voices. The 50th Anniversary Project will enhance recognition of the Institute and its work, and its contribution to social development thinking and policy.

**Activities.** In early 2011, UNRISD will undertake a strategic assessment and define new directions for its communications work. The outcome will be an innovative and creative approach to the use of varied channels for dissemination and influence. These could include (but not be limited to) more systematic inclusion of communications and influence strategies throughout all projects and in collaboration with local researchers and advocacy groups; improved branding of UNRISD outputs, including production of an UNRISD brochure; an upgraded web platform (by 2013); and partnerships with specialist media or communications organizations.

The 2011–2014 period offers a significant opportunity for UNRISD to influence global debates on poverty reduction and development strategies. Building on the 2010 report, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*, an accompanying series of policy briefs will be produced. UNRISD will strengthen its engagement with selected UN agencies and processes, disseminating its work through participation in regular UN activities and processes, including key events. It will develop closer relations with other UN agencies, regional commissions, and research and training institutions to enhance the impact of its work. Key processes and events during this period in which UNRISD will aim to play a significant role will include (i) the Rio+20 Summit on Sustainable Development, for which work on the social dimensions of sustainable development and the green economy will be produced; and (ii) the development of a post-MDG agenda for poverty reduction by 2015.

UNRISD will build on its already extensive research networks in North and South and identify key institutions with which more sustained research partnerships may be mutually beneficial. Deepening a number of research partnerships in the South will be a tool for increasing regional and national level knowledge sharing, as well as the influence of collaborative research. UNRISD will also aim to involve new, and particularly young, Southern researchers in its activities. We will continue to provide Southern researchers with an important platform for South-South knowledge sharing, as well as for engaging with UN and other knowledge and policy networks. UNRISD will encourage visiting scholars and will seek funding to provide Southern scholars with partial financial support for such visits.



## Financial Security

**Objective 3:** The institutional and financial stability and sustainability of UNRISD is secured through an increase in funding and diversification of funding sources.

**Context.** Like many similar institutions, UNRISD faces a difficult financial situation as traditional sources of funding are increasingly under pressure. The withdrawal or reduction of funding by core donors has reduced the total funding of the Institute in 2010–2011: reasons include budget cuts within governments, and policies of consolidating funding to UN agencies, generally resulting in smaller agencies being dropped. These processes are compounded by the increased competition for project support in the current environment. Measures to reduce costs have been adopted in response to falling revenues with reductions in staffing and activities. This affects research capacity for new project development, research and outreach activities, and for in-house editing and publications.

**Outcome.** A new fund-raising strategy leads to an increase in revenues and diversification of funding sources in order to improve the financial sustainability of the Institute. Revenues increase from a current level of approximately \$3.6 million at least to the pre-crisis level of over \$5 million.

**Activities.** Activities will involve the finalization of an UNRISD fundraising strategy during 2011 and its subsequent implementation. Efforts are being made to consolidate multi-year agreements with core donors; identify new sources of core funding from member states; and broaden the range of project and programme funders from whom UNRISD receives support.

## 4. IMPLEMENTATION, MONITORING AND EVALUATION

### Workplan

A detailed workplan will be developed annually. Activities and events depend on raising project funding, and will be finalized in consultation with the UNRISD Board, donors (through an annual meeting), and research partners and stakeholders, including other UN agencies.

### Implementation

A small research staff at UNRISD coordinates research projects in collaboration with scholars throughout the world. This enables the pursuit of multi-country and regional projects, with strong comparative dimensions and an emphasis on South-South and South-North knowledge sharing. Each project typically involves a consultative phase of project development; methodology and project design workshops; thematic and background research; quantitative or qualitative studies, data collection and analysis; and events for finalizing and disseminating outputs and engaging with relevant policy actors. A core Publications and Dissemination team at UNRISD ensures high-quality outputs and extensive dissemination of findings.

## **Annual review and reporting**

Indicators for monitoring are included in the log frame (Annex 3) and will be regularly reviewed. In addition to reports for donors, UNRISD produces detailed annual reports of its activities, together with a budget and workplan for the following year, which are presented to the Board at the annual Board meeting (generally in the first trimester of the year).

## **Evaluation**

An external institutional evaluation led by core donors takes place every few years. The next such evaluation is planned for 2013. Other evaluations of specific programmes of work may occur as requested by donors, while mid-term and final reviews of project and core funding activities are built into the workplan.

## Annex 1: UNRISD Thematic Areas and Proposed Research Projects and Events, 2010–2014

Key themes	Projects
<p><b>Social Policies for Inclusive Development</b></p> <p><i>Applications in progress 2010–2011</i></p>	<ul style="list-style-type: none"> <li>• Informal Economy, Social Policy and Gender</li> <li>• South-South Migration, Social Policy and Development</li> <li>• Migration and Health in China (<i>funded</i>)</li> <li>• Universalizing Social Policy in a Development Context: The case of the Republic of Korea (<i>funded</i>)</li> </ul>
<p><i>Applications being developed 2011–2012</i></p>	<ul style="list-style-type: none"> <li>• Financing Social Policy in Times of Crisis</li> <li>• Macroeconomic Policies, Public Spending and Social Development</li> <li>• Innovative Policy Alternatives for Social Development</li> </ul>
<p><b>Politics and Institutional Dynamics of Social Development</b></p> <p><i>Applications in progress 2010–2011</i></p>	<ul style="list-style-type: none"> <li>• Women's Claims-Making</li> <li>• Politics of Domestic Resource Mobilization</li> </ul>
<p><i>Applications being developed 2011–2012</i></p>	<ul style="list-style-type: none"> <li>• Participatory Institutions and Empowerment</li> <li>• Global Justice Activism in Times of Crisis</li> <li>• Regulation, Markets and Accountability</li> </ul>
<p><b>Special Events</b></p> <p>2011</p>	<ul style="list-style-type: none"> <li>• Climate Change and Sustainable Social Development (Conference)</li> </ul>
<p>2012–2013</p>	<ul style="list-style-type: none"> <li>• 50<sup>th</sup> Anniversary Events</li> </ul>

## Annex 2: UNRISD Communication and Outreach Mechanisms

Type	Approaches
<b>Academic communication channels</b>	<p><i>Share research findings within the academic community via:</i></p> <ul style="list-style-type: none"> <li>• conference presentations and seminars</li> <li>• journal articles and academic books</li> <li>• incorporating research findings into teaching and training programmes</li> <li>• research networks</li> </ul>
<b>Involving stakeholders directly</b>	<p><i>Engage stakeholders (government ministers, UN agency personnel, NGO activists, donors) in the research process through, for example:</i></p> <ul style="list-style-type: none"> <li>• advisory panels and review boards</li> <li>• participation in stakeholder workshops to present interim or final results</li> <li>• dialogues and debates around issues arising from the research</li> </ul>
<b>Translating research into more accessible formats</b>	<p><i>Convey research in accessible formats:</i></p> <ul style="list-style-type: none"> <li>• policy briefs and fact sheets</li> <li>• videos, podcasts</li> </ul>
<b>Electronic communication channels</b>	<p><i>Make research interim and final results available online via:</i></p> <ul style="list-style-type: none"> <li>• websites</li> <li>• email updates and e-newsletters</li> <li>• online discussion forums and blogs</li> <li>• podcasts and other forms of downloadable audio and video files</li> </ul>
<b>Communicating via knowledge multipliers and information intermediaries</b>	<p><i>Spread research findings indirectly via knowledge multipliers and information intermediaries, such as:</i></p> <ul style="list-style-type: none"> <li>• the media (radio, print and television)</li> <li>• specialist websites and other intermediaries that pool research from different sources</li> </ul>

## Annex 3: UNRISD Log Frame, 2011–2014

### *Purpose*

UNRISD was established in 1963 to create an autonomous space within the United Nations system for policy relevant research and dialogue on important social issues. Its enduring purpose over almost half a century has been **to exercise leadership within the United Nations system in generating knowledge and articulating policy alternatives on contemporary social development issues**. In doing so, it contributes to the broader goals of the United Nations system of reducing poverty, advancing the well-being of individuals, and creating more equitable and just societies.

### *Strategy 2011–2014*

**The overall objective for the Institute for the period 2011–2014 is to generate knowledge and articulate policy alternatives for addressing urgent social development and poverty reduction challenges in the current context of crisis and uncertainty.**

To achieve this overall objective, UNRISD must

- undertake innovative research and produce new findings to address contemporary social development problems;
- increase the recognition and use of its research by stakeholders within the United Nations system, the donor community, academia and civil society in order to influence policy and practice; and
- secure the long-term financial stability of the Institute through diversification of sources and an increase in core and project funding.

<b>Specific Objective # 1:</b>				
<b>Knowledge generated through UNRISD research contributes to a better understanding of, and greater pluralism in approaches to, contemporary social development and poverty reduction challenges</b>				
<b>Outputs</b>	<b>Outcomes</b>	<b>Performance indicators</b>	<b>Means of verification</b>	<b>Assumptions</b>
<p>Research projects implemented through multi-country research teams</p> <p>Findings presented in research reports, working papers and other publications</p> <p>Academic publications include peer reviewed journals</p> <p>Project publications include work of Southern authors/ partners</p>	<p>1.1 Collaborative research teams successfully undertake multi-country comparative studies</p> <p>1.2 Southern perspectives are incorporated in UNRISD research</p> <p>1.3 UNRISD research maintains high quality</p> <p>1.4 Research outputs contribute to debates on alternative development paths</p> <p>1.5 A post-MDG poverty reduction agenda reflects UNRISD research on the centrality of social issues</p>	<p>Number of researchers and institutions involved in research projects</p> <p>Number of researchers from the global South</p> <p>Number of publications from UNRISD projects</p> <p>Number of UNRISD publications by Southern research partners</p> <p>Number of peer reviewed journal articles</p> <p>Number of citations of UNRISD publications</p> <p>Number of UNRISD publications reviewed in journals</p> <p>UNRISD research referenced in key reports on MDGs</p>	<p>List of researchers—by location, gender, and project (numerical)</p> <p>List of researchers from the Global South (numerical)</p> <p>List/type of publications and numerical count.</p> <p>List/number of UNRISD publications by Southern research partners</p> <p>Citations index tracking</p> <p>Tracking of reviews in key journals</p> <p>Number of references to UNRISD work in selected MDG reports and documents</p>	<p>Human resource availability for data collection and analysis</p> <p>Citations tracking covers types of publications where UNRISD is cited</p> <p>Human resources for review of key UN MDG Documents</p>
<p>Research outputs, including:</p> <p>reports</p> <p>working papers</p> <p>edited volumes</p> <p>peer reviewed articles</p> <p>journal issues</p> <p>policy briefs</p>	<p><i>1.6 Theme 1:</i> UNRISD Research leads to a better understanding of the contribution of social policies to inclusive and sustainable development</p> <p><i>1.7 Theme 2:</i> Political processes, involving state, social movements and citizens, are better understood as crucial dimensions of poverty reduction and social development.</p>	<p>Number of publications from UNRISD projects</p> <p>Number of peer reviewed journal articles</p> <p>Number of citations of UNRISD publications</p>	<p>List/type of publications and numerical count (by type)</p> <p>Citations index tracking</p>	<p>Citations tracking covers types of publications where UNRISD is cited</p>

<b>Specific Objective # 2:</b>				
<b>UNRISD research is used by stakeholders within the United Nations system, academia and civil society, and influences policy and practice on social development and poverty reduction</b>				
<b>Outputs</b>	<b>Outcomes</b>	<b>Performance indicators</b>	<b>Means of verification</b>	<b>Assumptions</b>
UNRISD communication strategy Research findings are communicated through diverse mechanisms	2.1 Communications strategy is developed and approved by Board 2.2 Improved effectiveness of communication with intended audiences	Document finalized and approved Monitoring indicators to be set in strategy	Board report As indicated in strategy Evaluation by donors	Adequate funding and human resources available to implement new strategy
Policy briefs and other publications aimed at UN and policy community UNRISD poverty report and related outputs is promoted globally Participation in UN processes and events Contributions to UN documents and publications Participation in MDG Summit events	<i>Influence in UN and on MDGs:</i> 2.3 Increased awareness of and reference to UNRISD research in policy dialogues and documents on social development and poverty reduction 2.4 Relevant flagship reports of UN agencies incorporate UNRISD research 2.5 UNRISD research on poverty informs debates on formulation of post MDG agenda	Number of policy briefs Number of citations in selected UN documents and reports UNRISD participation in UN events/committees Requests to provide inputs or advisory services to UN agencies UNRISD research incorporated in key UN documents on MDGs	Citations tracking of selected key publications (software and manual) Records of invitations to/participation in events Record of requests for advisory work by UN Review of selected key documents	Availability of human resources/funding Systems put in place for recording and aggregating information

<b>Specific Objective # 2:</b>				
<b>UNRISD research is used by stakeholders within the United Nations system, academia and civil society, and influences policy and practice on social development and poverty reduction</b>				
<b>Outputs</b>	<b>Outcomes</b>	<b>Performance indicators</b>	<b>Means of verification</b>	<b>Assumptions</b>
<p>Publications in peer reviewed journals</p> <p>Research/events undertaken in partnership with academic institutions</p> <p>Events/projects using calls for papers</p> <p>Organization of events jointly with Southern institutions</p>	<p><i>Academic influence</i></p> <p>2.6 Academic community is aware of and uses UNRISD research</p> <p>2.7 Researchers and institutes (esp. in South) engage in UNRISD research and activities</p> <p>2.8 Partnerships with key Southern research institutions are strengthened</p>	<p>Citations of UNRISD work</p> <p>Number of research partners</p> <p>Number of Southern participants in events</p> <p>Number of visiting researchers</p> <p>Number of events co-organized with Southern institutions</p>	<p>Use of citations index (e.g., SSCI) for tracking</p> <p>Administrative records</p> <p>Administrative records</p>	<p>Citations index captures many of places where UNRISD work is cited</p> <p>Availability of human resources/funding</p>
<p>Research papers, policy briefs and outputs</p> <p>Events held in collaboration with or participation of NGOs</p>	<p><i>Civil society influence</i></p> <p>2.9 Increased reflection of UNRISD research in activities of select NGOs</p> <p>2.10 UNRISD research priorities informed by NGOs working in relevant fields</p> <p>2.11 Partnerships with NGOs established in communications</p>	<p>Regular (annual if possible) survey of selected NGOs</p> <p>Participation of NGO members in UNRISD events</p> <p>Number of invitations to advise or participate in NGO activities</p>	<p>Survey of limited number of select NGOs</p> <p>Administrative records</p> <p>Record keeping by relevant staff.</p>	<p>Human resources available to implement survey; adequate survey response received.</p>
<p>Special events organized including 50<sup>th</sup> Anniversary Conference and publication 2013</p> <p>Innovative communications methods used to promote events and research</p>	<p>2.12 Active participation of diverse target audiences in UNRISD organized events/conferences</p> <p>2.13 50<sup>th</sup> anniversary and other events raise visibility of UNRISD research among diverse audiences</p>	<p>Participants in events (including 50<sup>th</sup> Anniversary event)</p> <p>Surveys of event participants</p>	<p>UNRISD administrative records of events (participants by location, organization etc.)</p> <p>Surveys of participants</p>	<p>Human resource availability and response rate of survey participants</p>



<b>Specific Objective # 3: The institutional and financial stability and sustainability of UNRISD is secured through an increase in funding and diversification of funding sources</b>				
<b>Outputs</b>	<b>Outcomes</b>	<b>Performance indicators</b>	<b>Means of verification</b>	<b>Assumptions</b>
Donor funding strategy finalized	3.1 Short term outcome: funding strategy is approved by Board (2011)	Approval of donor strategy	Board report	
Implementation and regular review of donor strategy Donor meeting is held annually (linked to other event or Board meeting) Applications are made to additional donors for core funding Relations developed with new donors	3.2 Increased number of core funders providing multiyear funding agreements 3.3 Increased share of contribution from current smaller core funders 3.4 Increase number of donors providing core funding 3.5 Core funding returns to 2008 levels before increasing	Activities defined in donor strategy undertaken Amount of funding received Increase in number of funders Increased number of multi-year funding agreements	Annual progress report Internal records Annual financial reports	External funding environment improves UNRISD research in line with donor priorities Donors support northern based international orgs
Project proposals drafted and applications submitted for project funding Applications submitted jointly with or to other UN agencies	3.6 Project funding increases as share of total institutional revenues 3.7 Project funding received from new donors 3.8 Increase in funding obtained through other UN agencies	Amount of project funding New project donors Joint projects with UN	Internal records Annual reports	Sufficient core funding to leverage project funds

UNRISD was established in 1963 as an autonomous space within the UN system for the conduct of policy-relevant, cutting-edge research on social development that is pertinent to the work of the United Nations Secretariat; regional commissions and specialized agencies; and national institutions.

Our mission is to generate knowledge and articulate policy alternatives on contemporary social development issues, thereby contributing to the broader goals of the UN system of reducing poverty and inequality, advancing well-being and rights, and creating more democratic and just societies.