

EVALUATION

Chr. Michelsen Institute

Evaluation of its activities
1997-2006



Norges forskningsråd

The Research Council of Norway

Chr. Michelsen Institute

*Evaluation of its activities 1997-
2006*

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To The Research Council of Norway

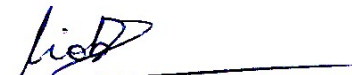
The evaluation committee presents with these the evaluation report for Chr. Michelsens Institute.

The evaluation is a part of the Councils work with the institutes, and is the second evaluation of CMI. The first evaluation was made in 1997.


We hope that the report will be helpful for CMI, The Research Council, The department for foreign affairs/NORAD and others.



Göran Hydén
chair



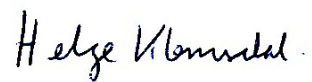
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EXECUTIVE SUMMARY

The purpose of this evaluation, which is part of the Research Council's regular review of research institutes, is to assess what progress Chr. Michelsen Institute (CMI) has made since the last evaluation in 1997 and how it compares in an international perspective.

It is based on interviews at CMI with board members, management, researchers and staff in charge of the library and the IT services, examination and analysis of a cross-section of its publications, and feedback from peers, partners, and users of the Institute's services. The evaluation was conducted between February and December 2006.

The report begins by discussing the shifting context in which development research institutes like CMI operate and how well it has responded to the challenges posed by these changes. It continues by examining how it has managed its resources over the past five years. Next is an overview of the institutional partnerships that CMI has developed and continues to maintain. The main part of the evaluation is devoted to an assessment of its strategic institute programs. It is followed by an analysis of the Institute's output and in the final substantive section an assessment of its impact. The report ends with conclusions and recommendations.

The conclusion of this evaluation is quite positive. CMI has responded very well to the concerns expressed in the 1997 evaluation, which together with the Institute's own strategy document – "Growth and Quality" – from 2001 has constituted the baseline for this assessment. Its leadership has dealt with new challenges in a constructive fashion. It has diversified and increased its sources of funding. It maintains a healthy balance between income from commissioned work and money obtained from the Government and the Research Council for other forms of research. It has strengthened its professional ranks by increasingly hiring only staff with a Ph.D. degree. Its library is a tremendous resource for the institute as well as a variety of external users. Its IT staff provides very important services to management as well as individual researchers.

The overall assessment of the strategic institute programs, when assessed in terms of (a) scientific quality, (b) policy relevance, (c) communications, (d) capacity-building, and (e) outreach in the South, is that a majority are performing at a very high international level while a few others have not done so well. Nonetheless, CMI has a broad general competence that covers areas like human rights and democratization, public sector reform, poverty and development. It has a more specialized competence in key aspects of governance as well as in specific areas like Southern and Eastern Africa and Palestine. What has been achieved in the past ten years has certainly helped lay the foundation for the new 2006-2010 strategy titled "Research for Development and Justice".

Institute output contains an impressive variety of publications. They include articles in international peer-reviewed journals, client reports and a large number of internal reports and working papers published by the Institute. Special mention should be made of the CMI Briefs which are compressed analytical reports derived from lengthier documents and aimed at members of the policy community. Its annual reports have also become useful means of sharing interesting information with the public. There is convincing evidence that CMI staff have made an impact on fellow academics who cite their research, on partners in

the North and the South who praise their work and what they have learnt from it as well as users who generally express great appreciation of the quality and relevance of the services that the institute provides. In all, CMI performs at a high and respectable international level.

These accolades notwithstanding, there is room for improvement. This report ends with attention to five challenges that CMI faces as it moves forward: (1) linking research to policy in more effective ways, (2) identifying and implementing what is strategic in its programs, (3) ensuring a balance between interdisciplinarity and disciplinarity in its research, (4) improving the dissemination of its research findings, and (5) continue building stronger capacity both in-house and among partners in the South. A number of specific recommendations are included under each of these five headings.

1. INTRODUCTION

Purpose of the Evaluation

Like other similar evaluations, including the last assessment of Chr. Michelsen Institute in 1997, the purpose of this exercise is, according to the terms of reference "to present as accurate a picture as possible of the institute, based on an assessment of its quality and relevance." With this in mind, the evaluators should provide the institute with input and advice with regard to its strategic focus and priority setting in order to help strengthening its work in key areas. Because the Research Council is placing growing emphasis on making the Norwegian research community more attractive to international scientists, investors, and policy-oriented institutions this evaluation is specifically charged with assessing the institute "against international standards and the status of the international research front."

Against this background, the evaluation should cover the following aspects of the institute's work:

- The quality of its research and the balance between commissioned and basic research;
- The relevance of this research to policy debates in Norway, international organizations, and Norwegian partner countries;
- Dissemination of its research to users in Norway and internationally;
- Cooperation with the broader institutional sector and universities in Norway;
- Organizational quality and strength and the cost effectiveness in its management of resources;
- International research cooperation and networks, including its participation in large scale research programs and international conferences;
- The library function and its value to the academic sector, government agencies, development practitioners, and the public.

This evaluation is asked to take a ten-year perspective in its assessment, drawing in particular on the recommendations of the last evaluation that was concluded in 1997. The main part of the evaluation, however, is expected to look at the past five years (2001-06), especially with regard to the assessment of professional profile, quality, relevance, and productivity.

Use of the Evaluation

In addition to assisting the Chr. Michelsen Institute, this evaluation report is meant to serve as an advisory tool to government agencies in Norway, notably the Ministry of Foreign Affairs, NORAD and the Research Council. It will also be shared with partner institutions in Norway and elsewhere, which have been asked to provide inputs into this evaluation. Furthermore, it is intended to feed into a broader evaluation of Norwegian development research that is being carried out concurrently with this exercise but has a timeline stretching into mid-2007.

Composition of the Evaluation Team

The evaluation has been carried out by the following persons appointed by the Research Council:

Dr Göran Hydén, Distinguished Professor, Department of Political Science, University of Florida (Chair)

Dr Karin Dokken, Associate Professor, Department of Political Science, University of Oslo

Dr Cyril Obi, Program Coordinator, Nordic Africa Institute, Uppsala, Sweden

Dr Sidsel Roalkvam, Associate Professor, Diakonhjemmet University College, Oslo.

Dr Ragnhild Lund of the Norwegian University of Science and Technology, Trondheim had also been appointed to serve on the team but had to step down for personal reasons in the early phase of the exercise.

In the absence of Dr Lund, the Team relied on Professor Arne Bigsten, University of Göteborg to help provide an assessment of the work done by the economists at CMI.

Ms Yun Hyun-Yung, a graduate student in the Department of Political Science at the University of Florida, checked the Social Science Citation Index for the evaluation.

Ms Anne Fikkan of Hjelle Executive, Oslo, compiled the results of a survey of users.

Helge Klemsdal and Elin Vikane of the Research Council served as excellent back-up assistants to the team and as administrators of the project.

Methods

The evaluation centers on two basic questions: (1) how much has CMI progressed since the last evaluation? and (2) how does it fare against a set of international criteria and standards?

In order to find answers to the first question the Team has used the recommendations in the 1997 evaluation report as its baseline. For an assessment of the achievements in the past five years, it has relied primarily on the 2001 Strategy document entitled "Growth and Quality" (*Vekst og Kvalitet*), which sets out specific objectives for the period covered in this report. Information has been gathered through two separate exercises: a self-study report by the Institute and interviews with management and staff at CMI in Bergen. The latter took place at two occasions. The first was a two-day visit by the whole team on May 29-30. The second was a follow-up visit on August 16 by the team's chairperson. In all, the Team met five times during 2006, including a final meeting for the purpose of presenting the report to the Chr. Michelsen Institute on December 18.

The Team has taken seriously the charge that the Institute should be evaluated against international standards. To make it as fair and transparent as possible the Team has adopted an evaluation scheme that is an adaptation of the criteria used by the Research Council to assess individual research proposals. The details are laid out in Section 5 where the Institute's strategic programs are evaluated. To get a sense of how much impact

individual CMI researchers have in the international research community, the Team has also checked how many times during the past five years their names are quoted according to the Social Science Citation Index. The Team has also consulted peers and partners familiar with the work of the Institute and conducted a special survey with clients and users of CMI's services. In accordance with Norwegian Research Council practice, the Institute has been able to comment on a first draft of the report to check for accuracy and submit complementary information, if necessary. The final report reflects the Team's response to this submission.

The report is written in such a way that it discusses facts in an analytical and evaluative mode without distorting them. To lighten up the text we have also used graphic illustrations and tables, wherever relevant, to make our points. At the end of each section is a summary box of main observations that point to the Team's conclusions and recommendations.

The Team, finally, wishes to express its great appreciation of the preparatory work and assistance provided by CMI management and staff despite many other pressing obligations.

Organization of the Report

The next section of the report is an account of the context in which CMI operates. The Team believes that it is important to describe in some detail and pay attention to the changes that have taken place or are taking place right now that affect the Institute one way or the other, positively or negatively. More specifically it looks at the changing perceptions of development and its implications for development research, the reorientation that is taking place within primary user organizations, the liberalization of the international tender market, and the new granting scheme of the institute sector that is currently under consideration in Norway.

The third section begins with an account of CMI's own strategic planning aimed at dealing with constraints and opportunities in its operating environment and continues with an assessment of how well it has managed its own resources, focusing on finances, personnel, information, and infrastructure.

The fourth section discusses the Institute's interaction with other institutions in Norway and elsewhere. It looks at cooperation with university institutions in Norway and other countries, its partnership with other private or public research institutes as well as more informal and often personal networks in which the institute researchers participate.

The fifth section constitutes the assessment of CMI's areas of competence and strategic programs over the past five years and a discussion of the new strategy document that has just been approved by the Board and its proposed new programs. This assessment is carried out with regard to research quality, programmatic relevance, dissemination strategy, capacity-building effort, and outreach in the South.

Section Six deals with Institute output. This assessment transcends specific program boundaries and takes into consideration all the various forms of dissemination that have

been used: peer-reviewed articles, monographs, edited book volumes, reports, papers, briefs and the use of CMI's own home page.

Section Seven focuses on the impact that the various research activities of the Institute have had on users, clients and peers. More specifically it looks at CMI's impact in three separate realms: (a) the academic, (b) policy, and (c) public realm.

The final section contains the conclusions and recommendations that the Team wishes to share with CMI and its principal funders and users.

A graphic summary of how the logic behind the report looks like this:

Figure 1.1. Logic and Organization of the Report

Context→Management→Partnerships→Performance→Output→Impact→Conclusion

2. THE CHANGING CONTEXT

CMI as Development Research Institute

Being the "grand old lady" of development research institutes not only in Norway but in the Nordic countries as well, it has a long experience of dealing with the challenges that stem from continuous changes in its operational environment. Set up originally in 1930 as a result of a testimonial donation by Christian Michelsen, the country's first Prime Minister after the break-up of the Union with Sweden in 1905, its charge has been to serve as a free and independent institute devoted to research both within the humanities and natural sciences. Michelsen's brief also included an important passage that the Institute should devote its resources to "work for the promotion of tolerance and forbearance between nations and races, in religious, social, economic and political life." This served as the justification for the establishment in the early 1960s of a focus on development research.

The Development Economics Research and Advisory Project (DERAP) was officially started in 1965 by Just Faaland and Stein Rokkan as an integral part of the then Department of Humanities and Social Sciences. Renamed the Development Research and Action Programme (still DERAP) in 1976, it continued to be the core activity of the Institute's work in the social sciences until 1987. The resignation of the then Director of DERAP, Just Faaland, paved the way for a reformulation of the program in directions that are continuing today. The only other milestone in the Institute's organizational history is the separation in 1992 of the two departments of Natural Science and Technology, on the one hand, and of Humanities and Social Sciences, on the other. While the former was turned into an applied technology institute, the latter now became an institute devoted solely to development research, commissioned as well as independent.

In this first section, an attempt will be made to discuss the main features of the environment in which CMI has evolved as a development research institute. Development itself is a "moving target". Trying to be relevant or finding issues at the research frontier, therefore, requires constant monitoring and adjustment of the research organization. Funding agencies shift their priorities in line with re-conceptualizations of development. Their reorientation becomes another factor that development research institutes like CMI have to adjust to. With growing liberalization of the tender market in the past ten years, the operational conditions for CMI have changed in at least two important respects: (a) new opportunities for funding outside Norway have grown, and (b) competition for contracts has sharpened. Finally, with a stronger emphasis on performance-based funding in Norwegian government circles, plans are under way to change the formula for financing the institute sector in the country. All these factors have a direct bearing on how CMI conducts its affairs. It provides the context in which the Team pursues its evaluation.

Shifting Perceptions of Development

"Development" as a key concept has now been applied in the international arena for half a century. Development of yesteryear, however, is not necessarily the same as development today. There have been significant shifts in the way the concept has been applied over

these fifty years. Development is a moving target, constantly generating demands for new approaches and responses. The report offers what amounts to only a brief sketch of the principal trends, but some understanding of these is important in order to place CMI's own performance over time in its proper context.

It is possible to identify at least four distinct ways by which the international community has attempted to make operational sense of development. The Norwegian debate very much reflects the shifts that have taken place. The initial tack goes back to the Marshall Plan and the attempts to use Keynesian ideas to pump-prime economic development in the poorer regions of the world through transfer of capital and technical expertise. This philosophy prevailed in the early 1960s when Chr. Michelsen Institute launched its first programs – the Development Economics Research and Advisory Project (DERAP). It was also in this environment that the field of *development economics* was born. Defined largely in technocratic terms, development was operationalized with little or not attention to historical context. The principal task was to ensure that institutions and techniques that had proved successful in modernizing the Western world could be replicated. The operational effort concentrated on developing comprehensive national development plans in which specific programs and projects would be carried out. Projects took on special significance. They constituted the means by which macro-level goals could be realized. Good project design was seen as key to success. During this first phase of operationalizing development, which lasted through much of the 1960s, the *project* level was regarded as the most important. Project design was the prerogative of technical experts who carried out their work on behalf of potential beneficiaries. Development, then, was a top-down exercise by public agencies *for the people*.

The second phase began in earnest in the early 1970s when analysts and practitioners recognized that a sole focus on projects in the context of national planning was inadequate. Projects had proved to be enclave types of intervention with little or no positive externalities. For example, evaluations confirmed the absence of meaningful backward and forward linkages in this type of intervention. Convinced that something else had to be done to reach the poor, the international community turned to a sector approach, in which the area-based *program* became the preferred modality of support. These integrated programs would address a much broader range of human needs than individual projects ever were able to do. Particularly prominent in these programs was the emphasis on training and education. Human capital was deemed as more important than physical capital. Development was viewed as being *of the people*.

The third phase began in the 1980s and was in many respects a more radical break than the previous one. It had become increasingly clear after the first two decades of international development efforts that the state in many countries, not the least in Africa, lacked the capacity to administer the heavy development burden that had been placed on its shoulders. As analysts went back to the drawing boards, the challenge was no longer how to manage or administer development as much as it was identifying the incentives that may facilitate it. The institutional mix between state and market had to be altered. This called for a clearer focus on *policy* reform. The two primary international finance institutions – the International Monetary Fund and the World Bank – took the lead in this reform effort that created such notions as "structural adjustment", "financial stabilization", and so forth. Although most discussion of structural adjustment and other accompanying interventions focused on their social consequences for ordinary citizens, these reforms that gave the market an increasingly important role in allocating resources and services also created new

opportunities for entrepreneurial individuals. The private and voluntary sectors that had been neglected in previous phases began to flourish. People were no longer targets of development policies but rather partners that could be induced to make a difference for themselves and their country. This time the perception of development changed to being an exercise done *with the people*.

The fourth phase, which began in the early part of the 1990s, is characterized by a growing recognition that development is not only about projects, programs, and policies but also about *politics*. For a long time, politics and development were seen as two separate and distinct activities. Development analysts, especially economists, preferred to treat development as an apolitical activity. Politics tended to be treated as a matter of national sovereignty by the international donors who had earlier refrained from placing political conditions on their assistance. Beginning in the 1990s, this changed as aid recipients were being told that they had to adhere to an international "good governance" agenda, if they were to receive additional funds. This agenda included many components but the bottom line was the respect for individual human rights and the possibility for ordinary citizens to play a greater role not only in development but also in political affairs. In this most recent phase development is no longer seen as a benevolent top-down exercise, not even a charitable act by nongovernmental organizations, but instead as a bottom-up process, in which development is the result of things done *by the people* themselves.

These shifts are summarized in the table below:

Table 2.1. Shifts in development focus and emphasis in the past fifty years.

Period	Focus	Emphasis
1950s-1960s	Project	For the people
1960s-1970s	Program	Of the people
1980s-1990s	Policy	With the people
1990s-present	Politics	By the people

Reorientations among Users

The shifts in perceptions and operationalization of development discussed above are to a large extent the result of initiatives by international development agencies. In the early periods, the Swedish International Development Cooperation Agency (Sida) tended to be a trendsetter at least among European donors. In recent years, this role has been played by multilateral bodies like the World Bank.

These changes in perceptions, however, have also reshaped the orientation and operations of the agencies themselves. They have set the new agenda but they have also had to adjust to it. They have undergone a constant reorganization in response to these changes. Norway is not the only case in point.

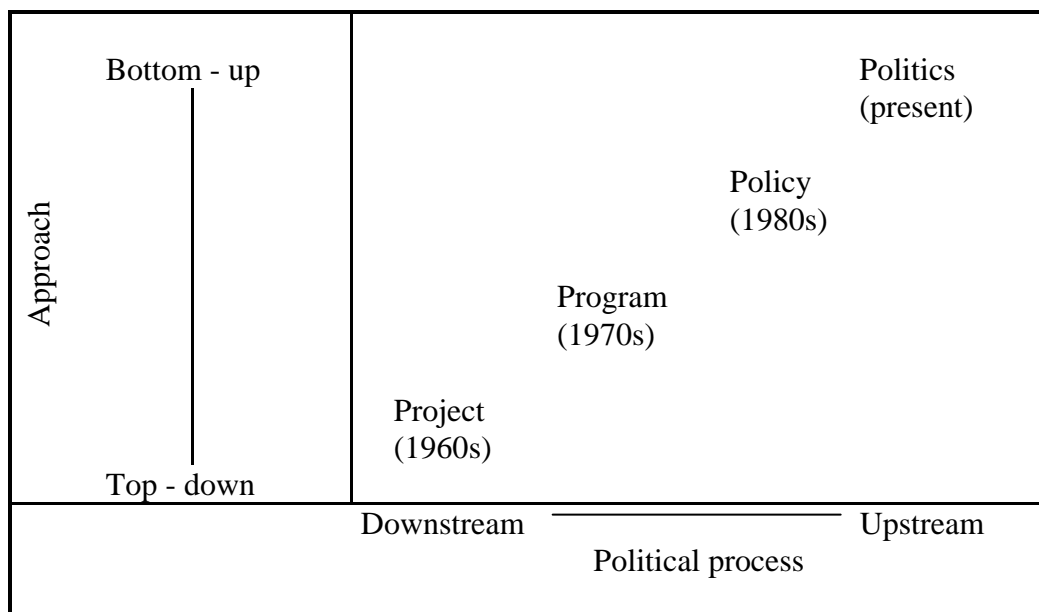
Two changes are of special relevance here because they have repercussions for the funding of institutes like CMI. The first relates to the shift away from project via program and

policy to politics. Development aid agencies in the first two phases relied primarily on a strong centralized organization that provided specialist advice within specific projects or programs. Development research in those days was "hands-on" and focused on how to improve agricultural or fisheries productivity, expanding educational opportunities or access to primary health care, and so on. Research was interpreted as an instrument of solving specific problems. With a growing focus on policy and more recently on politics, macro-economists and generalists, often with a background in anthropology, law or political science, have become more salient in the development research field. They provide advice not so much on solving specific problems but on contextual issues that are important to understand and consider if foreign aid is going to be effectively used. Political issues have become central to development research.

The second change follows from this first transformation. Realizing the change, donor governments have increasingly subsumed development cooperation under their political and diplomatic operations. Thus, the aid agencies are increasingly becoming think tanks serving the ministries of foreign affairs. Their focus is on policy and politics rather than projects and programs. They no longer have any field staff and prefer to contract much of what they do to private institutes. An agency like NORAD no longer handles money but is expected to serve as a "think tank" for the ministry of Foreign Affairs. Related to this reorientation is the tendency for donor governments to delegate greater responsibility to individual embassies to administer the aid and monitor what is happening on the ground. These embassies are increasingly becoming clients interested in buying the services of development research institutes like CMI.

These changes are summarized in Figure 2.1. which shows how donor agencies have increasingly moved toward the upstream point in the policy process and have embraced the importance of a bottom-up rather than a top-down approach to development manifest in such rhetoric as "stakeholder ownership".

Figure 2.1. Reorientations within the donor community since the 1960s.



Liberalization of Tender Market

Commissioned research has become increasingly open for competition not just within individual countries but also internationally. While indigenous institutions may still have an advantage for such reasons as language proficiency, consulting companies and development research institutes are increasingly competing in a transnational environment. Not only do they establish new forms of collaboration in order to enhance their chance of winning a tender, but they also engage in more competitive interactions. This is an important aspect of the internationalization that is already taking place and the Research Council wishes Norwegian institutions will embrace. It wishes to see CMI and other Norwegian institutes successfully compete with the likes of the Institute for Development Studies at Sussex, COWI Consulting Co, and North American universities like Indiana that bid on development research tenders. There is also an expectation that Norwegian research institutes will become more successful in landing grants from the European Union. For the individual research institute in Norway this change in the tender market means that it has to become more competent, not only in professional terms but also with regard to knowing what kind of opportunities the tender market offers. This is a change that not all research institutes appreciate, because it means spending more time on writing project proposals for funding under conditions in which the success rate is harder to sustain.

Changes in Funding the Institute Sector

The fourth change in the operational context of the development research institutes refers to the new scheme for funding these institutions in the future. They have in the past relied on a combination of core grants and research grants that have been given through the Research Councils for strategic programs of special interest to the Government of Norway. The new scheme, which is currently under consideration but expected to become policy in the near future, proposes a performance-based core grant that shall include most of what is covered by the core grant plus strategic program funding today. A part of the future core grant will be subject to a yearly competitive assessment. In addition, there will be possibilities for strategic projects that cover special topics or areas of knowledge for which government departments and/or the Research Council seeks competence in the institute sector.

Summary of Main Observations:

- Because perceptions of development are subject to shifts on a regular basis, the research frontier for institutes like CMI is constantly in need of redefinition.
- Funding priorities among donors have shifted towards a greater interest in political issues and the upstream part of the policy process.
- With liberalization of the tender market and a greater emphasis on performance-based financing of the institute sector, the conditions for CMI keep changing in the direction of more competition for resources.

3. MANAGEMENT OF RESOURCES

Strategic Planning

Strategic planning and management imply the adoption of a long term perspective and the ability to set goals that provide a sense of direction but are at the same time subject to constant re-evaluation in the light of changing circumstances. The CMI leadership is aware of the importance of acting in this manner. Drawing on CMI's own self-study for this evaluation, the Team has identified five major challenges facing the Institute in its operations:

- Being able to keep up with the shifting perceptions of development
- Finding a viable balance between commissioned and independent research
- Combining disciplinary competence with demands for interdisciplinarity
- Seizing the opportunities in the competitive market place
- Creating visibility in an environment crowded with a growing number of actors

These are issues that cut across individual programs and encompass other aspects of management. It is appropriate therefore, that each is discussed here at some length to set the stage for the subsequent discussion.

a) Keeping up with Shifting Perceptions

It is fair to say that in recent years, the Institute leadership has been able to read and respond to changes in the environment quite well. There has been no crisis or major break in the development of the Institute's program effort. The alterations made in response to changes in the environment have been pursued in a consensual and well-executed fashion. Thus, CMI has gradually shifted its own core toward political issues. It has invested in research that allows researchers to focus on issues that lie at the research frontier in the discipline of political science and related fields like economics, law and anthropology and also are of increasing concern to users of this research.

This scenario stands in contrast with the more turbulent developments of the late 1980s when DERAP was axed and the current program focus began to take shape. A review commissioned by the Ministry of Development Cooperation, the principal funder, in 1987 called into question what had for a long time been considered CMI's comparative strength: its ability to work in practical policy positions in developing countries offering economic advice to planners and policy-makers. This had indeed been its strength in the 1960s and 1970s when project and program development took place under the auspices of a centralized system of planning, but its rationale had weakened in the 1980s when the international community shifted its view of development toward reliance on the market as the mechanism for allocating resources. Instead of being at the frontier, CMI was increasingly left behind in the 1980s. The issue that really brought an end to the DERAP model was the issue of effects of long-term non-academic assignments abroad that had been such a prominent part of the approach. The 1987 review concluded that these stood in the way of continued research competence in the Institute. If it really valued the latter, it had to abandon the extensive stays abroad in positions that were purely advisory. The Board's decision in 1987 was to secure its future as first and foremost a development *research* institute.

b) Commissioned versus Independent Research

The 1987 review identified two other important issues: (1) CMI should no longer remain as heavily dependent on the Ministry of Development Cooperation, and (2) the latter should adopt a longer term perspective on research and broaden its notion of what "relevant" research is. This set of issues has not been resolved in a conclusive fashion – and probably never will. Questions are still being raised in CMI and the research community at large how much appreciation policy analysts and administrators in government ministries have of research – even the one that they commission. This is not unique to Norway but one researchers encounter elsewhere too.

The Institute's dependence on the Ministry (nowadays the Ministry of Foreign Affairs) as well as NORAD continues but it is not an issue in the same fashion that the 1987 review saw it. CMI continues to receive a special allocation from the Ministry of Foreign Affairs every year that comes out of its general funding for development research. It continues to have close personal contacts with individual officials in the ministry and NORAD, where a few top officials are former CMI employees. The Government, on its part, has embarked on an exercise that is meant to reduce the "corporatist" character of the relations it has had with the institute sector. Notable among these is the introduction of competitive bidding for its framework agreements with the development research community. A proposal is also under consideration to introduce a performance-based component in any future core grant support of the institutes. Thus, the Government is trying to tilt the balance in favor of a more competitive arrangement without abandoning its responsibility to provide longer term funding that reduces the dependence that institutes otherwise would have on commissioned research only.

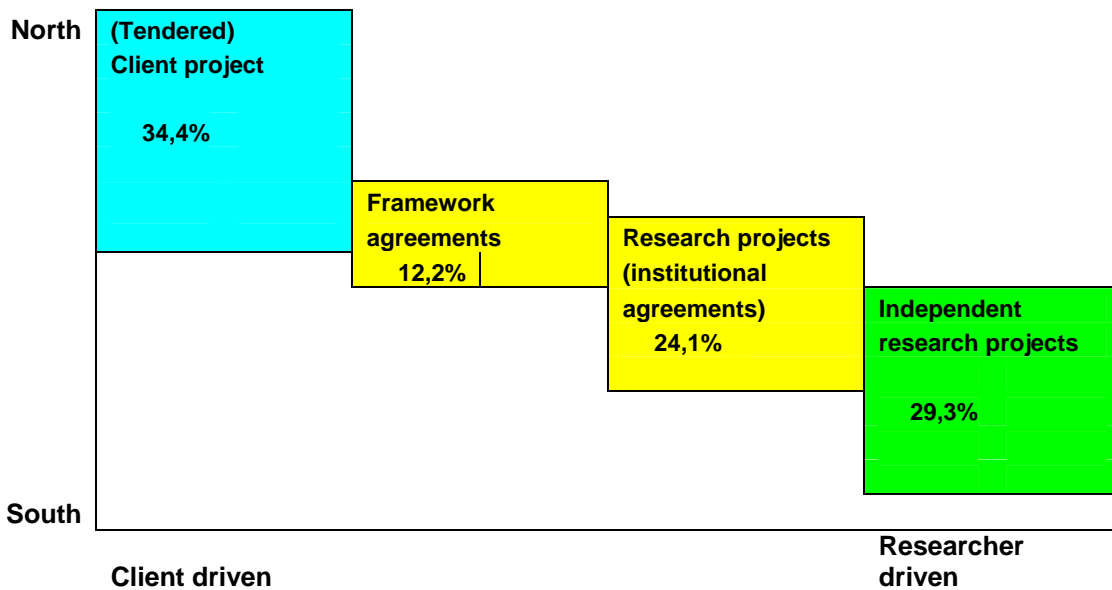
CMI is strategically well placed to deal with the current and anticipated challenges. It maintains a viable balance between commissioned and independent research. It uses strategic program funding through the Research Council as well as its own money to carry out research projects that have a value of their own – as instruments of capacity building as well as generators of new and important knowledge. The most important information about its performance in the past five years which is further discussed in sub-section d, is:

- The core grant from the Ministry of Foreign Affairs constitutes approximately 20 per cent of the total income during this period;
- Revenue earned from MFA and NORAD has grown in absolute terms but its share of total income has remained roughly the same – 35 per cent – although in 2005 it was only 25 per cent;
- Project revenues from commissioned studies for international clients have grown from 12 per cent of total income in 2001 to 29 per cent in 2005.
- In 2005 user-defined projects occupied 43 per cent of staff time as compared to 57 per cent for researcher-initiated and largely researcher driven projects.

If CMI can continue to keep this kind of mix of income, it should be able to enhance its chances for an increase in future funding – from the Government as well as international clients. Its management is aware of the importance of positioning itself right on this issue which involves a balancing act between academic requirements regarding quality and the needs or priorities of clients and customers demanding – in addition to quality – policy applicability and relevance as well. It also involves a balance between research in the

South and the North. As the following figure suggests, research that is initiated or requested by a user tends to be based in the North, while research initiated by CMI, often in collaboration with colleagues based in southern universities or research institutes, is grounded in the empirical realities of countries in the South. It helps researchers to strengthen their empirical work and understanding of social and political realities in those places.

Figure 3.1. Comparison of geographic location of client and staff driven research.



c) Disciplinary contra Interdisciplinary Research

This is an issue that takes on strategic importance because of the tendency for funding agencies to prefer broad program objectives like poverty reduction, gender equality, or governance. Research on these and other broad development issues tends to encourage an interdisciplinary orientation. CMI is a good example of this. Much of its current strength lies in its ability to generate and carry out research that brings together different disciplinary perspectives and researchers from disciplinary fields.

The 1997 evaluation report advised the Institute to develop a clearer professional profile with a more limited number of core areas of research. The decision that was made in response to this piece of advice was to create areas of competence as well a strategic programs that were led by three senior researchers, each based in one of the core social science disciplines within the Institute: anthropology, economics and political science. The details of this arrangement is further discussed and evaluated in Section 5, but suffices it to say here that this organization has anchored the research in the disciplines yet provided scope for interdisciplinary work. It has provided a satisfactory balance between quality and relevance. It has allowed for a quality check based on criteria that are well grounded in these disciplines. It has spurred a growth in articles published in ranked peer-reviewed journals. As a result it has earned individual researchers increased recognition in the academic community.

The new strategic plan – Research on Development and Justice – that was approved by the Board in 2006 reiterates the importance of interdisciplinarity¹ as the dominant orientation of CMI’s research organization. Given its past record of such research and the tendency for funding agencies in Norway and elsewhere to encourage it, this strategy makes sense. At the same time, the Team wishes to draw attention to the need for individual researchers to care about engaging mainstream trends in their respective social science disciplines. Much of their scholarly recognition will come from such pursuits. Having a solid anchor in a particular discipline is the basis for the best interdisciplinary form of research. The Team raises this issue here because in the newly adopted research organization for 2006-2010, the disciplinary dimension seems to have been downgraded. Unlike the 2001-2005 strategy, the research organization is no longer managed by senior scholars from each of the three disciplines: anthropology, economics and political science. The disciplinary representation in the organization is less pronounced. This shift in the balance between disciplinarity and interdisciplinarity may not become an issue in the years to come but the Team raises it as a matter to watch especially if CMI wishes to be part of the effort to make Norwegian researchers more visible to international policy-makers and fellow academics.

d) Seizing the Opportunities in the Market

CMI recognizes that the market for commissioned work in Norway is expanding with a steadily growing budget for Norwegian development assistance and a need for understanding in Oslo as well as in the embassies overseas of issues that affect the outcome of their aid. It is also growing internationally with an increased number of donors ready to untie the procurement of consultancy services. At the same time, the competition is growing stiffer because consulting firms are becoming increasingly research-oriented and university institutions are being allowed to engage in the tender market. It is no coincidence, therefore, that the current framework agreement with the Ministry of Foreign Affairs is in the form of a consortium involving the International Peace Research Institute in Oslo and COWI Consulting Co.

CMI has done well in the past five years in this more competitive context. Commissioned research funded by development and operational agencies occupied 56 per cent of staff time in 2005, with research grants from the Research Council, Ford Foundation and the Institute’s core grant funding occupying 16 and 28 per cent respectively. Table 3.1 gives a more detailed specification of the allocation of project hours for commissioned work:

Table 3.1. Commissioned work in 2005 by number of hours per project category.

Type of project	Hours	%
Studies for MFA/NORAD per Framework Agreement	3000	10
Studies initiated by CMI under same Agreement	1300	5
Sole source procured via MFA/NORAD outside Agreement	5300	19
Tendered by international agency	9100	32
Sole source procured from international agency	4700	16
Longterm research cooperation awarded through competition	1400	5
Longterm research cooperation through direct negotiation	3800	13
Total:	28600	100

¹ Although the term may be used differently, interdisciplinarity in this report refers to research that is based in disciplinary concepts and theories but which involve researchers from several disciplines.

Conspicuously absent from this table is any project awarded through tender in Norway. This is atypical as it has happened in previous years that the Institute has procured funding through tender. On the positive side is the strong presence that CMI has gained in the international arena in recent years through commissioned work for a broad range of development assistance agencies: Danida, Sida, Department of International Development (DfID) in the U.K., Japan Bank of International Cooperation (JBIC) and, the World Bank. In some of these international projects, CMI has elected to partner with other organizations. For example, the evaluation of the Danish Institute for Human Rights was conducted together with COWI Consulting Co.

CMI also rightly takes pride in having won the tender as the lead institution to host the Utstein 4 Anti-Corruption Resource Centre that serves a growing number of donor agencies in Europe. This is the single largest project it has with a funding agency – in this case DfID. The project runs from 2002 until 2007 as a web-based knowledge bank to strengthen anti-corruption efforts by the main European development agencies. By drawing on a diverse range of expertise in this field, it provides users access to resources of relevance for anti-corruption measures and policies. The project has generated a variety of publications from shorter CMI Briefs to longer reports and papers. It is a good example of how a commissioned piece of research also has valuable spillovers in the broader research arena.

The Team wishes to conclude this discussion with three observations. The first is that CMI has been successful in the marketplace without losing its focus on research driven by its own staff. The second is that individual researchers have become increasingly confident – and successful – in lobbying for project ideas of interest to potential clients. The third is that CMI's increased interaction with clients – in Norway as well as elsewhere – has enhanced its visibility and recognition, thus laying an even stronger foundation for future contracts with clients.

e) Creating Visibility in a Crowded Environment

Chr. Michelsen is already a respected "brand name" in the development research field. The name brings prestige because of the quality and perceived relevance that peers and users have seen in the Institute's work. Acting strategically today, however, means not always being able to rely on the CMI label alone. There is need to partner with others who are able to bring complementary resources or help create what might amount to a "critical mass".

The Team wishes to highlight two activities that demonstrate the management's understanding of the strategic importance of such partnerships. The first is its concern about good relationships in its own "backyard", notably with the University of Bergen. Not only is the move that was endorsed already in the 1997 evaluation finally going to take place. Within the next two years, CMI will leave its premises at Fantoft and move into new offices in the vicinity of the main University of Bergen campus. Being able to draw more fully and effectively on the intellectual and informational resources available at UoB and the Norwegian School of Business Administration (NHH), CMI foresees the possibility of creating a Norwegian "Center of Excellence" in development studies in Bergen with the current CMI library as one of its center-pieces. This confirms to the Team the awareness that CMI managers have of the importance of combining resources to provide a stronger program and to strengthen the visibility of the Institute and its affiliates in Bergen.

The second type of partnership involves institutions outside Norway. This has always been an important part of the Institute's activities. It was a key feature during DERAP and it has continued to be. The focus today is on research and capacity building engendered through individual research programs or projects. It also entails collaborative arrangements to win tendered projects. CMI is already doing this in a promising fashion but in a crowded market, such partnership become especially important. The Institute has its own unit with responsibility to monitor the tender market. Compared to most other development research institutes, CMI has managed to strike a good balance between being competitive in its own right and extend cooperation to other institutes and university departments.

The Board, which jointly oversees the Institute as well as the Fund (CMF), has so far been made up exclusively of local academics and other prominent citizens of Bergen. With a growing internationalization of CMI's own work and its wish to partner with others to strengthen its work and enhance its visibility there may be reason to consider extending the representation on the Board to persons from other countries who are likely to help the Institute become even more respected and visible. This would increase the costs of holding Board meetings, but rather than bringing the full Board together five times a year, it should be possible to have the full Board meet, e.g. twice, with an Executive Committee, e.g. made up of the Bergen-based members, meeting in-between to resolve any urgent issues.

Finally, the Team wishes to make a comment on another issue that bears on CMI's ability to successfully compete in an increasingly crowded institutional environment. For the past years, The Research Council, in its own grouping of research institutes for funding and reporting purposes, has placed CMI together with institutes working on environmental issues. Since research on these issues is not its main focus and occurs only coincidentally, CMI has stood out as an anomaly in this context. With a new formula for institute funding that implies greater emphasis on performance, the Team believes it is fair that the Research Council should group CMI together with institutes that share its focus on international politics, peace and development.

Finances

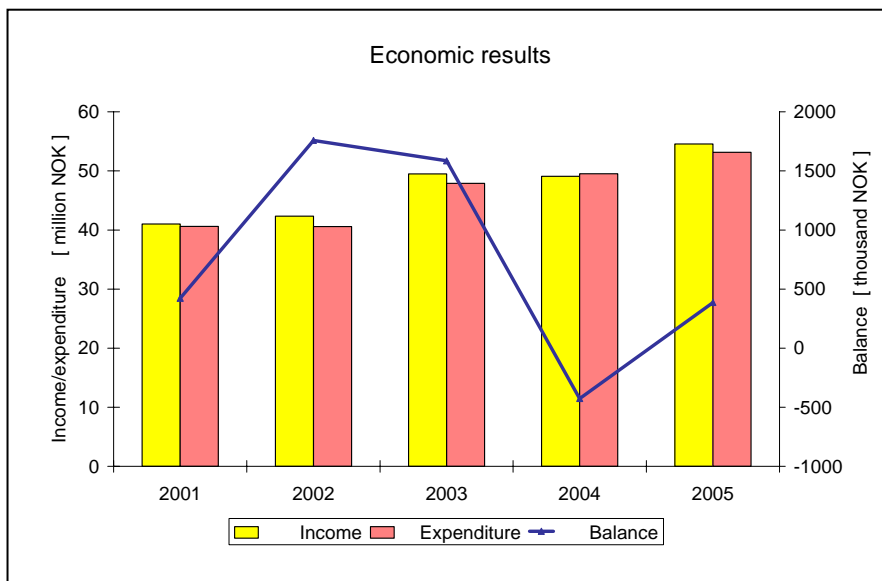
In the years following the reorientation away from DERAP, the problem had been a rather extensive reliance on short-term consultancies. The 1997 evaluation recorded this concern but also noted that the management had been "fairly successful" in weaning the Institute away from such dependence. The 2001-2005 Strategy also set ambitious goals with regard to increasing operating income and project fees.

Because the management has continued to act strategically, this Team finds that over-dependence on short-term contract funding is no longer an issue. No one suggests that the balance should necessarily be tilted in favor of greater emphasis on earning income from commissioned research in the open market, but if its core funding can be secured within the new scheme of granting funds to the institute sector, there could be an accompanying growth in earned income from shorter-term assignments.

During the past five years, the operating income – counted as project revenue + core grant + CMF transfer – has grown one third, as confirmed in the next figure. Expenditure has

grown concomitantly and with the exception for one year the results have been in the black, i.e. a small positive balance.

Figure 3.2. Economic results 2001 - 2005

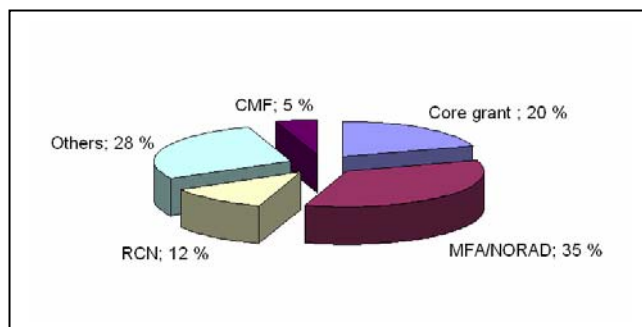


While the core grant from MFA grew from 9 to 11 million NOK during the five-year period, there was also a continuing diversification in revenue sources, which is a step in the right direction. CMI continues to rely on the MFA and NORAD for

much of its research funding, but it is a valuable complement to the short-term contract funding that has also grown. In fact, it is the relative security of the long-term funding arrangement with the Government that allows the Institute to be effective also as a player in the tender market.

Although there are variations from one year to another the sources of income can be divided into the following basic categories:

Figure 3.3. Income from different categories



- Core grant from MFA, making up approximately 20 per cent of the income
- Framework agreements with MFA/NORAD for research, circa 35 per cent
- Research funds from Research Council competitions, about 12 per cent

- Shorter term research assignments for clients, approximately 28 per cent
- Own income from CMF and assets, about 5 per cent

It is important to note here that this marked increase in operational income also reflects a growth in income generation per capita. In short, staff has become more competent in raising funds for the Institute, an important aspect of its overall performance.

Figure 3.4. Income from different categories for the period 2001 – 2005
(From NIFU STEP)

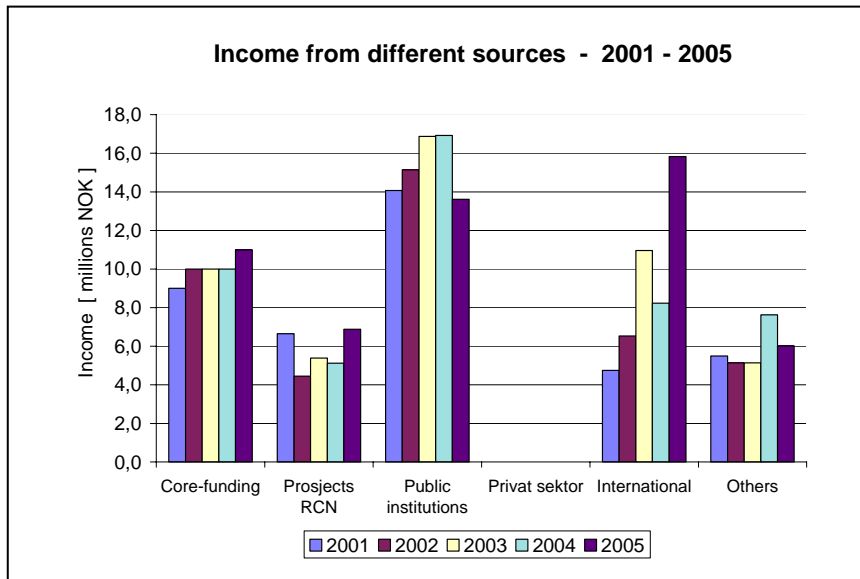


Figure 3.4 shows the distribution of income from different sources over the five-year period. Income from “public institutions”, notably the Ministry of Foreign Affairs and NORAD, has remained relatively stable while the most notable increase has been in income from international sources. This statistics

demonstrates that CMI has been quite successful in earning income through commissioned work both in and outside of Norway although its ability to attract funding from the business sector is lacking.

The Chr. Michelsen Fund constitutes a relatively small share of the total income but it is strategically important for the development of new research. It is already being used as “seed money” for testing new ideas. The Team endorses such an approach and encourages the CMI to continue making prudent and strategic use of this in-house source of funding.

The Team is ready to conclude that with regard to reaching the objective of further economic growth set in the 2001 Strategy document, the Institute has been quite successful. It has also diversified its base of income in a manner that lays the foundation for the next few years.

Human Resources

Staff constitutes the heart and soul of the Institute. Salaries and other forms of compensation amount to three quarters of all expenditures and their services to clients approximately three quarters of earned income. How well human resources are managed, therefore, is crucial to the success of its operations.

The 2001 Strategy demonstrates the awareness that the leadership has of the salience of this issue. It considers various options, including contraction of staff, but rejects such a defensive strategy in favor of a carefully directed expansion that considers how well a candidate may be occupied if hired (*sysselsettbarhet*). This criterion seems to be made up of two components: (1) how the candidate’s professional profile contributes to existing or projected research activities; and (2) how capable the candidate is likely to be in earning income for the Institute. To be sure, not every one is likely to be able to be as successful in fund-raising as others – and the Strategy recognizes this – yet it also stresses the need to act in a utilitarian manner to secure the viability of the Institute’s economy.

The most important objectives of the 2001 Strategy include the longer term one of adding 10 man years (*årsverk*) in the next five years and with regard to the short term, hire three new researchers with an emphasis on finding economists. Management works with the notion of "man years" because not every one on staff is necessarily full-time. It is necessary, therefore, to disaggregate the time component into units that correspond to such an arrangement. The Institute has generally not found it hard to recruit new staff, the exception being economists. The turnover among them has been considerably higher than among other disciplinary categories, a strong reason being that most economists prefer a strict disciplinary profile that is best secured in a regular academic department.

How well has CMI done with regard to human resources? Thirteen new researchers were hired during the five-year period and several staff that had only temporary contracts were converted to permanent status. Of those additions, four involved Ph.D. candidates attached to the Institute who completed their degrees and were subsequently employed.

During the same period, CMI reports that 8 researchers for a variety of reasons left the Institute. Two opted for early retirement, another two took up positions in NORAD and UNDP, and three moved into full-time academic positions at the University of Bergen or the Norwegian School of Business Administration. Two new researchers were hired in 2005 with a starting date in 2006. If the latter two are included, the total number of new hires is 15, the number of those terminated 8, a total gain of 7 as compared to the goal of 10.

The main concern in building staff capacity during the past five years has been to maintain the balance between the three disciplinary groups – anthropologists, economists, and political scientists. There have been two principal challenges. The first has been to find economists and hold on to them. The Institute has reached its goal of adding three new economist positions, although the full equation is made up of five new hires and two losses. The second challenge has been to integrate the three disciplinary teams into a coherent team. There is evidence that CMI has succeeded to do so within some of its programs but there is also evidence to suggest that bringing every one "on board" has not been easy.

The next table identifies the staff composition reported in CMI's self-study submitted to the Team:

Table 3.3. Staff composition at CMI as stated in 2005 Annual Report.

	Admin.*	Anthro.	Economics	PoliSci	Others**	Total
Number	20	12	11	15	13	71

* This figure includes the Director, Acting Director, Head of Administration, Chief Accountant, Head of IT Services, Head Librarian and their assistants.

** This includes two research assistants, four senior advisors, and seven master's students.

The Team noted that the report on staff composition that was submitted for its consideration in the first half of 2006 varied from the figures stated above. Notably omitted

in the self-study figure of 52 are the senior consultants, the master's students and the research assistants, but also some of those who are employed by other institutions but serving on a 20 per cent time for the Institute. The latter figure, therefore, reflects more accurately the core staff of the Institute.

A few other notable facts about the staff composition include the distribution by age and gender. Among the 33 research staff listed in the self-study 17 are below the age of 45, the remaining 16 above that age. Only two researchers are above 60 years, only four above 55 years. This suggests that turnover based on age is not likely to be major issue in the next ten years. There is still a majority of males among the researchers – 19 versus 14 females – but there has been a move toward a more balanced composition based on gender since the 1997 evaluation when out of a permanent research staff of 23, only one third were women.

There has also been an increase in the number of staff with a doctoral degree. The 1997 evaluation report indicates that 10 out of the 23 research staff had a Ph.D. In 2005 this had grown to two thirds of the total number of researchers. In recent years, the Institute has insisted on hiring new staff only if they have a Ph.D. This reflects a response to the earlier evaluation's recommendation that it strengthens its professional profile.

The Institute has continued to host master's and doctoral students. Students sign a contract with CMI, which stipulates their rights and obligations. The regular advisor continues to be some one in an academic department at a university, but one CMI researcher is assigned as mentor and advisor while the student works at CMI. Between 1997 and 2005 a total of 14 Ph.Ds were attached to the Institute. Of those, 7 completed their degree, two dropped out, and 5 were still doing their degree work when this evaluation was done. CMI has made sure that these students are integrated in its own activities and thus not working on their dissertation only. The doctoral students have an obligation to spend one quarter of their time in service of Institute-run projects and activities. This arrangement gives the young and budding researchers an opportunity to learn the trade in the field, including participation in commissioned research projects. Students at CMI in 2006 were generally pleased with this arrangement and indicated that their involvement in "duty-related" activities did not really amount to one quarter of their time. Thus, it did not impinge on their ability to make progress on the dissertation. In fact, the Team noted a definite enthusiasm about being placed at CMI because of its interdisciplinary orientation. As one of the students said: "I am happy to be here, not the university. It is more relevant and enriching here."

Another important organizational achievement in the past five years is the closer integration of administrative and research staff. Operational procedures now guiding the administrative group have been changed so as to make its work more directly project-oriented. Combined with access to up-to-date information technology, the administrative group has become much more effective in serving the researchers. Potential tensions between the two groups have consequently also been reduced.

Information

Research institutes are very extensively engaged in processing information. It needs a good library and with increasing reliance on computer-based information technology such institutes spend more and more time on how to improve their information- processing.

CMI is no exception. The 1997 evaluation report devoted quite a lot of its space to analyzing the role of the library although virtually noting on the role of IT services. The main recommendations it made were:

- CMI Library should be recognized as a National Resource Center
- It should be an integral part of CMI and maintained at a satisfactory level regardless of staff turnovers
- The Library should help raise standards of libraries in developing countries through closer cooperation
- It should change its outdated and free-standing system of cataloguing material

a) Library

The library has continued to be a resource for others than those employed by the Institute. Its total holdings are approximately 80,000 titles with an annual growth of between 2,500 and 3,000 items. Approximately half its services go to other libraries and persons. In fact, during the first five months of 2006 no less than 975 out of a total of 1602 loans were from other libraries or external borrowers – 61 per cent. It should be emphasized that it serves as the Norwegian depository library for official World Bank and Asian Development Bank documents. CMI researchers are also instrumental in adding to the collection by bringing home reports and other documents published by institutes or presses in the countries where they do their research. The CMI Library, however, has failed to get the recognition as National Resource Center that the 1997 report recommended. In the light of the services it provides to other libraries and researchers, and the Institute's ambition to turn it into a common resource for all development studies in Bergen and beyond once it moves to a new location near the University of Bergen, the Team wishes to reiterate the 1997 recommendation that CMI continues its effort to have the library recognized as a National Resource Center and thus obtain the additional external funding that comes with such recognition.

For now, the funding of the library does not seem to be a problem. According to the final accounts for 2005, only little more than half of the money allocated for the library for purchase of books had been used while money for periodicals had been almost fully used. The largest increase in expenditures has come from the need to purchase edb/cd-rom material, e.g. Science Direct. Price of regular journals has also gone up so that the need to limit the purchase of journals has arisen. Thus, the decision has been made to confine the library holdings to some countries and regions of the world, where the Institute has its research interests. This means that the collection will be concentrated to South and Southeast Asia, the Middle East and sub-Saharan Africa, though within the latter region with a focus on some, not all of its 48 countries. Such a concentration makes sense given escalating costs and the fact that many journals are already available in the University of Bergen library.

Library staff has continued to serve as advisors and trainers of staff from libraries in partner countries. CMI's own agreements with many of the institutes in these countries, e.g. Bangladesh Institute of Development Studies (BIDS), Namibian Economic Policy Research Unit (NEPRU) and the Botswana Institute of Development Policy Research (BIDPA), allow for an allocation of funds to strengthen the library function in those institutions. CMI staff was largely instrumental in the establishment of the BIDPA library. It has trained librarians from these countries on location in Bergen and CMI librarians have personally visited the libraries of collaborating institutions. Sharing of documents as part

of formal cooperation agreements, however, has largely come to an end due to increased costs. Only the library at Forum for Social Studies in Addis Ababa, Ethiopia still has such an agreement with CMI. All its new purchases are channeled through the CMI library. Its librarian spent a few weeks in 2005 becoming familiar with its operations and how the purchasing agreement is best managed. With regard to other collaborative projects, e.g. at Addis Ababa University and Khartoum University, the CMI librarians advise and assist in helping these institutions get their publications.

With growing internationalization of the Institute's participation in the tender market, there has also been an accompanying need to enhance the Library's collaboration with other Nordic and European libraries. The most important networks in which the CMI library participates are the Nordic Developing Country Documentation Group (*Nordisk u-landsdokumentationsgruppe*) and the Information Management Working Group of the European Association of Development Research Institutes (EADI).

One popular component of the Library's services to the research community that has been terminated is the stipend that used to be offered on a competitive basis for students of development to use the institute library for a few weeks. In a cost-saving exercise a couple of years ago, this particular program was axed. The Team regrets this and recommends that it may be reinstated for students from the Nordic countries on a pilot basis to assess interest and demand.

The Library abandoned its freestanding system of cataloguing books and periodicals (BIBELATION) in 1999 and shifted to a new system called BIBSYS. This conversion process, however, is far from complete. In 2006, approximately 18,500 items are registered in BIBSYS, with the majority of the collection still in BIBELATION. This transfer process is labor-intensive and has not been easy because the old system is based on a card catalogue. So far, the librarians have followed an incremental approach whereby each item in the old system that requested by a borrower gets transferred to the new one. The Team appreciates the time and costs involved in fully implementing this conversion, which would allow a total of 45,000 items in its library be immediately accessible to and through other libraries. Completing it sooner rather than later, however, is an important component of its ambition to be recognized as a National Resource Center and the Team strongly recommends that the necessary resources are set aside to achieve it.

This discussion of the library would be incomplete without a comment about its role in the relative success that CMI has made since 1997. Its staff possesses broad and relevant knowledge in the development field. They are reliable, easily accessible and quick in providing services. They provide services to other libraries and researchers to an extent that has no parallel in other similar institutes. It is a "goldmine" for researchers not only at CMI but also in other places. If there is any institute library that deserves upgrading to National Resource Center, the Team believes the one at CMI must be one of the top contenders.

b) IT Services

The 1997 evaluation report had nothing particular to say about the role of IT services at the Institute, but the 2001-2005 Strategy document includes several ambitious goals. Most of these recommendations focus on improving the efficiency and role of the administrative function, but contains references to also making the library more user-friendly

With regard to the latter the most important thing that has happened, which was not fully appreciated even in 2001, is the rapid growth of the Internet as a source of information. The usage of such sites as JSTOR for periodicals and specific articles is quickly becoming a major resource to researchers, as is Science Direct, another site that is being accessed with growing frequency. With respect to the latter CMI statistics shows that there were no less than 831 requests for full-text documents and as many as 3,826 requests for specific text pages.

The expansion of the Internet has raised the question of how much money should be set aside for purchasing hard copies as opposed to data sets on the Internet or journal articles available electronically at a fee. For instance, the Norwegian Institute of International Affairs (NUPI), with which the library staff compare themselves have opted for buying journal articles at USD 20.00 per article through Ingenta instead of investing in full-text databases. The only such full-text database that NUPI subscribes to is the one provided by the Central Intelligence Agency (CIA). Library staff has suggested that CMI subscribes to this data set as well, but no decision had been made before this evaluation was carried out.

The Internet has also allowed the Institute to significantly improve its project management. Two achievements in the last few years are of special significance to highlight here. One is the introduction of a management system that allows researchers as well as managers and accountants easy access to the same information on a continuously updated basis. The other is consolidation and integration of different data and databases. These measures have increased the efficiency and transparency within the organization.

The development of a special website for U4 – the Utstein Anti-Corruption Resource Center – is another major achievement in the past five years. It is an interactive site with a helpdesk function and online courses that interested parties can sign up for. The same should be said about the Institute's own home page, which has become a popular site for those interested in recent research in the development field. It contains information about activities from afar as well as what is happening at the Institute in Bergen, including its recent downtown café happening on Saturday mornings entitled "Saturday Coffee with Meaning".

The Team is very impressed by the competence of its IT staff and their efforts to serve the research staff and others. Not only are their skills being called for by other organizations but they are constantly working on integrating their own competence within ongoing research projects in order to make the findings available to a growing number of interested parties. As part of this effort, their ambition is also to help partner institutions in the south to improve their IT competence and use. It is clear that this is an important component of the Institute's ambition to become more visible internationally. The Team endorses activities aimed at strengthening the role of the IT services and their integration into the mainstream activities of the Institute.

Infrastructure

In today's world infrastructure does not only refer to physical structures but also those that host the information processing – hardware as well as software. With regard to this task, the IT staff has been involved in three important activities. The first has been to ensure that

the network is safe from external threats, whether worms or hackers. There has been no major incident that the Institute has reported. The second activity has been to make the IT systems available to every one all the time. This involves maintaining and repairing servers and other key components of these systems. The third has been to develop ways to facilitate communication between researchers at home and in the field. This is a key concern for an institute where researchers spend considerable time in the field. Investments in helping partner institutions in the South enhance their access to the Internet and their competence in handling IT services is an integral part of this activity.

The other infrastructure issue that has preoccupied the Institute management for many years is the wish to leave the current premises in Fantoft in favor of a location near the University of Bergen in the downtown area. The rationale has been that it would facilitate collaboration with academic departments at the university, integrate the library function with that of the university library and provide easier physical access to the institute library for the student population at the university which to date has taken the trouble to go to Fantoft to use the library only, it seems, as an exception.

The 1997 evaluation report is somewhat ambiguous in its conclusion and recommendation about this move. It states that the evaluators understand the argument for such a movement but it "may over time lead to a gradual change of CMI's outward-looking profile and weaken its standing as a national resource center."

The move is now scheduled for 2008. The rationale has been further strengthened in terms of how to maximize the use of local resources available to scholars in Bergen, develop closer links with academic institutions, and freeing up money that is currently tied down in the Fantoft building. No one at the Institute expressed a fear that CMI would lose in making such a move, including losing its outward orientation. Every one recognizes the importance of cooperation with partner institutions in the South, extended research stays in developing country contexts, and the value of enhancing institute capacity to be successful in the tender market. The Team concludes that there is consensus within the Institute to make the move and that it has developed a stable institutional profile that is not going to be negatively changed following a move to downtown Bergen.

Summary of Main Observations:

- CMI maintains a viable balance between client and researcher driven activities.
- Interdisciplinarity is its strength but attention needs to be paid to how grounding in the individual social science disciplines is not lost since it is a prerequisite for good interdisciplinary research.
- The Chr. Michelsen Fund should be prudently and strategically used to finance new important initiatives.
- With a growing presence outside Norway, the Institute may benefit from an expansion of the Board to include not just local but also international members.
- The Research Council should ensure that in the future for funding purposes CMI be grouped with other institutes that work in the field of international politics, peace and development.
- CMI needs to continue paying attention to how it can recruit and hold on to economists and how to integrate the various disciplinary groups into a team.
- CMI has made good progress in terms of meeting the recommendation from 1997 that it recruits more staff with a Ph.D. degree.
- Students using CMI as a partial institutional base for their graduate studies express great appreciation of the intellectual environment there.
- CMI should give consideration to restarting the program that allows graduate students from other Nordic countries to spend a few weeks at the CMI library that was cancelled for reasons of cost a few years ago.
- CMI should continue its effort to have the library upgraded to National Resource Center given its excellence and services provided to external borrowers and institutions.
- As part of its effort to make the library a National Resource Center, CMI needs to accelerate the transition to BIBSYS cataloguing system.
- Like the library, the IT section provides valuable services to researchers both at CMI and in partner institutions in the South.

4. INTERACTION WITH OTHER INSTITUTIONS

Collaboration with institutions in the South has been an integral part of the Institute profile ever since its inception. During the DERAP years it entailed CMI researchers spending time in advisory capacity in non-academic, policy contexts. As suggested in Section 3, this eventually became the issue on which DERAP as a program crumbled. Extended stays overseas continued even after its demise. According to the 1997 evaluation report, the total of "man years" abroad in 1994 was 8, in 1995 it was 11.5 and in 1996 it was 7.75.

Although the 1997 report regarded the system of assignments abroad as good and recommended that CMI maintain it, albeit with more research-oriented assignments, the number of hours that institute researchers have spent in the South has declined. The system now in place seems to favor several short-to-medium term assignments. This does not mean that the legacy of long-term assignments abroad is abandoned. One of its staff is currently employed by the African Development Bank in Tunis. The 2006-2010 Strategy expresses a commitment to stimulating institute researchers to spend extensive periods of time in developing countries – and development organizations.

The Team does not wish to comment on this point, but express its own opinion that a balance between flexibility to adjust to changing circumstances while retaining a commitment to partner institutions and individuals should be the operational guideline. The Institute certainly wishes to avoid the situation described in the 1997 report according to which senior researchers worked so much outside the institution that only fairly junior researchers working on their Ph.Ds were available to carry out commissioned research.

Current cooperative agreements with other institutions can be divided along two lines: (1) their degree of formality and scope, and (2) their geographic coverage. Thus, according to the first criterion, a distinction can be made between framework agreements, institutional cooperation agreements, and research project agreements. On the informal side are more person-based networks that grow out of ongoing research cooperation. The various arrangements are summarized in Figure 4.1.

Figure 4.1. Types of research cooperation agreements

Consortium Agreements	Institutional Cooperation Agreements	Research Project Agreements	Independent Researcher Networks
Formal		Informal	

The difference between these various types of agreement is that the more formal the agreement is the more complex the division of labor that it covers. Thus, there is more at stake in consortium agreements than there is in other types along the spectrum. This does not mean that institutional cooperation and research projects are necessarily less formal in the legal sense of the word. It is just that these other arrangements cover less complex arrangements. The personal networks that typically spring up as a result of cooperation within one of the more formal arrangements are much looser and there is less at stake. Yet,

it is often the informal networks that move formalized research arrangements forward. In short, these networks are instrumental in getting things done even within formal projects.

Formal agreements cover institutions in Norway and the North as well as the South. In 2006 CMI had the following consortium and institutional cooperation agreements:

Table 4.1. Formal CMI agreements with Norwegian and other institutions.

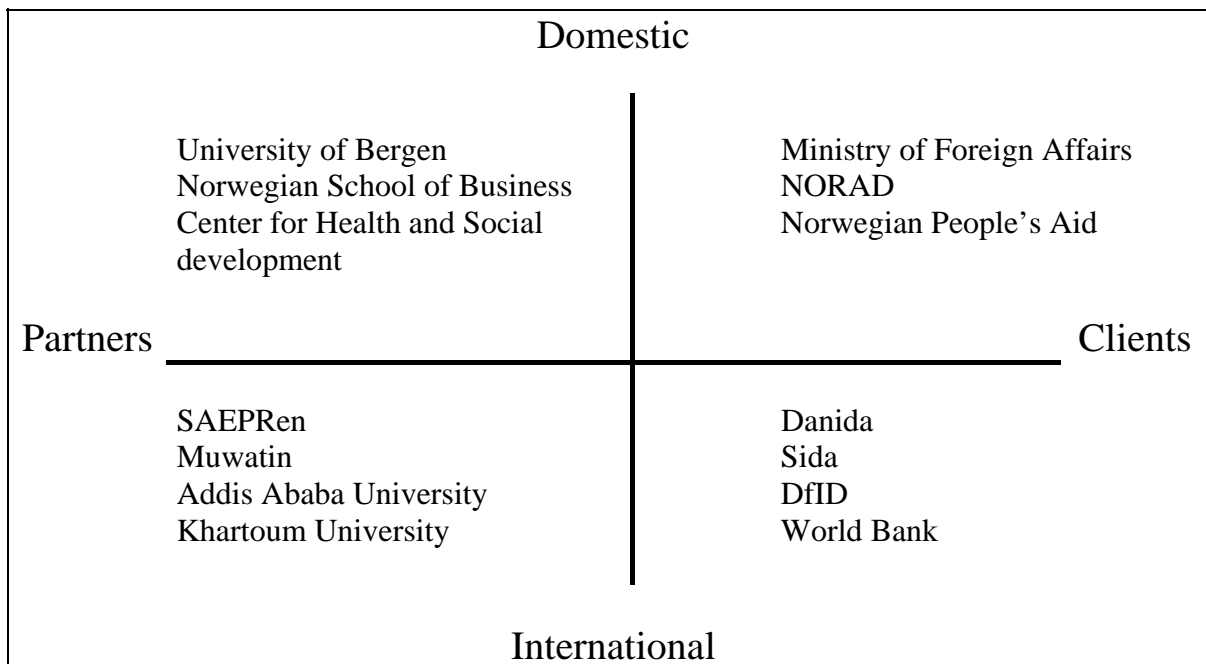
Institutions	Type of Agreement
COWI A/S, NORAGRIC, PRIO and UoB	Consortium agreement as part of framework agreement with NORAD in the field of "good governance"
Center for Health and Social Development (HESO) in Oslo and Center for International Health UoB	Consortium agreement as part of framework agreement between HESO and NORAD in the field of "health and social services"
Peace Research Institute in Oslo (PRIO)	Institutional agreement on research in the field of "peace building"
NEPRU in Namibia	Institutional agreement on research cooperation and capacity-building
Southern and Eastern African Policy Research Network (SEAPReN)	Institutional agreement funded by NORAD with a network of economic policy research institutes
University of Addis Ababa, Ethiopia	Institutional agreement funded by NORAD to support research on emerging social issues and build research capacity
Muwatin in Palestine	Institutional agreement on research cooperation funded by NORAD

As indicated in the table above, the consortium agreements tend to be with institutions in Norway while the institutional cooperation agreement is the most common modality used in partnership with institutions in the South. The various agreements differ in design and objective, but there is a common emphasis on building competence and institutions in the South. Thus, for instance in the case of SEAPReN the role that CMI plays is mainly backstopping. In its cooperation with Muwatin the relationship has been more closely focused on joint research and strengthening Muwatin both internally and its relations with other pro-democracy institutions. The cooperative relations have generally been good. Results vary but there is no doubt that CMI's input has been important for building competence as well as conducting research. One lesson that the Institute has made is that it is often easier and more efficient to work with independent policy institutes or networks than it is with university institutions in the South. Addis Ababa University is a case in point where bureaucratic red tape has been a source of frustration for CMI researchers as well as Ethiopian partners. This has gone from bad to worse after the controversial 2005 elections, which led to the arrest of staff and students at AAU. The political controversy surrounding Addis Ababa University and the difficulties that CMI has encountered in working with its administration have led management to encourage a closer cooperation with an independent research institute – Forum for Social Studies – which is headed by a university researcher.

The agreements discussed above are longer term and engage CMI researchers on a more ongoing basis. There is an institutional reluctance to close them down so even when they are not particularly active, or outright passive, they are kept going. Another problem is that agreements are sometimes signed with institutions for reasons that have less to do with its comparative strength than with trying to go for where the funding priorities in the research market are. Its new agreement with the Center for Health and Social Development (HESO) seems to the Team as an example of veering with the wind rather than a strategic choice made in the light of its overall objectives and its comparative strength.

The various cooperative arrangements that CMI is summarized in the next figure.

Figure 4.2. Examples of important CMI’s partners and clients in the North and South.



In addition to the consortium and institutional agreements CMI has funding arrangements with other partners in the South. These typically entail a single research project at a time. Funding is provided by the Research Council, NORAD or, increasingly in recent years, local Norwegian embassies in the South. Such collaborative agreements tend to be beneficial to all parties involved. It offers local partners an opportunity to engage in research. It allows CMI to be involved in ways that enhances quality and provides a perspective that is relevant to a Norwegian organization. In addition, it gives the Embassy a more solid understanding of a key issue of concern to its staff. The next table provides an account of international research projects in which CMI is a collaborative partner outside Norway.

Table 4.2 International research projects in which CMI is a partner 2006.

Projects	Partners
U4 Anti-Corruption Centre	Transparency International, Berlin
Formative research on local government reform	Research on Poverty Alleviation (REPOA), Tanzania, Norwegian Institute for Urban and Regional Research (NIBR)
The context of the 2006 elections in Uganda	Department of Comparative Politics and Faculty of Law, UoB, University of Kampala, Uganda
The institutional context of the 2004 elections in Malawi	Department of Comparative Politics and Faculty of Law, UoB, Centre for Social Research, University of Malawi
Macro-micro issues in peace building	University of Khartoum, Juba University and Al Ahfad University, Sudan
Social exclusion	Tribhuvan University, Nepal
What kind of peace? (WKOP)	Peace Research Institute in Oslo PRIO, North South Institute, Ottawa, Canada
Formative process research on integration in Southern Africa	Botswana Institute of Development Research (BIDPA), Gaborone
Accountability functions of courts	Department of Comparative Politics and Faculty of Law, UoB, Centre for Applied Legal Studies, University of Witwatersrand, South Africa, and Department of Political Science and International Relations, Universidad Torcuato de Tella, Buenos Aires
Bonded labor in South Asia	CEDA, Tribhuvan University, Nepal
The poor and the judiciary	Department of Comparative Politics and Faculty of Law, UoB, Centre for Social Research, University of Malawi
Well-being among fisherfolks in Africa	University of Western Cape, South Africa, Centre for Social Research, University of Malawi, and Centre for Applied Social Sciences, University of Zimbabwe

Most of these projects are integral parts of the ongoing strategic programs within the Institute. They have in common the fact they are fruits of individual research networks in which CMI researchers actively participate. Taking these networks seriously and devoting time to sustain them is an important part of what CMI researchers spend their time on. In these collaborative arrangements, they are not only contributing researchers but also research managers. As is evident from the list above, CMI is engaged in research cooperation and more informal networks in Africa, South Asia and Latin America, although the bulk of its research activities are in Africa.

While CMI has been quite successful in building and maintaining research cooperation with institutions in the South, its progress in that direction in Europe and North America has been less impressive. The idea of building such links was quite strongly expressed in the 2001-2005 Strategy where it says: "CMI will seek new cooperative relations with research institutions in Europe and the United States with a view to building strategic alliances for professional cooperation."

CMI remains confined largely to Norwegian institutions in the North. Institutions in Bergen are especially salient partners. Other European institutions continue to be rivals rather than partners, although consortia agreements in the future, e.g. to win grants in tendered competitions may change this pattern in the future. Its outreach in North America is still marginal, the North South Institute in Ottawa, Canada being the most significant. One CMI researcher, Siri Gloppen, spent time at Harvard in 2005-06 and this may open the door to closer contacts with Harvard. The Team believes that in an increasingly competitive research market, CMI should be pro-active in seeking out collaborative relations in Europe and North America as stated in the strategy document quoted above.

Although many of the collaborative research projects are related to ongoing institute programs, the CMI management is worried that many of them have been initiated by individual researchers and remain dependent on these individuals rather than being brought closer into the larger research programs. The Team recommends that greater attention is being paid to how such joint research can be further strengthened.

Partnerships are important to CMI and its researchers. They take them seriously and devote time and resources to nurture them. The Institute sees itself as a Northern node in networks where ideas take shape and activities are carried out in a decentralized fashion. This is a noble objective with its own costs and benefits. The challenge for CMI is how to maximize the benefits and hold costs to a level that allows it to be effective with regard to other competing objectives, whether it is earning money from contract research or improving its academic quality through more publications in peer-reviewed international journals. In short, CMI's own research is embedded in partnership relations that shape its results with regard to all the criteria that are being used to assess its competence: quality and relevance of its research, publication outlets, capacity-building and outreach in the South. The Team believes that it is important for the Institute leadership to assess how far its cooperation with institutions in the South should go. There is always the risk of spreading oneself too thin. It is also evident that many agreements that CMI has signed are dormant (or close to it). The Institute, therefore, must ask itself what it gets out of these partnerships (without giving up its overall objective of serving these partners in their effort to build competence and become part of international research networks).

Summary of Main Observations:

- Partnership with institutions in the South is important but it must be conducted with attention paid to how it impacts on other Institute objectives.
- While a certain amount of opportunism to gain money in the research marketplace may be justified, there is reason to be concerned that this is done with other considerations in mind, notably where the Institute's own comparative advantage lies.
- There is need to ensure a viable balance between concentration and flexibility in its partnerships with other institutions – in the North as well as the South – because they have a direct bearing on the Institute's program performance.
- More attention needs to be paid to how projects that have been initiated by individual CMI researchers can be more effectively integrated into the larger institute programs.
- Partnerships with research institutes and universities in Europe and North America are important for future program activities and CMI's own competence building and should be more vigorously pursued as stated in the 2001-2005 Strategy document.

5. AREAS OF COMPETENCE AND PROGRAMS

The 1997 evaluation devoted most of its recommendations to the need for strengthening the Institute's research organization. While agreeing that it should retain its profile as an applied research institute focusing on development problems in the South, it also called for (a) a clearer and more specialized profile, (b) a concentration to a few core areas, and (c) restructuring of the research organization within the Institute.

Beginning in 1998, CMI started to act on these recommendations. It committed itself to retaining a general and broad competence in the field of development research with a more specialized competence in certain research fields and geographic regions. A set of particular areas of competence was identified as a basis for developing strategic programs that would catalyze the research effort in ways that the 1997 report had asked for. It is this setup that the Team is evaluating in this report.

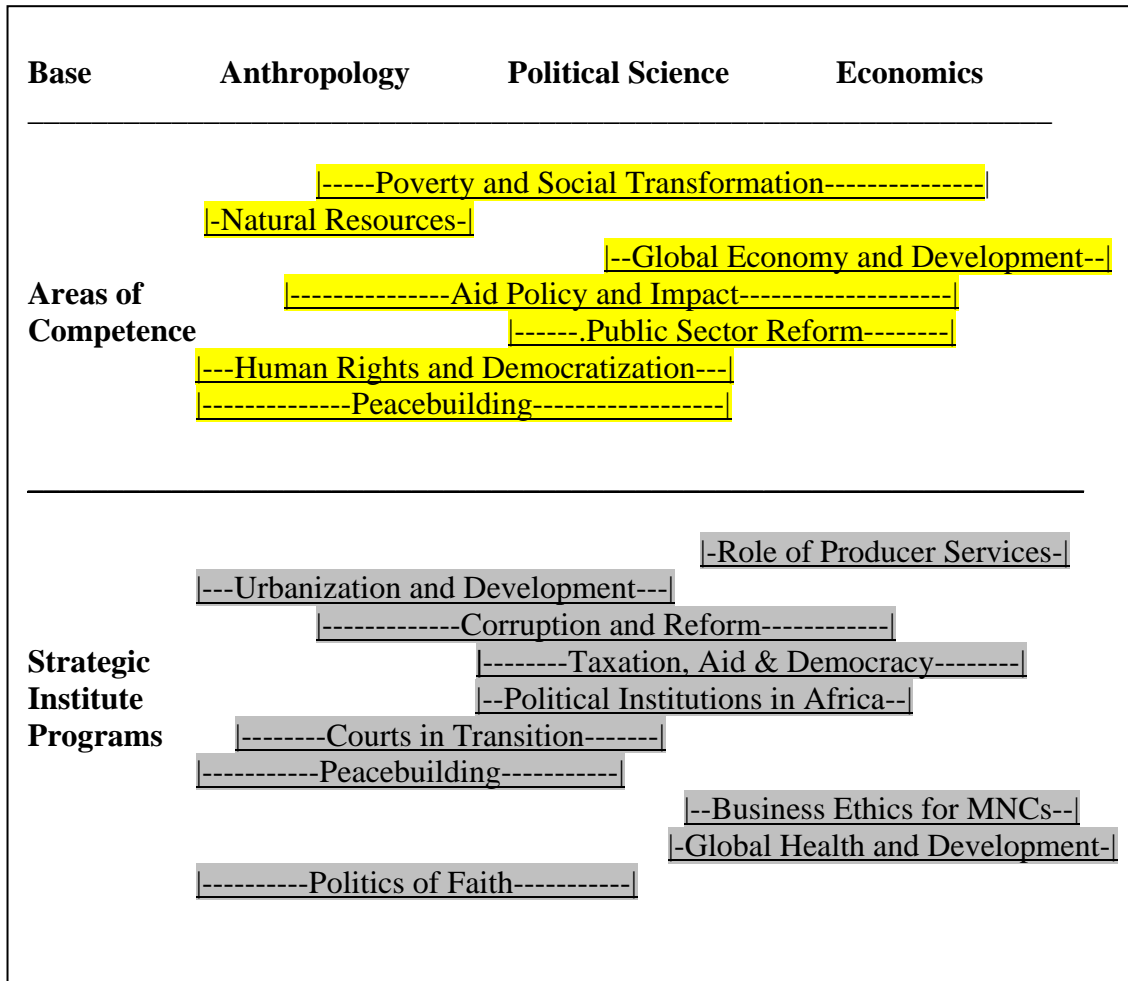
The discussion and evaluation below is organized into four separate sections. The first focuses on the way research has been structured and organized at CMI since 1998 with a special focus on the last five years. The second examines the areas of competence that were adopted as the core competence of the Institute. The third centers on the strategic research programs that have been the essence of its work. Special attention is being put on the quality and relevance of these programs, how research findings have been disseminated, what kind of capacity building has occurred within the programs, and how active they have been in fostering a rewarding outreach in the South. The fourth section discusses the recently adopted strategy for 2006-2010 – Research on Development and Justice – with an attempt to place it in the context of the previous strategy and what its strengths and weaknesses might be.

Research organization

The organization of research that has been in place in the past five years was initiated in 2000, when the decision was first taken to build it around three core disciplines in development research: (a) anthropology, (b) economics, and (c) political science. This choice of a disciplinary foundation for its research was made on the understanding that it was a way of strengthening the quality of its research and providing impetus for publishing in international journals, two related and important goals during the period. This organization was also seen as opening the door to closer cooperation with academic institutions in Norway, not the least at the University of Bergen and the Norwegian School of Business Administration.

Areas of competence would be developed with this disciplinary foundation in mind. These areas would typically be crosscutting involving researchers from more than one discipline. The strategic programs would be the next level in the organization. These would be derived from the areas of competence and, again, would typically be interdisciplinary. A full map of the research organization as it evolved and took shape in the past five years is contained in Figure 5.1.

Figure 5.1. Research organization at CMI 2000 – 2005.



This map indicates that there is a good fit between the areas of competence and the strategic research programs. There are more crossovers between anthropology and political science than there is between economics and political science, the exceptions being the two interrelated programs on "Corruption and Reform" and "Taxation, Aid & Democracy". The map also suggests that much in line with the thinking within the international development community "political issues" have been particularly salient.

Areas of Competence

The division of the research organization into areas of competence serves the purpose of signaling to clients and others what CMI can offer. The areas are necessarily broad in order to attract interest. They are necessarily temporary since interest among researchers themselves and clients tend to continuously shift as discussed in Part 2. For internal use, the designated areas of competence also serve as handy boxes for sorting out the large number of projects in which CMI researchers are engaged in the span of any one year. CMI has only recently begun to publish its own annual report with a list of all projects listed under the various areas of competence. The 2004 and 2005 reports, to which the Team had access indicates that there is a definite turnover in projects from one year to the next. It is not clear, however, whether these changes reflect an accurate turnover or it is

more the result of changing titles on ongoing projects. The Team believes that the Annual Report should contain a list of all projects in which staff have been involved during that period, but in order to make this report a better guide to the reader, it is recommended that each project is accompanied by a simple letter code, e.g. "n" for new, "c" for completed, and "o" for ongoing.

Table 5.1. is taken from the information provided in the 2004 and 2005 Annual Reports. It clearly indicates that the majority of projects during these two years were in areas of competence where political issues are most prominent. This is not to suggest that anthropologists and economists have been less active than their political science colleagues, although it is hard to escape the impression that the programs that have a closer tie to anthropologists and economists respectively – the last three in the table – have seen fewer projects and an actual decline in numbers. This may also be an indication that while interdisciplinarity is evident in approaches and methods of research, there are still some outstanding problems of integrating anthropologists and economists into interdisciplinary projects and programs.

Table 5.1. CMI projects per designated area of competence 2004 and 2005.

Area of Competence	2004	2005
Peace Building	12	13
Public Sector Reform	8	12
Human Rights and Democratization	13	13
Aid Policy and Impact	11	11
Poverty and Social Transformation	6	5
Global Economy and Development	8	5
Natural Resources	5	1
Total:	63	60

Strategic Institute Programs

The Strategic Institute Programs (SIPs) constitute the mainstay of the Institute's research. Being strategic implies a long-term commitment to a set of issues for which the Institute has a comparative advantage. A strategic program, therefore, should reflect its areas of competence and should serve as a coherent effort in which more specialized competence can be developed. As the review of these SIPs will indicate, CMI has been more successful with some programs than with others. Those that have performed best have typically succeeded because they were able to integrate researchers from different disciplinary fields and pursue research in a coherent fashion.

The Team has concentrated its effort on assessing the strategic institute programs that were started in 1998 and have continued or been terminated during the five-year period. CMI provided us with information on seven such programs, although the reports indicate that there was yet another program titled "WTO/GATS" for which no information was provided until the first draft of the report had been prepared. Another issue that the Team wishes to raise here is that the reports of the various programs sometimes claim the same publication. This double accounting may again be coincidental, but its recommendation is that management ensures that publications are listed only under one program.

In doing the evaluation of these seven programs, members of the Team have each read and evaluated two programs, some alone, others together with another member. Five main aspects have been used to assess the programs – research quality, relevance, communication of results, capacity building and outreach in the South. These are all stated goals in the Institute’s own strategy document from 2001. Each aspect has been translated into a set of criteria applied to each program. For the purpose of this evaluation the five aspects are weighed evenly.

Table 5.2. Criteria used for assessing CMI strategic programs

Aspect	Criterion
Scientific quality	Number of articles in ranked journals
	Number of monographs published by respected presses
	Number of book chapters
Policy relevance	Relevance to policy problems in the South
	Relevance to policy issues in the North, especially Norway
	Relevance to CMI’s own strategy
Communication of results	Variation in modes of disseminating results
Capacity-building	Training of master’s and Ph.D. students at CMI
	Training of researchers in the South
Outreach in the South	Institutional collaboration
	Collaboration with individual researchers

The Team also decided that CMI should be evaluated in the framework of international standards. The bar for this exercise, therefore, has been raised to highest possible level. To ensure fairness and provide a baseline that can be used in the future – or in the context of other similar evaluations – the Team adopted and adjusted the evaluation scale used by the Research Council to assess individual projects submitted for funding in its own competitions (See Annex 3 for details). This scale has been applied to the five aspects

above and the various criteria associated with each. The final score for each program, therefore, is an aggregate of all these criteria and judged in accordance with scale below:

Table 5.3. Scale for assessing strategic institute programs at CMI.

Scale	Grade	Explanation
7	Exceptional	Outstanding in international comparison
6	Excellent	Very highly regarded in international comparison
5	Very Good	Highly regarded in international comparison
4	Good	Of limited interest in international comparison
3	Fair	Barely meets international standards
2	Weak	Does not meet international standards
1	Poor	Definitely falls below international standards

It must be pointed out that the use of this scale applies to a combination of quantitative and qualitative information available to the Team. It does not pretend that its own assessment is chiseled in stone. It is obviously the collective view of team members who like scholars in regular peer-review contexts volunteer their opinion as professionally and fairly as possible. The scale above, therefore, should be interpreted as serving the purpose of providing a degree of consistency in the team members' judgment that would not necessarily have been there without such an instrument.

With these introductory comments, the report now turns to the seven individual programs included here.

a) Human Rights Program

Introduction

It seems appropriate that the evaluation of specific programs begins with the Human Rights Program (HRP). Started in 1983 it is the oldest of all ongoing programs. It may be referred to as the "mother of all programs" in that it has inspired the content and direction of many other subsequent programs. Thus, Courts in Transition and Peace Building are examples of more recent programs that have built on the achievements of the HRP. In order to understand its significance within the Institute and how it has helped generate new program activities it is necessary to consider its full history.

HRP was originally conceived as a complement to the Institute's first program – the Development Research and Action Program (DERAP) – which had a strong development economics focus. As conceptions of development shifted in the late 1970s from being needs oriented to one in which rights played a greater role, the Institute engaged in an internal process aimed at incorporating a rights perspective into its program objectives. As DERAP gradually folded and its technical assistance component was brought to an end, HRP emerged as the backbone of the Institute's program activities during much of the 1990s.

Its philosophy was based on the premise that civil and political rights, while important, are not sufficient for a rights-based perspective on development. It must also consider social

and economic rights, which in the perspective that was adopted by CMI were seen as fundamental, if not a prerequisite, to the realization of civil and political rights. For instance, the right to education and the rights to health had become important following the resolutions made at international conferences in the 1970s for "primary education and primary health for all".

The human rights program that CMI started in the early 1980s was a pioneering effort in that it treated human rights in their broader socio-economic and political context. It was no coincidence that its first director was a political scientist (Bernt Hagtvet), not a lawyer. CMI was one of the first institutions to highlight not just violations of human rights but the underlying causes of these violations: why do they take place? Much of the answer focused on the nature of political regimes. When a focus on regime transition became mainstream in the discipline of political science in the early 1990s, researchers at CMI, through the HRP, were already doing work on the relationship between human rights and political regime. The full story of the HRP is quite well told in the Introduction to *Writing Rights*, the edited volume on human rights research at CMI 1984-2004 published in conjunction with its 75th anniversary².

The program is based on six "pillars": (1) human rights in the democratization process, (2) human rights in conflict and post-conflict situations, (3) the role of courts in upholding of human rights, (4) development of norms for human rights protection, (5) human rights concerns in foreign policy, trade and aid, (6) human rights and corporate social responsibility. This places the program in a very central position within CMI with links to most other programs. Its position allows it to contribute to conceptual and philosophical framing of justice, democratization, and development in a changing world, and influencing policy on institutional, judicial and political reforms, international aid and peace building.

Evaluation

From all indications, the program was well conceived and has been sustained over a long period although its coverage has been reduced and eclipsed by other programs. This is the result of a definite "straddling" that has taken place across programs with the human rights program "blending" into the democratization and peace building areas. More problematic is the fact that while the Institute can point to several important publications and some commissioned research carried out under the label of this particular program, it has lost its coherence and strategic direction.

1. Scientific quality

Given the expertise available to the program, it has managed to produce some high quality research in the fields of human rights, good governance and democratization, particularly relating to how these can be best promoted in the developing world. Since 2001, the HRP has published 7 books, 10 journal articles and 13 book chapters. In addition, the program has to its credit since 2003, 6 CMI Reports, 2 CMI Working Papers and 3 external reports, one in the South.

Of special significance, in addition to *Writing Rights*, are *Democratization and the Judiciary: The Accountability Function of Courts in New Democracies*, London: Frank

² Ivar Kolstad and Hugo Stokke (eds.). *Writing Rights*. Bergen: Fagbokforlaget 2005.

Cass 2004, *Roads to Reconciliation*, Lanham, Mass.: Lexington Books 2005, and a special edition of *International Journal on Minority and Group Rights*, vol. 13, nos.2–3, 2006. This edition is the result of a joint project between CMI and the Norwegian Center for Human Rights at the University of Oslo titled *Accommodating Difference*. This project looks at different mechanisms for ensuring good relations between peoples of different characteristics, including minority protection, territorial delineations as in types of federalism and cross-ethnic membership in public affairs. CMI recently hosted a three-day workshop under the project with a specific focus on Bosnia-Herzegovina and a book is expected to result from that workshop, edited by Tone Bringa. Mention should also be made here of contributions by individual scholars, e.g. Sigfried Pausewang's project on local democracy in Ethiopia. He works with local communities in spreading ideas of participation and discussion of public affairs. He co-edited a book with Bahru Zewde on *Ethiopia. The Challenge from Below* (Uppsala and Addis Ababa: Nordic Africa Institute, 2002), which has been reprinted due to popular demand. Other contributions include a volume by Kjetil Tronvoll and Lovise Aalen, *Ethiopia since the Derg: A Decade of Democratic Pretension* (London: Zed Press, 2002) and a book edited by Pausewang and Gunnar M. Sørbo, *Prospects for peace, security and human rights in Africa's Horn* (Bergen: Fagbokforlaget, 2004). Finally, Ivar Kolstad has conducted research on the normative basis of corporate social responsibility and social norms, which has resulted in several international publications.

2. Policy relevance

There is no doubt that human rights is a major area of competence at CMI, but its boundaries as a strategic program are indeed difficult to identify. The contributions, therefore, appear a little scattered. The most important contributions with policy relevance include CMI's membership in the Association of Human Rights Institutes (AHRI) It is a dynamic network of European human rights institutes which meet at annual conferences, at present comprising Western and Eastern European countries: Austria, Belgium, Denmark, Finland, Germany, Hungary, Iceland, Ireland, Latvia, the Netherlands, Norway, Poland, Serbia & Montenegro, Sweden, and the United Kingdom. This network has successfully accessed EU funding through the COST Programme for *COST Action A 28, Human Rights, Peace and Security in EU Foreign Policy*. One of its four working groups handles human rights and development and is chaired by a CMI staff member (Arne Tostensen). He also represents CMI on the COST 28 Management Committee. The output from this working group is a book with the working title *Sharing Responsibility for Development: Exploring the Parameters of International Human Rights Law and Policy*, to be published in 2007 by Intersentia (a reputable publisher specializing in HR literature, based in Antwerp, Belgium). As an EU-funded project, policy relevance is built into the project and the contributors include partner institutions in the South. However, AHRI is basically a pan-European network (yet with many collaborating institutions in the South).

Mention should also be made of HRP work on business ethics and corporate social responsibility. Hugo Stokke was commissioned by the Research Council of Norway to do a report on *Human Rights and Private Enterprise with an Emphasis on Companies Operating Abroad*, co-written with Pia Rudolfsson Goyer at the Norwegian Center for Human Rights and published in 2000. Finally, the Team wishes to acknowledge the commissioned work done under the auspices of this program. Among these projects are an evaluation of Danish support to human rights and democracy; a review of the human rights portfolio of Ireland Aid; a review of the Nepal Human Rights Yearbook; a review of

International Media Support, an NGO providing assistance to media in conflict situations; a review of the partnership programs of the Danish Institute for Human Rights; and, a commission from the Norwegian Ministry of Foreign Affairs to do a background study for a regional strategy on human rights and human trafficking in the Asia region.

3. Communication of results

The HRP as a program does not demonstrate enough of a dissemination strategy that may impact societies undergoing transformation and empower people through the knowledge CMI can help disseminate towards promoting more justice and democracy internationally. This being said, it is important to mention here the six editions of the *Human Rights in Development Yearbook* published in the 1997-2006 period. Three editions were edited at CMI. This project started out as a review of the human rights practices of Norway's main co-operating countries in the mid-80s, but has over the years turned into thematic anthologies addressing issues of general relevance for human rights and development policies. Themes worth mentioning include reparations and the redress of past wrongs; the relationship between formal and informal law; and the human rights-based approach to development. The yearbook project has always attempted to include researchers from the South, but there has not been a deliberate capacity-building component, the requirement being that contributors should have the necessary academic qualifications. Policy relevance has been an important factor in selecting themes and book copies have been sent to partner institutions in the South, thus ensuring wide dissemination. The yearbook series has now been discontinued, but collaborative research continues in other forms under AHRI auspices.

4. Capacity building

The capacity that this program has helped build has been in-house rather than in the South, at least according to the documents available to the Team. It organizes monthly seminars, co-hosts seminars or conferences on human rights. Hilde Selbervik did her doctoral thesis in history on Norway as a donor in the conditionality epoch 1980-2000, drawing partially on HRP funds. It has served as an important program for the training of master's and Ph.D students on secondment to the Institute. In this respect, the HRP has been an important venue for local capacity building. There is much less evidence that there has been a similar capacity building in the South. To the extent that it has taken place in the past five years, it seems to have been the prerogative of other programs that straddle the human rights field.

5. Outreach in the South

From its publications, research projects and related activities, the Team infers that the program – at least in the past five years – does not have a sustained outreach to scholars and institutions in the South. There is some evidence of limited co-writing/local publishing with scholars and institutions in the South, e.g. in Bangladesh and Zambia. More could be done to reach out to these societies in transition where people need to be empowered through access to information about their rights. An enhanced outreach effort would entail closer institutional collaboration, co-publishing, local publishing in these countries, co-

hosting of seminars/conferences, networking, as well as working with local schools and media, state institutions and civil society groups.

Conclusions

The self-study that was submitted to the Team by CMI indicates that the HRP will be adjusted with a clearer focus and facilitate greater dissemination of research, and develop greater interaction with other institutions in the human rights field. This is a confirmation to the Team that CMI itself sees the weaknesses of the program as it is constituted today. There is definitely a need to identify what it is that this program should do that is not already done by the other programs in the Institute. The restructuring of the research organization that is anticipated in light of the new Strategy will provide an opportunity for doing exactly this. The Human Rights Program may have been a crown jewel in the past but with regard to several of the criteria applied here, the program today does not match as high international standards as it could if it had been better managed. Thus, even if there are a few high-quality and policy relevant activities and publications, it is inadequate with regard to capacity building, dissemination and outreach in the South. The Team is ready to give the program the overall grade of *Good*.

b) Peace Building Program

This is a young program that has become an important component of the Institute's overall activities. The Peace Building Program (PBP) is hinged upon a critical but careful balance between pragmatism, idealism and intellectualism that has produced academic and policy relevant research on the transition(s) from war to peace. It is a program that has been driven to a large extent by interest among multilateral institutions, aid agencies and individual governments for an informed analysis of post-conflict transitions across the world but also by the research interests of CMI's own staff. It has been able to combine a strong academic profile while also serving these clients interested in an applied type of research.

Studies have been carried out that examine the contested concepts in the peace discourse itself. The empirical focus has been wide stretching from post-war aid, foreign intervention, cooperation, and humanitarian assistance to the broader issues of security sector reform, reconciliation and transitional justice as well as reconstruction. An important aspect of the studies in this program is the focus on evaluation of specific post-war peace-building initiatives, some of these being commissioned work.

The geographical coverage has been equally broad, but it has been particularly involved in Afghanistan and more recently also Sudan. The various projects cover such topics as the effects of post-war aid, peace building in Afghanistan and Sudan, peace agreements in post-conflict state-building, and disarmament, demobilization, and reintegration. A good deal of information is available about this program on the web, including information about evaluations done e.g. on humanitarian assistance in Afghanistan and the effects of mine action on peace building.

The program has been generously funded from a range of sources: Norwegian Ministry of Foreign Affairs, NORAD, Norwegian embassies, the Research Council, DANIDA, and the Ford Foundation.

Evaluation

The PBP is well conceived and has been very active in the past few years. It has been one of the high-profile programs at the Institute.

1. Scientific quality

Given the broad scope of international peace building, the program covers a lot of ground. Its projects are a mix of commissioned and independent research. Since 2001, PBP produced 3 books, 7 articles in peer-reviewed journals, and 4 book chapters. There is the problem again that this program is claiming some of the same publications for its own record as the HRP. Since two books were already evaluated under the HRP, the Team has refrained from including them here.

The articles published in this program have been placed in journals that have a good reputation in the scholarly community, e.g. *Journal of Refugee Studies* and *Third World Quarterly*. The contributions are generally well written and of very high quality touching on cutting edge issues in peace building research. Of note are publications that deal with transitional justice, the peace-development nexus, post-war aid, and state building in Afghanistan. All these make an original contribution to the literature.

2. Policy relevance

This program has high policy relevance and many of its publications, both articles, books and reports, demonstrate this. For example, the writings on post-war aid call into question the conventional "war economies" paradigm on which international policy on cooperation and assistance is based. By showing with empirical data and statistics the questionable premise on which such policy is based, the research provides a scientific justification for helping policy-makers to make more informed choices. The same can be said about other publications that explore and contest the various concepts on which peace building discourses rely. This research shows the complex dimensions of peace and shies away from the often simplistic assumptions that guide peace consolidation efforts. This is the kind of research that is needed in the international community. Even if not every one agrees with it, the various CMI publications in this field contain messages that are potentially very usable in policy circles.

3. Communications of results

This is a program that has been quite active in sharing its views and findings with various constituencies. Researchers have aimed at relevant academic journals and have issued CMI reports as well as CMI briefs. Its work has featured in the annual reports – a new but important venue for dissemination of results – as well as in more popular news outlets. There may be a need to consider how its findings can be more effectively shared with local partners and people affected by conflict. This reservation notwithstanding, the Team believes that this program has made strategic choices with regard to outlets and tried to maximize its impact not only in academic but also policy circles. Its work is much appreciated in Foreign Ministry circles in Oslo and it has reached a level of appreciation that is notable also in international circles as evident from the number of commissioned studies that have been requested from its principal researchers.

4. Capacity building

The PBP has been a catalyst for building competence at the Institute. Several master's and Ph.D. students have participated in its activities. Interviews with junior researchers and students at CMI confirmed this to the Team. The Institute library has also been of great assistance to this program and continues to be a valuable resource for researchers in this field. It has also contributed to building capacity in the South through the various networks and cooperative projects that it has generated and participated in. A good example is the collaboration with Muwatin in Palestine, for which this program has been of particular interest and relevance. It clearly meets the expectations that one would have of an Institute that is engaged in studying peace in the current global context.

5. Outreach in the South

The program has been very active in the South and has made an effort to reach out to local partners. This is true in countries such as Afghanistan, Palestine, Central, Eastern and Southern Africa. There has been direct collaboration with scholars in these countries as well as efforts to publish some reports in local languages, e.g. in Afghanistan and Palestine. More could possibly be done with regard to joint publishing, for instance, with strategically placed regional organizations that have their own outreach. Because partners generally have access to the Internet, it is also important to recognize the outreach role that the Institute's user-friendly home page plays. It is full of interesting material that bears on the themes of this particular program.

Conclusions

The Team is in agreement that this is one of the more active and successful programs. It has been well funded – an indication of its quality and relevance itself – and it has shown that it can deliver. Staff has acted in a strategic fashion consciously trying to achieve its various objectives. Its members have published in ranked peer-reviewed journals, produced a couple of books (although we have paid less attention to them here because they were already reviewed in the Human Rights Program) at respectable presses, a series of CMI reports and CMI briefs as well as a couple of reports to clients, including the Dutch Ministry of Foreign Affairs. Its relevance to policy as well as CMI strategy is not in doubt. Nor is its contribution to building competence and its outreach in the South. In fact, it has made an important contribution to enhancing CMI's profile and visibility. On balance, the Team is ready to grade this program *Excellent*.

c) Courts in Transition Program

Motivated by the growing political importance of the judicial branch of government in many parts of the world CMI, in collaboration with the Faculty of Law and the Department of Comparative Politics at the University of Bergen, the Centre of Applied Legal studies (CALS) at the University of Witwatersrand, South Africa and Universidad Torcuato Di Tella, Argentina, established a research program on "The Political Role of Courts" in 2002. In 2003 this initiative was further developed into the Courts in Transition Program (CITP) and established as a CMI Strategic Institute Program. The SIP status and funding at CMI has been carried forward until the end of 2006. Current external funding runs through 2007.

Whereas the importance of the courts in new and fragile democracies has been for many an established fact, systematic, factual knowledge about the role courts can and do play under various conditions is scarce. The program attempts to fill in this gap by developing a theoretical and methodological basis for comparative analysis of the social and political role of courts in the democratization process. It attempts to contribute to a better understanding of the accountability function of courts vis-a-vis political authorities, their role in promoting socio-economic development, their capacity to provide access to justice to marginalized groups, as well as the conditions under which courts generate legitimacy for their role avoiding undue politicization. In order to shed light on whether the assumptions found in the literature on the political and social role of courts hold explanatory force across diverse socio-legal contexts, the methodological and theoretical approach is based on a strong comparative component developing cases across regions and legal traditions, Latin America, sub-Saharan Africa, Eastern Europe and Asia. The research is grounded in skepticism towards what is termed “legal transplanting” and seeks to understand how legal institutions are formed within specific socio-political contexts. This approach enables answers to questions like:

- Why do some judiciaries lamely condone foul play by those in power, while corresponding institutions in other countries fight to secure that the rules in the democratic game are allowed to operate fairly?
- Why do some courts function as an arena where the poor and marginalized can fight for their rights while others contribute to the dominant patterns of social exclusion?
- What are the effects of judicial reforms?

CITP consists of eight projects either self-initiated or commissioned work. It is organized under two main pillars titled (1) “Democratization and the Judiciary: Accountability Function of Courts”, and (2) “Justice for the Poor: The Role of Courts in Socio-Economic Transformation”.

This SIP runs on several sources of funding. Core funding has been provided through the CMI Strategic Institute Program for the period 2003-2006. The Norwegian Research Council has provided long term research funding for the two main pillars of the program as well as the collaborative project between the Centre for Applied Legal Studies and the CMI: titled “The Role of Courts in the Consolidation of Democracy and Social Transformation in South Africa” (2002-2005). A post.doc. grant by the University of Bergen facilitated the establishment of the program and research carried out 2002-2005. An annual workshop conducted during the program period has received funding from CMI, University of Bergen, and the Ford Foundation. The Norwegian Embassy in Bangladesh funded a pilot project on “The Role of Courts and Civil Society in Safeguarding Women’s Human Rights”. The program has also generated commissioned work for NORAD on “Aid to Judicial Reform”.

Evaluation

1. Scientific Quality

The combination of the actuality of the research theme, a well crafted research design, the ability of the program to generate funding from various sources, and to attract and maintain a high quality research network form the basis for its impressive amount of activity both

regards developing new related topics of research, publications and dissemination of findings.

The first key publication of the Courts in Transition Program is “Democratization and the Judiciary”³. The authors of this collection of papers are jointly concerned with a reflection on the accountability functions of courts in new democracies. These cases cover the experiences of African and Latin American countries and illustrate the range of difficulties courts are facing as well as the strategic moves taken to preserve the autonomy and political independence of the judicial branch. One striking discussion is the critique of the conventional wisdom on judicial governance, that the independence and autonomy of a judiciary are necessary prerequisites of the rule of law. The authors question the assumption that judicial independence is always good. It does not always produce desirable outcomes. It may become too autonomous, devoid of all accountability, a power above the law. If judges are granted the final interpretative authority of the constitution and neither people nor the political branches have any significant authority over the courts, are the consequences for democratization really beneficial? Another important and interesting issue touched upon in this volume is the court as an arena for social and economic justice, a domain often taken to belong to the realm of politics, government and civil society. Is the court properly equipped and legally authorized to perform resource allocation? Should the court abstain from issues that profoundly affect political resource allocation, or can the cases concerning social and economic justice be a tool for the court to create legitimacy for itself?

The question of the role of courts in social transformation is developed further in the second pillar of the research program. This research theme – Justice for the Poor – has been the subject of two workshops. The first volume published under this second pillar focuses on the role that courts play in enhancing the voice of the poor in new democracies.⁴ In addition, one volume and one co-authored book are in the pipeline⁵. The main question asked is what turns some courts under some circumstances into agents of social transformation. To what extent can the legal system secure the political leaders’ responsiveness and accountability towards the need of the poor and vulnerable groups? Gloppen addresses the role of litigation as a strategy to fulfill the social rights laid down in the South African constitution. She shows that leaving issues of social and economic rights to the courts does not have to undermine the political process nor does it undermine the rule of law or the authority of the courts.⁶ Her paper argues that while not sufficient, social rights litigation can clearly be useful to improve the social rights condition in society. It does become important, however, wherever the political system tends to silence the voice of those deprived of their rights.

CMI staff has produced no less than 32 publications under the two main research pillars. This number breaks down into 6 reports published in CMI’s own series, and one master’s

³ Gloppen, Siri, Roberto Gargarella and Elin Skaar (eds). *Democratization and the Judiciary. The accountability function of the courts*. London: Frank Cass 2004.

⁴ Gargarella, Roberto, Pilar Domingo and Theunis Roux, (eds) *Courts and Social transformation in new democracies, An institutional voice of the poor*. Aldershot: Ashgate 2006.

⁵ Javier Curso, Siri Gloppen, and Rachel Sieder (eds). *Courts and the Marginalized*. (manuscript due fall 2006)

Courts and the poor (collective book) manuscript to be completed mid-2007.

⁶ Gloppen, Siri 2005. “Social Rights Litigation as Transformation: South African Perspective”, CMI Working paper 2005:39. A modified version is forthcoming in Peris Jones and Kristian Stokke, *Democratization Development: The Politics of Socio-Economic Rights in South Africa*. The Hague: Martinus Nijhoff 2006.

thesis. The rest consists of four edited volumes and two monographs published by respectable presses as well as 8 articles in peer-reviewed journals and twelve chapters in edited volumes. In addition there were in mid-2005 several publications in the pipeline: one article accepted in the *East African Journal of Peace and Human Rights*, another article submitted to the *Journal of International Law* and finally a chapter on “The Judiciary” in a political science textbook to be published in Malawi.

There is little doubt that the scientific quality of the work done under the auspices of this program meets very high international standards.

2. Policy Relevance

Although the main activities of the SIP addresses the scientific community the program has demonstrated its relevance to policy issues in relation to the role of courts in new and often fragile democracies and the challenges and impact of aid to judicial reform. Judicial reform represents a relatively new terrain for Norwegian development assistance, but one of increasing magnitude and importance. In the CMI report “Aid to Judicial Reform: Norwegian and International Experiences”, the researchers examine the efforts that have gone into judicial reform by international donors with special attention to the contribution by Norwegian agencies.

The motivation for getting involved in judicial reform stems from the view that a weak legal system is seen as an obstacle to increasingly important aims such as human rights, good governance, democratic accountability and the fight against corruption. Post-conflict countries need strong legal systems both to deal with the violent past and to prevent armed conflict from recurring. The relevance of this program for policy issues in the south is high.

Judicial reform is said to be at the cutting edge of international efforts to promote development of democracy abroad.⁷ The research themes of this program will therefore continue to be relevant for many years to come. The ability of the Courts in Transitions Program to continuously raise new and interesting questions about the role of court in new democracies and then explore them across differentiated contexts holds promise for both the immediate output as well as those of the future. This research theme therefore, ought to remain on the CMI research agenda also for the next five years. The program is very relevant to CMI’s present and future strategy. It is of great relevance to international as well as Norwegian agencies. The researchers are in demand for their insights because they have established a reputation as being not only academically respected but also conscious of the value their work has to policy people.

3. Communication of results

Within The Courts in Transition Program conscious consideration is given to reaching different audiences. The researchers publish in English, Norwegian and Spanish. Publications vary from articles in scientific journals, to textbooks and consultancy reports. They have disseminated their findings in seminars and workshops at NORAD, departments within the Ministry of Foreign Affairs and the World Bank. They have given papers and

⁷ Foaundez, Julio (ed.). *Good Governance and Law: Legal Institutional Reform in Developing Countries*. London: Macmillan 1997.

hosted panels at conferences in various places, e.g. the Norwegian Foundation for Development Research as well as universities and institutes in Latin America.

This is a program in which researchers have carefully considered reaching different audiences by creatively using a broad range of means of dissemination. The researchers live up to the Institute expectation that they publish not only in international journals but also disseminate research findings through other relevant means.

4. Capacity Building

Ever since the initial stages of the Program in 2002 priority has been given to engaging and maintaining a network of international researchers with a long-term involvement in the field. The network includes senior international experts like Martin Shapiro, Irvin P Stotzky, Jennifer Widner, Andràs Sjàjo, Malcolm Feely and Carlo Guarnieri together with younger established researchers and students. The CMI and the Faculty of Law (UoB) have jointly and independently hosted guest researchers as part of the Courts in Transition Program, e.g. Theunis Roux (2003), Robert Gargarella (2002-03) and Sebastian Linares (2006). CMI staff has also been visiting researchers, most recently Siri Gloppen at Harvard University (2005-06). The network is interdisciplinary and consists of anthropologists, lawyers and political scientists.

This program has contributed to building capacity both at CMI and in the south, the range of publications of network partners as well as CMI's own researchers bears evidence of the important role that it has played in this area.

5. Outreach in the South

The program has initiated and maintained institutional collaboration with CALS, South Africa and Torquato de Tella University in Argentina. Care has also been given to integrate researchers from the South in the network as well as in the different projects. In addition to European and American based scholars, the network consists of researchers from Malawi, Tanzania, Uganda, Angola, Chile and Columbia.

The program has generated highly valued agreements of institutional collaboration in the South in which several researchers are actively involved in sustaining the collaboration. Particularly impressive is the ability of the CMI researchers to sustain active contacts in the South and ensure the input and full participation by a range of both senior and junior researchers from countries in that part of the world.

Conclusions

CITP is an exemplary case of what a strategic program should be. It has done many things right. The amount of sound empirical knowledge produced by this program across a range of differentiated contexts is very impressive. Its ability to create and maintain a committed and productive network of international researchers of high standard that has been at the forefront of generating new theoretical perspectives and methodological tools across disciplines, bears evidence of its internationally high scientific credentials. The publications address pertinent policy issues in the field of the judicial branch of government in new democracies. The growing focus within development circles, internationally as well as nationally, on the need to create a viable judiciary in order to

strengthen the democratic function, has greatly enhanced the policy relevance of the Courts in Transition Program. Its research themes are of direct relevance to other CMI programs, notably POLINAF and Peace-Building. Together, these programs provide somewhat of a core at the Institute in which many master's and doctoral students have found an inspiring intellectual environment. The fact that many foreign scholars have visited the Institute under the auspices of this and its "sister programs" only adds to the overall value that it provides at CMI. The Team has no hesitation in rating the Courts in Transition Program as *Excellent*.

d) Corruption and Reform Program

Introduction

The major objective of the Corruption and Reform Program (CRP) is to produce new theoretical and empirical insights into the nature and determinants of corruption in political, economic, and social processes on a multi-disciplinary and comparative basis. The program also aims to strengthen research at CMI on economic and political reforms and public administration in poor countries. It also sees itself as a resource of relevance to the Norwegian Ministry of Foreign Affairs, NORAD and other donor agencies in their efforts to plan and implement anti-corruption strategies.

The theoretical and methodological perspectives of this SIP have been based primarily in the disciplines of economics and political science but have also involved social anthropology and public administration. The main analytical focus has been on the structural and institutional determinants of corruption and on the constraints and possibilities for reform.

Evaluation

1. Scientific quality

This program has produced a long list of publications, the problem being, however, that the vast majority of the scientific publications are by one and the same person – Odd-Helge Fjeldstad. His contributions include 13 articles in scientific journals rated at level 1 according to the Norwegian system. He has also written two chapters in edited volumes rated at level 2 and 4 in edited volumes rated at level 1. Although Inge Amundsen played a major role in developing this SIP and extended it to the South through a collaborative arrangement with Muwatin in Palestine it is Fjeldstad who has become the dominant figure in this program. Amundsen's legacy is foremost an edited volume titled *State Formation in Palestine*, published by Routledge Curzon in 2004. This program is scientifically at a high international level as manifest in two published articles in volumes at reputable academic publishers, a couple of books and articles, e.g. by Tina Søreide, published in peer-reviewed journals. Other publications that should be mentioned here include 10 CMI Working Papers or Reports, to which other researchers have also contributed. The Team also notes that some of the publications included here are listed elsewhere under the auspices of other related programs.

2. Policy relevance

The theme of this program is of obvious relevance to policy circles in the South, but its main focus has been to serve clients in the North. To be sure, there has been some outreach activities in the South, Palestine, Tanzania, Uganda and Namibia, but the Utstein 4 Anti-Corruption Resource Center, which CMI was able to get after an international tender is the most prominent component of the program. It serves client agencies in Norway, Netherlands, Britain, Sweden, Denmark and Germany with advice on how to design anti-corruption strategies and think through the various issues associated with putting such a strategy into place. The demand for these services continues and serves as an important impetus for keeping the program going. In addition to these services, commissioned work has been undertaken for clients in Norway, notably the Ministry of Foreign Affairs and NORAD as well as elsewhere, e.g. Angola.

The program is of great international and national interest and CMI has been able to establish itself as a key actor thanks to the U4 Center. Its role in policy circles, however, has been confined more to the North than the South, maybe an inevitable consequence of the greater focus on the South in other related programs, e.g. Taxation, Aid and Democracy.

3. Communication of results

The dissemination of information by this Program has also been shaped by the U4 Center which has a double objective of providing a learning environment and supplying management tools for the Utstein partners and their staff and an opportunity for others to learn about the activities, projects, and the thinking of these partners on anti-corruption activities. Communications within this Program, therefore, tends to be more targeted than it is in some of the other programs. It is also clear that the academic publications by Fjeldstad are not exclusively related to the activities of this program but has a close tie to others, notably Taxation, Aid and Democracy.

4. Capacity building

It is not clear how much this particular program has contributed to capacity building at CMI or in the South. Fjeldstad's dominant role cannot be ignored but because he has been engaged in so many activities outside of the Institute, it is not clear to the Team what exactly his contribution has been in this area. Several other prominent researchers have been attached to the program. They include Inge Amundsen, Tina Søreide and Tone Sissener as well as Bertil Tungodden, a professor of economics at the University of Bergen. Specifically noteworthy is that this program was the academic home for Tina Søreide who completed her Ph.D. dissertation titled "Business Corruption: Incidence, Mechanisms and Consequences" at the Norwegian School of Business Administration (NHH) in February 2006.

5. Outreach in the South

Several of the conferences and seminars where Fjeldstad has participated with a paper have taken place in developing countries such as Palestine and Uganda. The other researchers in the Program do not seem to have participated at conferences and seminars in those countries. Fjeldstad has also disseminated his research via mass media in Namibia.

According to the CMI self-study report “various forms of contact” with a number of research institutions in the South were carried out, e.g. Centre for Basic Research, Kampala, Uganda, Centre for Policy Studies, Johannesburg, South Africa, Institute for Social Studies, Cape Town, South Africa, Makerere University, Kampala, Uganda, and the Institute for Research on Poverty Alleviation (REPOA), Dar es Salaam, Tanzania. However, nothing is said about the *kind* of contacts with these institutions. The actual outreach in the South therefore is hard to assess. The contacts seem to have been rather intermittent and do not seem to have rendered joint publications or other proof of what these contacts have achieved.

Conclusions

This is another program, somewhat similar to the Human Rights Program, where the Team is inclined to conclude that despite the presence of fine talent within the Institute as well as in the networks, the aggregate outcome of its activities falls short of high international standards. Its strength really lies in the U4 Resource Center and it is this component, which it shares with the Taxation, Aid and Democracy Program that gives it respect. The scientific quality of Fjeldstad’s publications are not in doubt, but they are independent of the program (or as much part of TADP) that they cannot be counted also here as evidence of this program’s special scientific quality. The dissemination is also colored by the U4 project. It has inevitably directed much of the effort toward clients in the North at the expense, it seems, of southern partners. The latter have not played a strategic role in this program. In the light of the comments above, the Team is ready to rate this program as *Very Good*.

e) Taxation, Aid and Democracy Program

Introduction

The Taxation, Aid and Democracy Program (TADP) has been a prominent part of CMI activities in the past five years. Started in 2000 it addresses issues of political representation and accountability that are central to the academic literature on democratization. It also responds to important policy issues regarding fiscal regimes and their role in fostering democracy and development. CMI researchers have been part of an international network of scholars working on these issues. This involvement has cast them in the global limelight as far as both academic and policy debates go. It is a program that has evolved over the six-year period in response to new issues and debates. They continue to change and are likely to remain important in the foreseeable future.

The initial objective was ambitious in that it was designed as a comparative study of the performance of tax systems in three African countries: Namibia, Tanzania and Uganda. It is not clear, however, that the original architects – Ole Therkildsen of the Danish Centre for Development Research (CDR) and Odd Fjeldstad of CMI with support from Lise Rakner at CMI and Joseph Semboja of the Research on Poverty Alleviation (REPOA) in Tanzania – had a sense at that time of all the pertinent issues that their research program was going to unfold. Nor was it clear at the time whether the study was meant to be based on a “most similar systems or a “most different systems” design. For instance, the project proposal acknowledged the difference in terms of historical, economic and political legacy

but emphasized at the same time the similarities with regard to the political process since the 1990s. The important thing, however, is that the project has been allowed to evolve in response to findings and new issues being raised in academic and policy contexts.

Funding for this program was originally provided by the Danish Ministry of Foreign Affairs (Danida) and the Norwegian Research Council, the latter with its NOK 3.2 million for three years contributing almost twice that of Danida. The Danes were responsible for funding the research in Tanzania and Uganda while NRC helped finance the studies in Namibia and the participation by Norwegian researchers.

Although nobody ever worked full-time on this program at CMI or any of the other institutions involved, it soon became a temporary intellectual home for no less than twenty-four researchers from six countries. In addition to the three institutions listed above, researchers from the following places actively participated in one way or another:

- Economic Policy Research Centre (EPRC), Kampala, Uganda
- Faculty of Law, Makerere University, Kampala
- Institute of Economics, Makerere University
- Uganda Debt Network, Kampala
- Faculty of Law, University of Dar es Salaam, Tanzania
- Namibia Economic Policy Research Unit (NEPRU), Windhoek, Namibia
- Norwegian School of Economics and Business Administration, Bergen

Through its own research, the Program has also been able to generate interest and contributions from three internationally prominent scholars: Mick Moore who heads the Research Program on the Future of the State at the Institute of Development Studies, Sussex University, Alice Sindzingre of the Paris-based Centre National de la Recherche Scientifique (CNRS), and Steven Friedman who directs the Centre for Policy Studies in South Africa.

Evaluation

1. Scientific quality

In an academic perspective, the findings relating to how foreign aid affects political accountability and thus democratization are the most pertinent and interesting. The Western experience suggests the more dependent a government becomes on domestically collected revenue, the more inclined it becomes to listen to the voice of citizens. Because of the limited revenue base in African countries and the ambition to accelerate national development foreign aid is perceived as necessary and beneficial. Aid dependence has grown in Africa since independence. More than twenty African countries receive foreign aid to the tune of more than 10 per cent of their Gross Domestic Product (GDP), some considerably more so. The downside of this high degree of aid dependence is that it becomes, like oil in the Middle East (and other countries with no democratic tradition) a reason for governments to ignore their own citizens in favor of external financiers. TADP tends to confirm this thesis but also highlights the role that donors play in shaping the policy agenda. Thus, while oil is neutral or passive as far as policy content goes, donors try to shape it thereby empowering government policy-makers and administrators rather than the citizenry. CMI researchers, notably Fjeldstad and Rakner, have actively participated in the academic debates through articles in such journals as *World Development*, *Journal of Modern African Studies*, and *Public Administration and Development* as well as the *IDS*

Bulletin and Forum for Development Studies that straddle the academic and policy spheres. These publications are evidence of a high level of scientific quality in an international perspective.

The scientific quality of the research as demonstrated in the various publications of the program is at a very high international level. Although there is no single book published by an academic publisher, the material presented in the IDS Bulletin (vol. 33, no 3) edited by Mick Moore and Lise Rakner amounts to a collection that is representative of the aggregate work done under the auspices of TADP. This piece titled "The New Politics of Taxation and Accountability" confirms the "cutting edge" role that TADP researchers have played in this area. The articles in the Bulletin, like several others published in peer-reviewed journals, are well researched with the local material being analyzed in a comparative perspective. It is not only the impressive number of publications that counts. Equally important is the effort to reach different audiences.

2. Policy Relevance

The strength of this program appears to lie in the academic more than the policy sphere, but there has been a direct spillover effect especially through the involvement that DANIDA has shown in this program. Through work in Tanzania, CMI has also participated in policy-oriented studies in this area in collaboration with the independent research and policy institute REPOA. Particularly significant have been issues like the role that local government taxation plays and how tax administration may be strengthened in East Africa. At a point in time when decentralization to local government bodies is still actively pursued by the international donor community (and some African governments), other findings of policy interest include the observation that taxation is not politically significant at the national level but matters at the local level where the majority of citizens encounter the tax authorities. Revenue collection itself tends to be haphazard and often relying on harsh methods, including jailing of those who fail to pay. Negative, if not hostile, perceptions of the state among the public stem in large part from the experience people have with pernicious tax collectors.

Several of the papers produced by this program have been presented at policy institutes like NEPRU in Namibia and the Danish Institute of International Studies (DIIS into which the CDR mentioned above has been folded). International seminars, workshops and conferences have also served as venues for sharing policy advice with policy practitioners from the North as well as the South. Local Danish and Norwegian embassies in Africa have been particularly significant users of this advice. Although it may be hard to trace the exact ways in which the output of this program has affected policy-makers in Africa or the Nordic countries, there is evidence that the findings generated by TADP point in the direction of subsequent decisions made to change policy. A prominent case in point is the decision by the Government of Tanzania in 2003 to cancel the local development levy, the principal means of local government revenue collection, which followed in the wake of publications issued by TADP researchers arguing that the costs exceed the benefits of this kind of tax and revenue collection. Thus, there is adequate evidence that this program has addressed issues of practical policy value and has made an effort to direct its publications not just to an academic audience but to a range of interested policy practitioners internationally.

3. Communication of Results

By the end of 2003 TADP researchers were responsible for no less than 105 different publications. One fifth was in the form of articles in peer-reviewed journals or chapters in edited volumes. 30 were papers presented at international conferences, workshops or seminars. There were twelve working papers published by CDR, CMI or NEPRU and another ten items listed as "popularized feature and debate articles in newspapers and newsletters". Even though many of the published items are variations on the same theme, there is no doubt that this program has generated an impressive output under its five years of existence. Particularly important has been the ability to differentiate the dissemination of findings so that it reaches divergent constituencies and audiences in the North as well as the South. The program has done a good job in communicating its findings broadly – in the Nordic countries as well as in Africa and in international conferences.

4. Capacity building

There is no immediate evidence that this program has deliberately engaged in capacity building, but doctoral and master's students at CMI have participated in and interacted with the senior researchers involved in this program. The extent to which it has directly contributed to capacity building in Africa is also not clear from information available to the Team, but through its involvement with such entities as the Uganda Debt Network and various academic institutions in Tanzania and Uganda, CMI researchers have been instrumental in bringing local researchers in these countries into an important mainstream activity in development research. The contribution that this program has made with regard to capacity building, therefore, may be more indirect than direct but nonetheless significant.

5. Outreach in the South

TADP has been consistently active in the South, notably in Tanzania and Uganda. CMI researchers, in collaboration with their Danish colleagues from DIIS, have sought out collaborative relations and brought local researchers on board. As such it has helped them to be part of a broader international research network focused on the relationship between taxation, aid and democracy. This effort has also paid off in more specific ways. Thus, for instance, one of the CMI researchers – Fjeldstad – has become attached as the sole foreign advisor to REPOA in Tanzania. Through this program and other related ones, like Corruption and Reform, CMI researchers have played a positive role in reaching out to colleagues in the South and gain their trust.

Conclusions

The theme of this program continues to be relevant. African countries remain as aid dependent as ever. With the decision by many donors, including the Nordics, to give direct budget support to select governments in Africa but also press these governments to engage in a fiscal form of decentralization, the issue of whether foreign aid preempts the opportunities for building local political accountability has become even more pertinent. Whether under the auspices of this or any other program, the theme ought to remain high on CMI's research agenda for the next five years.

Overall, the Team finds this to be one of the most successful programs at CMI in the past five years and is ready to give it a rating of *Excellent* in the light of its high scientific level in an international perspective, its broad policy relevance both in the North and the South, and the conscious decision of the researchers to differentiate its output so as to reach a broad range of interested and concerned parties.

f) Political Institutions in Africa

Introduction

”Political Institutions in Africa” (POLINAF) was established in 2001 and analyses the institutionalization of democratic processes in sub-Saharan Africa by focusing on institutions aimed at securing democratic accountability. The research is mainly focused on the functions of the following key institutions: elections, political parties, parliament, and the judiciary (including special institutions of constraint). The geographical focus has been on three African countries: Malawi, Uganda and Zambia. The program is established in cooperation between researchers from the Department of Comparative Politics (DCP), University of Bergen and the Chr. Michelsen’s Institute. In addition to joint studies, the research program entails a teaching component, which includes joint seminar series and graduate courses at DCP. Two CMI researchers, Lise Rakner and Siri Gloppen, maintain a half-time position in the Department. The program has engaged a range of other international scholars, e.g. Vicky Randall at University of Essex, Nicholas van de Walle at Cornell University, Deborah Brautigam at American University as well as Jørgen Elklit and Mette Kjaer at Århus University, in its activities. The CMI researchers have participated in international scholarly networks on a regular basis.

Funding for this program has been obtained from the CMI-University of Bergen Fund, the Norwegian Programme for Development Research and Education (NUFU), CMI’s own funds and Norwegian embassies in the three countries listed above.

Evaluation

1. Scientific quality

According to the CMI Self-Study Report, the “POLINAF research model, to a large extent meets the three core objectives expressed in CMI’s new strategy plan (2006-2010): research, dialogue and partnership”. The program’s scientific ambitions are clearly spelled out and geared toward academic publishing. Because of the general orientation of the program itself, the research team has developed a theoretical and methodological framework in order to get a focus and a consistent and comparative set of findings. The full details of this framework are not presented in any official publication but can be gleaned from the various articles and reports produced by the program.

The researchers at DCP and CMI have often collaborated in this program. This is especially true for Lise Rakner and Lars Svåsand, who have co-published in several different outlets, the most important being *Party Politics*, a top-grade peer-reviewed journal, and *African Social Research*. The latter, unfortunately, is not included in the list of journals for which Norwegian researchers may claim a credit point. They also have a joint piece in *Democratization* on the electoral process in Zambia. The same authors have yet another article due to be published in 2007 by *Comparative Political Studies*, one of the

top international peer-reviewed journals in its field. Another important joint publication includes Lise Rakner in co-authorship with Deborah Brautigam and Scott Taylor, and published by the *Journal of Modern African Studies*.

Another publication, which serves as a pride of this program is a textbook on Malawian politics – *Introduction to Government and Politics in Malawi* – that is an outgrowth of the personal networks with local scholars that this program has generated. Edited by Nandini Patel (a local scholar) and Lars Svåsand, it draws on contributions by, among others, Lise Rakner and Siri Gloppen. Lise Rakner is also listed as co-editor of a book on the 2006 Ugandan elections. Like the book on Malawi this will be put out by a local publishing house. Finally, Lise Rakner is also sole author of a monograph published by the Nordic Africa Institute on *Political and Economic Liberalization in Zambia* (2003). Apart from these publications there are 2 CMI Reports, 9 CMI Working Papers, and five other reports in relation to the so-called "Research on Poverty Alleviation".

2. Policy Relevance

The research program demonstrates considerable policy relevance. Most projects are directly relevant to the quest for democratic accountability in young African states. The projects and the related publications are often tied up to specific events in relation to political developments in African states. For example, the project "Political developments and the 2001 general elections in Zambia" focused on the institutions aimed at securing democratic accountability: a) institutions of representations, comprising the electoral channel, the parties and local level democracy; b) institutions securing horizontal accountability, herein the role of the judicial system; c) institutions outside the formal government structures like civil society and private economic actors aimed at securing democratic and economic accountability.

The main focus of the program has been elections and political parties rather than the institutions checking the state, one reason being that these issues are covered under the rubric of other related institute programs, notably Courts in Transition and Corruption and Reform. Thus, POLINAF has defined its comparative advantage to lie in political society with a special focus on elections, parties and parliament, a field that has been of constant interest among Norwegian diplomats and development cooperation officers in the local embassies. The policy relevance of this program is not necessarily at the same high level as its scientific quality, but there is no doubt that the researchers themselves have consciously tried to make their material available in a manner that appeals to policy analysts and practitioners.

3. Communication of results

Looking at its total number of publications, it is clear that this program has laid particular emphasis on academic outlets. The number of reports, commissioned or non-commissioned, is relatively small. Individual projects have developed their own websites. Perhaps the most important thing about dissemination is the conscious effort of this program to have its research findings published also locally. Although volumes published in Malawi and Uganda will give no real credit in the Norwegian academic evaluation context, the researchers involved have decided, with the full approval of the Institute management, to have the findings from their elections studies in Malawi and Uganda published in the respective countries. This is a precedent that should serve as a guide for

publication of future collaborative projects. In the light of this important initiative by POLINAF, the Team regards this component to be an effort that should be rewarded with a high level mark.

4. Capacity building

The effort to build competence has been an important part of the program. It has focused on in-house as well as overseas training. In collaboration with the DCP, it has developed 5 MA courses at the University of Bergen. A total of 10 master's students have completed their theses as part of the program. Two Ph.D. candidates are in the process of writing up their dissertations within the POLINAF framework. This activity has filled a void at the University and helped strengthen the relationship between the Institute and DCP. Each project in Africa has also included a capacity building component. In Malawi two master's students completed their degree with the help of NUFU funding. The Ph.D. candidate unfortunately passed away before being able to finish his degree. In Malawi, the program also organized two writing workshops aimed at making local scholars more familiar with writing for academic journals. These are significant contributions both in Bergen and in Africa and demonstrate the commitment the program has retained in order to enhance its international profile.

5. Outreach in the South

As the discussion above indicates, the outreach in the South has been considerable. It has helped give CMI visibility and recognition not only among African colleagues but also those officials who work in the local Norwegian embassies. It has helped generate products that are not only rewarding for individual CMI researchers but also assisting local researchers in the three African countries, where the academic environment is not especially congenial for good scholarly work, to promote their professional career and expose them to international scholarly networks. This is an effort that the Team is ready to recognize as the direction in which the Institute should continue to move.

Conclusions

This program scores high on each criterion that the Team has adopted. Its academic quality holds up very well indeed in an international comparison. It has proved capable of "shifting gear" to provide useful policy advice to local Norwegian embassies. It has collaborated closely with colleagues in the South and gone of its way to help them become more competent scholars. It has collaborated with them to publish important texts that are published in these countries. Finally, it has been very successful in raising funds for research. The Team has no hesitation in giving it the overall grade of *Excellent*.

g) Role of Producer Services in Economic Development

This program, which began in 1999, was a component of a broader emphasis on the study of globalization and development that had started a few years earlier. The Role of Producer Services in Economic Development (ROPSSED) is listed as a strategic institute program but it is not clear what exactly was done under its auspices because it is also conceived as a complement to another activity with a globalization and development focus titled

”WTO/GATS and Economic Development: Key to the New Economy”. The final report on this program was made available to the Team only after the first draft had been prepared. It is listed as the core project in the CMI SIP on Producer Services. The publications listed under this project are to a large extent identical with those mentioned in the final ROPSED report to the Norwegian Research Council in 2004. The Institute’s own presentation of what it is doing in ”Development and the Global Economy”, one of its areas of competence, is also adding to the Team’s confusion since there is no reference to ROPSED, only to WTO/GATS. This is another example of where the notion of what is strategic about the institute programs seems lost and project activities have been carried out in a rather uncoordinated fashion.

ROPSSED’s objective was to produce new theoretical and empirical insights into how changes in technology and liberalization of trade and investment in services change production systems and trade patterns in the world economy. This is a very broad objective and it is no surprise that this program lacked a theme or a focus that was sufficiently narrow to allow for a more concentrated research effort. Instead, ROPSED served more like a catch-all program consisting of a number of independent and unrelated projects on (1) trust, trade and telecommunications in Ghana, (2) tourism, the internet and intermediaries in Namibia, (3) barter exchange and networks in transition economies, (4) the role of foreign direct investment (FDI) in economic growth, and (5) liberalization of world trade and preferential market access. Some of these projects have been more productive than others.

Because of the overlap with WTO/GATS it is not easy to discern how many publications were the direct result of ROPSED. The final report to the Norwegian Research Council lists a total of 83, two thirds being internal reports and working papers or conference papers, the vast majority being meetings held at CMI. One of the priorities of ROPSED was to strengthen and develop CMI’s research network in Norway and among international agencies. Contacts were indeed established with Norwegian researchers based at other research institutions in Bergen, with the World Bank, the World Trade Organization and the Helsinki-based World Institute for Development Economics Research (WIDER), as well as with three research institutes in the South (Malaysia, Namibia and South Africa). Compared to the outreach and institutional collaboration achieved by other institute programs, ROPSED’s achievements are rather limited. The contacts with researchers in the South are intermittent and confined to particular individuals rather than institutions. There is no evidence that joint meetings were held with these institutions in the South. The same applies to international organizations, with one exception – the World Trade Organization – where one of the most active researchers in this program (Hildegunn Kyvik Nordås) moved before the program was brought to an end in 2003. In sum, it is difficult not to argue that this program was largely centered on the Institute itself and collaborative research was confined to other economists located at various institutions in Bergen.

Nordås, Ivar Kolstad and Arne Wiig were the most active CMI researchers in this program. None worked full-time but shared their time between ROPSED and WTO/GATS. Another researcher that made a significant intellectual contribution to this program was a Visiting Fellow – Henri De Groot, from the Department of Spatial Economics at the Free University of Amsterdam.

Evaluation

1. Scientific quality

Of the 16 items listed as "articles published in international journals and edited books", Nordås is the author of six, De Groot of four and Wiig of two publications. Seven are articles, the remainder chapters in edited volumes published by respectable but not top-rate publishers (Edward Elgar, Ashgate and Zed Books). The most prestigious is a chapter in an edited volume written by De Groot and published by Kluwer Academic Publishers. Nordås and her co-authors have preferred journals as outlet with one in the relatively highly rated *Review of International Economics*, another in the *South African Journal of Economics* and yet another in the *Nordic Journal of Political Economy*. Also included is a two-page article in *Trade and Industry Monitor* (South Africa), which is a trade magazine rather than a peer-reviewed journal. Wiig's contribution consists of two book chapters and one article in the Oslo-based *Forum for Development Studies*.

Of the thirty "reports, working papers and other publications", two thirds are internal CMI documents, a few others issued by the other Bergen-based research institutions. Papers written by authors in Malaysia, Namibia and South Africa are single-authored by researchers from these institutes. Of the "papers presented at conferences, workshops and seminars" virtually all are presented at meetings organized in Bergen or Trondheim. This confirms our impression that ROPSED has been a program focused more on Norway and the North than on the South. The only person who worked in the field – Ragnhild Overå in Ghana – is listed as author only once (a paper presented at a conference at CMI).

Because ROPSED consists of a number of independent and somewhat scattered projects, it is not easy to make an aggregate or overall assessment. The academic publications, on the whole, are solid, but there is no evidence that they address "cutting-edge" issues with the potential of shaping the scientific debate, internationally or in Norway. It is the Team's view that these chapters or journal articles do a good job in tracing what is happening in key areas like outsourcing, liberalization of trade in producer services, and supply chain management. For instance, Wiig has a comparison of supply chain management between Angola and Norway, one of the most interesting contributions among the scientific publications. There is not much on theory and modeling in the ROPSED publications. They are more data-oriented and to the extent theories or models are being used, the preference of the researchers is to apply those already used by others without attempting a qualification. In an international comparison, the scientific quality of the particular publications of this program is acceptable but not such that it attracts much, if any, recognition by peers elsewhere.

2. Policy relevance

No one can deny the potential policy relevance both in Norway and in the South of the individual projects. For instance, the theme of trust and trading networks is especially pertinent in developing and transition countries. The same applies to the study of tourism and DFI. There is no evidence of how this relevance has been conveyed to policy-makers in Norway or the South. Since most publications are in-house papers and reports, the best one can assume might have happened is that outside participants, e.g. from relevant government ministries in Oslo, have carried ideas and insights with them from these meetings. The closest this program comes to demonstrating direct policy relevance is a

couple of reports commissioned by the Ministry of Foreign Affairs. This is a case of a program that produces useful findings, but where there is no strategy, nor any other evidence to indicate what has been done to disseminate the results to relevant policy actors, domestically or internationally.

3. Communication of results

Even though the Team has questions about the number of publications that really emerges from this program as compared to the "WTO/GATS" program, there is evidence that the researchers involved were actively writing papers. The vast majority of these were conference publications that were never published or CMI reports and working papers. Several of these papers speak to important policy issues, e.g. foreign direct investment, liberalization of trade in producer services, and supply chain management. The final report of the program, however, gives no indication of what kind of distribution or use that these internal CMI documents had.

4. Capacity building

There is no reference to capacity building in the final report or any other documents that the Team had access to. It is impossible, therefore, to make any further statements on this point.

5. Outreach in the South

Most of the research has been focused on global economic issues. There are a few cases studies that involve visits to individual African countries. For instance, Wiig did an interesting study of Angola. Nordås conducted her own fieldwork in Ghana. Apart from these scattered instances there is no evidence of any regular outreach in the South, certainly not in the form of extended stays there. The program, therefore, does not really stack up very well on this score in comparison with other programs at the Institute.

Conclusions

Like the Human Rights Program ROPSED lacked a strategic content. It consisted mainly of a series of unrelated research projects. The scientific quality of the publications in an international perspective is both uneven and with one or two exceptions not published by leading peer-reviewed journals or reputable academic publishers. The policy relevance is there in much of the work but there is too little evidence that it was exploited to enhance the visibility of this program. Although there is evidence of a variation in publication outlets, the majority of the reports, papers and conference documents are from meetings organized at CMI with no evidence that they have had an impact somewhere outside the Institute walls. Finally, it has not been very active – or productive – in establishing durable institutional contacts in the South. The Team has concluded that the overall grade of this program is *Good*.

Summing Up the SIPs

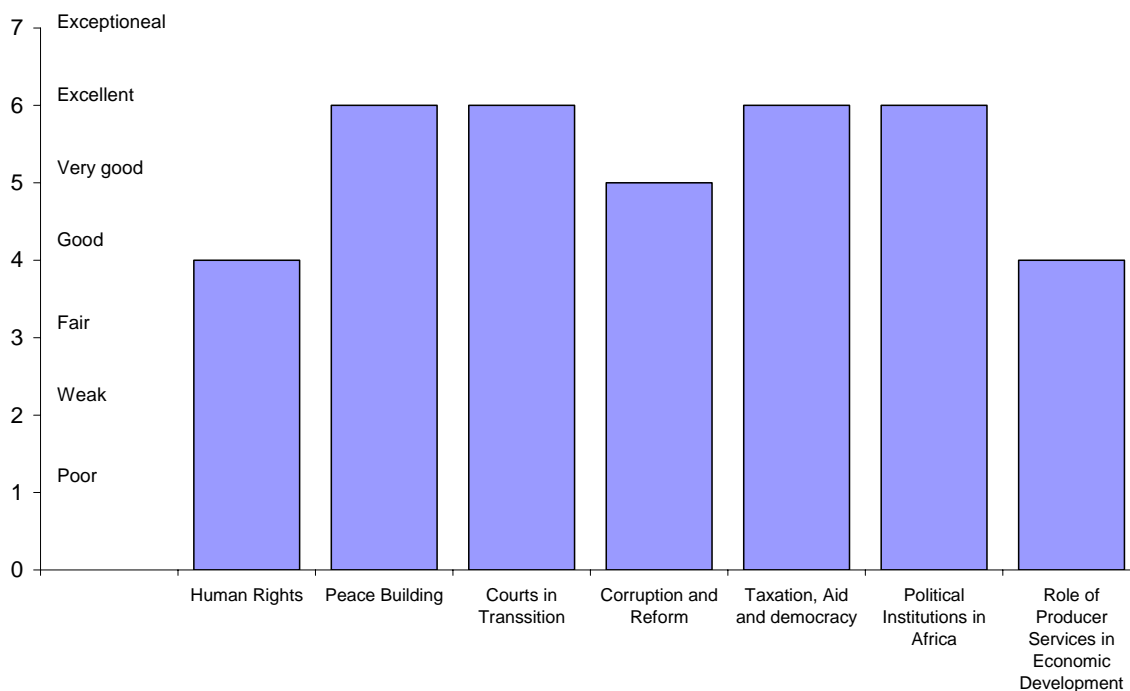
As confirmed in Figure 5.2 four of the Institute's strategic programs have performed excellently, while one is graded as "very good" and two as merely "good". This aggregate

outcome must be deemed quite satisfactory. It is evidence that CMI has heeded the advice of the 1997 evaluation to strengthen its professional profile. With more core programs graded as excellent in an international perspective CMI has managed to raise its profile and visibility in and outside of Norway.

At the same time, it is clear that performance has been a bit uneven. The Human Rights, Corruption and Reform, and Role of Producer Services in Economic Development programs have lacked a strategic component. HRP was at once a real core program but was gradually allowed to decline in favor of other programs. In 2006 human rights was no more than an area of general competence, not a strategic program. CRP turned into a one-person show focused more on policy advice than on academic research. It became one-dimensional. ROPSED, finally, never produced a critical mass. Its contributions were interesting but not connected to an overall strategy of what the program should achieve.

The experience gained with strategic programs at the Institute in the past ten years raises at least three important issues. One is the number of such programs CMI should run at any

Figure 5.2. Summary of scores given to individual institute programs 1998-2005.



time. Is seven programs too many or is it possible to retain such a number (or say, six programs) by improving management? The Team does not have an answer to that question but wishes to draw attention to this issue as one that management needs to address. The second issue concerns the need to pay attention to what is "strategic" in a program. Does the program have goals that researchers try to reach in a consistent manner? Do the researchers have a long-term perspective on what they are doing? Do they try to aggregate results in ways that demonstrate the growth of the program? Do they think strategically about how to disseminate their findings? Do they strike a reasonable balance between research and consultancy? These are the kind of questions that need to be addressed in all programs if they are going to qualify as strategic. The third issue concerns the boundaries between the various programs. They have to be flexible but there is too much evidence that in past years programs have come to overlap too much. As suggested in the review of the

individual SIPs there is a lot of double accounting. For instance, CRP and TADP claim the same publications. Such overlap and double accounting needs to be avoided in the future.

The 2006-2010 Strategy

Since the Team has had access to the new 2006-2010 Strategy and it was approved before this evaluation was completed, it has taken the liberty to make available a few comments on its direction and content. It has the ambitious title of "Research on Development and Justice". It plans to engage in research activities in Africa, Middle East, Asia and Latin America, a geographic focus that is similar to past strategies. Like in the past five years, the Institute will strive to strengthen its professional competence and look for new knowledge through interdisciplinary research. It will continue to reach out to the policy community and build capacity in the South.

A new research organization is planned that centers on four cross-disciplinary themes:

- *Rights and Development*, involving such specific themes as judicial systems and reforms, the rights of the poor, social and economic rights, and property rights;
- *Conditions for Poverty Reduction*, focusing on barriers to economic development among the poor, poverty trends at the national and effects of political measures, private sector growth and distribution of resources;
- *States and Societies under Stress*, concentrating on peace building, consolidation of democracy, religion and political development;
- *Public Sector Reform*, with an emphasis on public finance management, the role of the foreign aid system, corruption, and capacity to use public services.

With regard to the substantive content the new Strategy is largely a repackaging of existing program components. It is sufficiently broad that in the long run it will take a firmer shape in some of these directions than in others. This is the way it should be. The Institute needs to identify its specialized competence and it typically follows from the initiatives that are most successful and generates the highest level of respect.

A couple of new institute programs have already been approved: "The Politics of Faith" and "Global Health and Development". The former was approved after a competition initiated by the Board. The proposal shows that the lead person for this program, Anne Sofie Roald, has laid a solid foundation for this program and knows the literature very well in her field. It has the potential of becoming a good fit to other programs that have been successful in the past few years. The Board should also be commended for having approved a program that clearly lies at the frontier of development research today. The Team has not been privy to the document that led to the decision to adopt the other program. It is a collaborative effort with the Center for International Health, University of Bergen, Centre for Health and Social Development, Oslo, and a group of Tanzanian researchers. CMI's contribution will be confined to the economic aspects of this program while the public health aspects will be covered by the other partners.

On the issue of dissemination, the Strategy stresses the intention to reach out to decision-makers and the media in order to enhance the impact of the Institute work. The increased use of CMI Briefs and the web are means by which this is expected to take place. It also underlines the value of strengthening the skills of individual researchers to convey their

findings. They cannot afford to be "mono-lingual" in the sense of being able to write only for academic peers, nor so elementary that the writing is deemed to be below acceptable standards for a research institute.

The Strategy also confirms that area and country specific knowledge is important if the Institute is going to continue being of value to clients. The areas identified in the document are East and Southern Africa, Africa's Horn, and the Middle East. An expansion into a few Asian countries is also planned.

The Team would like to comment on two points. The first concerns the restructuring of the research organization in the direction of a greater emphasis on thematic cross-disciplinary research. Institutes have a comparative advantage in pursuing such type of research. In the case of CMI, it means continuing on a path of success. At the same time, however, the new research organization raises the question of how the scientific criteria used for evaluation within specific disciplines will be adequately addressed. Disciplinary representatives are not intended to play the same directive role as in the previous approach. The Team believes that the Institute should make an assessment of the new research organization after two years with a view to ensuring that the right balance between disciplinarity and interdisciplinarity is reached. Given the problems that the Institute has experienced in bringing together representatives of the three core disciplines in joint programs such a step seems especially prudent.

This takes the discussion to the second point that the Team wishes to comment on. Designing inter-disciplinary programs or projects is not only more time-consuming but also more intellectually challenging. Finding what is interesting and possible to work on that speaks to mainstream concepts and theories requires extra efforts in such contexts. The Team believes, therefore, that the background documentation that is required for a new project or program to be adopted needs to be both extensive and profound. It needs to highlight what its theoretical foundation is, what the key concept(s) is around which researchers will work, how the project adds to existing knowledge, what is its policy relevance, and what its comparative advantage is given what others have done or are doing.

Conclusions

Through the identification of a number of specific areas of competence and a set of strategic programs CMI has satisfactorily responded to the recommendations made in the 1997 evaluation report. Although there may still be some loose ends, the Institute has developed a core research area with a specialized competence (*spisskompetanse*) in key areas of governance. It has also developed competence in particular regions and countries, e.g. Southern Africa, East Africa, and Palestine. This competence is right on target as far as the academic research frontier goes. It also addresses the interests of clients in the development field, whether in Norway or elsewhere. The restructuring of the research organization that began in 1998 and in place until 2006 has helped launch the Institute into a higher orbit. It has paved the laid the foundation for the 2006-2010 Strategy.

Summary of Main Observations:

- CMI has a number of excellent programs but also some that have not performed so well.
- The number of strategic programs that CMI is involved in at any one time needs to be assessed in the light of research capacity and comparative advantage.
- Strategic institute programs need to demonstrate more convincingly what is "strategic" about them.
- With governance issues having become central in development research in recent years and political scientists occupying a central place in the research organization, the role and contribution by anthropologists and economists need to be given special attention.
- In developing future institute programs, CMI should not just react to priorities set by funding agencies but also proactively through consultations and other means try to set their agenda.
- Interdisciplinarity rightly features prominently in the 2006-2010 Strategy but given the new research organization the issue of how to secure recognition also in the individual disciplines should be assessed after the first two years.
- Annual reporting of project activities should be adjusted to avoid double accounting within the programs and to provide the reader with a sense of which activities are new, ongoing or completed.
- Although individual publishing in academic journals and presses is important for recognition and funding, CMI should continue to encourage its researchers to co-publish their work with partners in the South, including having it issued by local presses or journals.
- Researchers should also be encouraged to continue their effort to expose their partners in the South to international scholarly networks.

6. OUTPUT

As part of the recommendation in the 1997 evaluation report to strengthen the professional competence, the 2001-05 Strategy included the goal that each researcher publishes at least one article in a scientific journal. This goal has not been completely omitted in the 2006-2010 Strategy but it has been reformulated in the more general term that the Institute plans to "set ambitious goals for international publishing".

As an information-processing organization, the Institute's output consists of a variety of publications. Apart from personal appearances in the audio or visual media to comment on topical issues, the output, therefore spans the publication spectrum all the way from articles in scientific journals, single-authored books, and book chapters to, reports, degree products, commissioned reports, conference papers, briefs and postings on the web.

The number of publications in the period from 2001 to 2005 increased over the period from 1997 to 2001. It confirms an upward curve that began with the implementation of the 2001-2005 Strategy. According to CMI's own records, the total number of publications 2001-05 was distributed as follows:

Table 6.1. Publications by CMI 2001-2005.

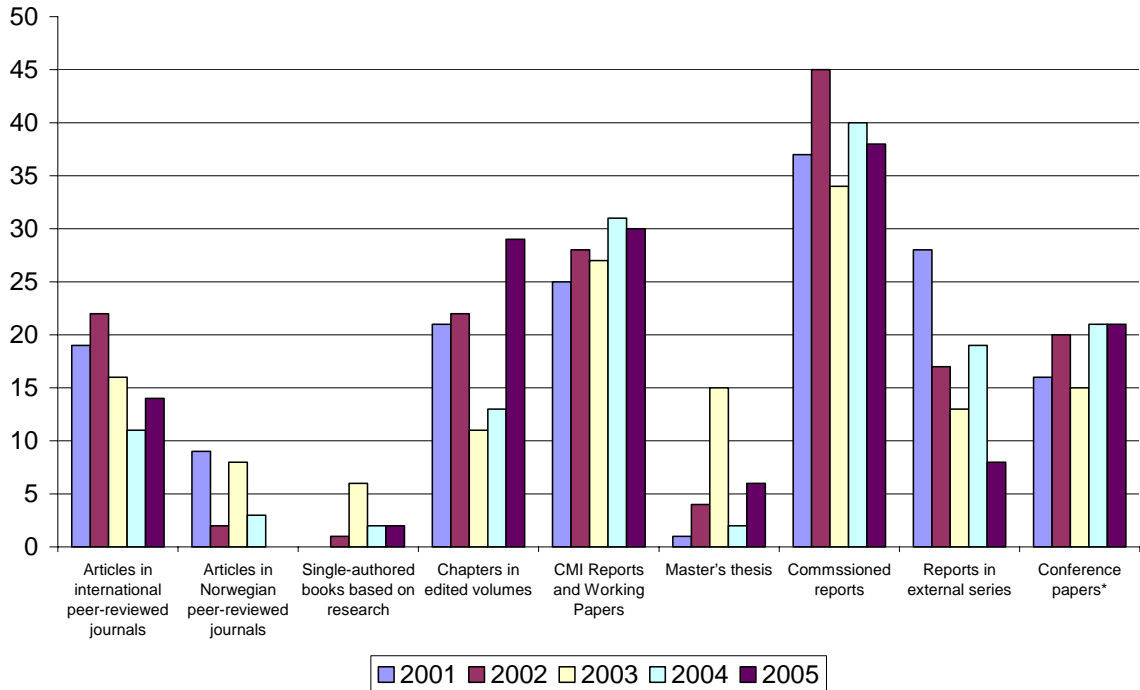
Category	2001	2002	2003	2004	2005
Articles in international peer-reviewed journals	19	22	16	11	14
Articles in Norwegian peer-reviewed journals	9	2	8	3	0
Single-authored books based on research	0	1	6	2	2
Chapters in edited volumes	21	22	11	13	29
CMI Reports and Working Papers	25	28	27	31	30
Master's theses	1	4	15	2	6
Commissioned reports	37	45	34	40	38
Reports in external series	28	17	13	19	8
Conference papers*	16	20	15	21	21

* This number is not necessarily complete since the records of conference papers, public lectures, and popular articles and presentations are not kept by every staff member.

This table also indicates, however, that there has been a decline in the number of articles published in international peer-reviewed journals over the past five years. This may be a product of the timeframe of individual programs, but it does also raise the question of whether the Institute is spreading its scarce research capacity too thinly. Also noteworthy is

the fact that in 2005 no article was published in a Norwegian peer-reviewed journal. The table also makes it clear that the largest number of publications are reports issued either directly to clients or as part of CMI's own series. It confirms that quite a large chunk of time is spent on commissioned work. This is necessary for the Institute's finances. The contribution that those who carry out commissioned research make is not only financially important but also valuable in terms of demonstrating the Institute's analytical skills.

Figure 6.1 Publications by CMI 2001 - 2005



Apart from the last item, the records kept of the Institute's output have improved and is quite systematic, much thanks to its own electronic database. Looking again at the table above, it is evident that the productivity has been high. If the last item – conference papers – is omitted the average for the five-year period is 132 items per year. The highest figure was reached in 2002 with 143 publications, the lowest in 2004 with 121. If the total is divided into three categories (a) academic, (b) commissioned reports, and (c) in-house or external reports, the breakdown for the five-year period is as follows:

Table 6.2. Distribution of types of publication by CMI 2001-2005.

Category	2001	2002	2003	2004	2005	Total
Academic*	49	51	56	31	41	228
Commissioned reports	37	45	34	40	38	194
CMI and other reports	65	62	47	59	46	279

* This includes master's theses

To get a sense of the quality of the academic publications, the Team checked all journal articles that are listed in the record of publications by CMI for 2001-2005. We checked them against the rating system that the Norwegian Association of Higher Education Institutions (*Universitets- og Højskolerådet*) uses – a scale that differentiates peer-reviewed journals into two categories: "2" the highest grade which is reserved for top international journals and "1" which applies to the vast majority of journals. Journals that are not peer-reviewed or don't happen to be on the Norwegian academic horizon, like *African Social Research*, score a "0". This is a rather blunt instrument and the Team believes that a more differentiated system – say based on a three- or five-point scale – would be more appropriate, especially if institutes in the future will receive performance-based funding from the Government.

Using the NSB scale to grade the journal articles published by CMI researchers gives the following results:

Table 6.3. Number of articles published by CMI staff in rated journals 2001-05.

Category	2001	2002	2003	2004	2005
Grade 0	10	6	10	6	2
Grade 1	18	17	17	8	11
Grade 2	2	3	0	1	0
Total:	30	26	27	15	13

This table shows two things of importance. The first is that researchers, wittingly or unwittingly, listed a good number of articles that do not appear in journals that are peer-reviewed. With an approved list for rating journals, this should not have to occur again. The other point is that the number of articles in peer-reviewed journals has declined since 2001. In 2001 and 2002 it was twenty a year. In 2004 it was only 9 and in 2005 just 11. This may reflect a "natural" cycle in the sense that programs or projects do not generate output on a regular and constant basis. As the case is with researchers in other institutions, publications often come in spurts. Whatever the reason, it is evident that CMI needs to take this issue seriously. If its ambition is to further enhance the scientific quality of its output the declining trend needs to be reversed.

The researchers have been divided into three disciplinary groups since 2001. The Team was interested in trying to know which of these groups has reached the highest levels of recognition. Using the scale of the Norwegian Association of Higher Education Institutions, the Team added the points scored by each group, i.e. how many articles have been published in the lower grade – 1 point – and how many in the upper – 2 points. Compiling these points per group gave the following result:

Table 6.4. Points scored through publishing in peer-reviewed journals by each disciplinary group 2001-2005.

Group	2001		2002		2003		2004		2005		Total
	1	2	1	2	1	2	1	2	1	2	
Economists	5	1	5	0	7	0	4	0	6	0	29
Polisci:s	10	1	8	2	6	0	3	1	3	0	36
Anthro:s	3	0	4	2	3	0	1	0	2	0	17

This suggests that economists and political scientists have been more successful than their anthropology colleagues. The Team recognizes, however, that these figures may also reflect different "publication cultures", i.e. anthropologists are often more inclined than their colleagues to invest time and energy in producing book-length monographs.

The Team also wanted to test how close the Institute had come to the goal of having each researcher publish in a scientific journal. Using the list of research staff for 2005, articles in rated journals (Nos 1 and 2) were checked against each name for the period 2001-2005. (The list includes those on leave as well as those listed as part-time). The result is that during the *five-year period* 60 per cent of all researchers had one or more articles published in rated journals. No one had an article in such journals every year, although a few – Odd-Helge Fjeldstad, Lise Rakner, and Astri Suhrke – came close (each missed one year). Not surprisingly, some researchers were more successful in getting published than others. Those who had at least three peer-reviewed articles during 2001-2005 are listed in the next table.

Table 6.5. CMI researchers with at least three peer-reviewed journals 2001-2005. (disciplinary designation in brackets)

Name	Number
Odd-Helge Fjeldstad (econ)	10
Lise Rakner (polsci)	8
Astri Suhrke (polsci)	8
Bertil Tungodden (econ)	7
Siri Gloppen (polsci)	4
Arne Strand (polsci)	4
Tone Bleie (anthro)	3
Gunnar Sørbo (anthro)	3
Inge Tvedten (anthro)	3
Arne Wiig (econ)	3

The Team draws the following conclusions from this data set:

- The Institute is still quite far from the goal of having each researcher publish in a peer-reviewed journal every year, but the goal itself may be too ambitious or unrealistic since a research institute that also does commissioned work and has many other goals to fulfill cannot expect to realize such a goal.
- Two criteria tend to identify those who publish in peer-reviewed journals most frequently: (a) they are involved in doing research within international research networks, and (b) they are senior. With several well-qualified junior researchers on staff, the Team believes expanding the number is possible but it may involve coaching and nudging by management and senior researchers.
- CMI has made good progress since 1997 and is definitely moving in the right direction. CMI itself reports the increase to be "from an average of 2.4 high-quality international publications per year for the period 1996-2000 to an average of 7.4 for the reporting period 2001-2005". Its counting differs from the one used by the Team. The criteria used here indicate the average of peer-reviewed articles in rated journals per year during 2001-2005 to be 15.5.

To this should be added that several researchers have contributed chapters to edited book volumes published by respectable presses, at least one academic (University of California Press), and at least four other commercial presses that cater for the academic market: Frank Cass, Macmillan, Palgrave, and Routledge. Between 1997 and 2000 the number of chapters was only 8. In the subsequent five-year period it was 23.

Output at a research institute is not only straightforwardly academic. It also involves reports issued by the institute as part of its general or more targeted dissemination of findings. Team members have read and assessed a sample of CMI Reports and CMI Working Papers. They are generally well written and researched. They typically combine respect for an academic format, including literature review, statement of hypotheses, etc. but usually also include policy relevant conclusions and recommendations. The Team recommends that special consideration be made for how to give credit to this type of publications as the Government and the Research Council decides on a new performance-based formula for funding the institute sector.

These reports and working papers contain a lot of valuable information. Researchers spend considerable time completing them. Although there is some spillover from these reports into academic publications, much of the valuable information and research findings assembled in this set of publications tends to be ignored and not included in the overall assessment of the quality of the Institute's work. Even if they were to be included in an official rating system, CMI should ensure that its researchers as much as possible develop journal articles out of these products. One possible way of doing this would be to use money from the Chr. Michelsen Fund to encourage a higher spillover rate from papers to journal articles.

Generally, the Institute is doing a good job at making its research available to other researchers and the public at large. It does so in at least two important ways. One is to ensure that all reports and papers are available through the website. The other is to compose more user-friendly ways of sharing its research findings. Two modes that have been initiated in the past five years – in fact in the last two years – are especially important: (a) the publication of CMI Briefs which are handy summaries of interesting research drawn from more voluminous documents such as the Reports and Working Papers; and, (b) the Annual Report which since 2004 has been produced with interesting and well written (and well-edited) articles that highlight ongoing research and identify interesting and important findings. The Team strongly recommends that these modes of dissemination continue since they are formulated in ways that make findings available in ways that attract a larger public.

Yet another type of output that is increasingly being emphasized by the management is participation in the media through the publication of feature and opinion pieces in newspapers and popular journals as well as discussion panels and other types of presentation in radio and television programs. Although the records are not complete for the full period 2001-2005, it is important to note that the Institute nowadays keeps records of its role in the media. Boosted by the attention that CMI received in conjunction with its 75th anniversary celebration in 2005, the visibility of the Institute itself as well as its researchers has grown in the past five years. During the first nine months of 2006, CMI's media coverage included nation-wide Oslo-based newspapers (58 per cent), regional newspapers, notably *Bergens Tidende* (21 per cent) and local newspapers (13 per cent).

The remainder was in various other types of popular publications. Some researchers have time to produce independent articles – *krøniker* – that get published in Norwegian newspapers, especially *Bergens Tidende*. The majority of staff appearances, however, are requested by the media because they have particular area or thematic competence for commentaries on a particular event. Thus, for instance, Gunnar Sørbo gets to comment on events in the Sudan, Sigfried Pausewang and Johan Helland on Ethiopia, Arne Strand on Afghanistan, and so on. Others, like Tina Søreide and Odd-Helge Fjeldstad get asked to comment on issues of corruption, Alf Morten Jerve and Bertil Tungodden on Norwegian or foreign aid in general, and so on. These appearances that in some cases average once a month per person are important for the Institute's visibility. Management is fully aware of the significance of these contributions to the media and the Team endorses its efforts in that direction.

Summary of Main Observations:

- The number of articles published by CMI staff in international peer-reviewed journals has gone up compared to the period before the 1997 evaluation, but the number has also gone down in the past five-year period.
- The Institute is still quite far from having each researcher publish at least one article in a peer-reviewed journal every year although the goal itself may be unrealistic.
- CMI can do more to encourage researchers to turn internal reports and working papers into journal articles by, e.g. using small amounts of money from the CMF to facilitate such publications.
- More attention should be given to encourage junior researchers to publish internationally and in peer-reviewed journals.
- The current rating system used by the Norwegian Association of Higher Education Institutions for rewarding publications in peer-reviewed journals is a blunt instrument and should be revised to provide a more fine-tuned scale applicable to academic books and journals.
- The Research Council may wish to consider if internal institute documents such as CMI Reports and Working Papers, should be evaluated as part of the new performance-based system of financing the institute sector.
- CMI should continue to pay attention to how its staff can be involved in public debates and popular media on issues where they have a contribution to make.

7. IMPACT

Impact differs from output by implying results. Measuring the result of research, however, is tricky for at least two reasons: (1) it is a public good that may or may not be used as intended; and (2) it may be useful, but nonetheless left unused because it is not targeted enough on a given client audience, it is too controversial, or policy-makers are simply not aware of the significance of issues at the research frontier.⁸ Measuring impact, therefore, involves recognition that research output is bound in a temporal as well as social or cultural manner. As was noted in Section 2 of this report, paradigms and theories that are used by researchers and policy analysts keep changing over time. A piece that calls into question the mainstream at any one time may not prove to have much utility value until at a later point in time. There is often a lag time that cannot be calculated in advance.

The impact of research, therefore, cannot be measured in quantitative terms alone. Ideas that draw on specific findings meander their way to new projects or policies in ways that are impossible to trace. Yet, such qualitative influences are equally important. The Team has adopted a twofold strategy of assessing the impact that relies on both qualitative and quantitative material wherever relevant. It targets three areas that CMI addresses in its work: (1) the academic, (2) policy, and (3) public realms. By including all three the Team expects to be as comprehensive as possible in assessing impact.

The Academic Realm

The impact in the academic realm is measured in two separate ways. The first is to examine how many of CMI staff have been cited by other international researchers and how often this has happened during the 2001-2005 period. The other measure stems from obtaining qualitative assessments from peers in Norway and other countries who are well placed to assess the influence that CMI researchers have had on their work.

The Social Science Citation Index (SSCI) that the Team has used to quantitatively measure the impact in the academic realm has its own problem in that it gives premium to journals that publish in the English language. Another problem is to ensure that the citation refers to the right person, because there are often more than one researcher with the same last name. To preempt inaccurate counting, the Team has checked that publications actually cited exist among those listed as publications by CMI staff. Since CMI has a stated objective of strengthening international publishing and the Research Council expects a stronger presence of Norwegian researchers in the international arena, the SSCI is applied here to give an indication of how much recognition the CMI researchers have in that arena.

Using the 2005 staff list, which includes some on leave and others who work part-time as well as three senior consultants – a total of 41 – the Team first wanted to know how many have actually been cited according to SSCI. The result was quite encouraging. No less than 70 per cent of all staff has been cited at least once by international peers. That is quite a good record for a policy research institute where academic publishing is not the sole objective. The full list according to the Index for 2001-2005 shows the following:

⁸ The Team acknowledges the views of Dr Arne Tostensen of CMI, who submitted a memo on the relevance criterion for its consideration.

Table 7.1. Names of CMI staff cited and the number of citations per person⁹.

Name	2001	2002	2003	2004	2005	Total
Odd-Helge Fjeldstad	16	5	2	0	0	23
Anne Sofie Roald	19	2	0	0	0	21
Bertil Tungodden	13	1	6	0	0	20
Lise Rakner	6	4	6	0	0	16
Astri Suhrke	3	7	0	3	1	14
Arne Tostensen	8	3	0	0	0	11
Siegfried Pausewang	1	9	0	0	0	10
Arne Strand	4	2	2	0	0	8
Ragnhild Overå	3	3	0	0	0	6
Roberto Gargarella	1	2	0	1	0	4
Siri Gloppen	1	1	2	0	0	4
Inge Tvedten	0	4	0	0	0	4
Lars Svåsand	1	2	0	0	0	3
Elin Skaar	1	0	0	0	1	2
Jan Isaksen	0	1	0	1	0	2
Tone Rand Bringa	1	1	0	0	0	2
Tone Bleie	1	0	1	0	0	2
Inge Amundsen	1	0	0	0	0	1
Ingrid Samset	0	1	0	0	0	1
Hilde Selbervik	0	0	1	0	0	1
Elling Tjønneland	0	0	1	0	0	1
Ivar Kolstad	0	1	0	0	0	1
Eyolf Jul-Larsen	0	1	0	0	0	1
Gisela Geisler	0	0	0	1	0	1
Gunnar Sørbo	0	0	0	1	0	1
Alf Morten Jerve	1	0	0	0	0	1
Are John Knudsen	0	0	0	0	1	1
Gaute Torsvik	0	0	1	0	0	1

It should be noted here that the scoring per year refers to when the item was published, not the year when some one actually cited the work. It is not surprising, therefore, that the majority of citations refer to publications that came out in 2001 and 2002. There is always a lag before peers discover and consider a piece worth citing. That the figures for 2004 and 2005, in particular, are so much lower should not be read as if CMI staff no longer have the same recognition as the figures for 2001 and 2002 suggest.

Assessments that the Team have received from partners and peers in Norway, elsewhere in the North as well as the South indicate an appreciation of several aspects of CMI' work: its true commitment to a partnership that is mutually beneficial, its ability to create an enriching environment for cooperation, and an appreciation of the quality of the work that CMI researchers conduct. A total of 46 persons were contacted and the response rate (within a three week period) was almost two-thirds (30). This broad readiness to give a

⁹ This list includes persons who may have spent only part of the period at the Institute.

response to questions about the academic quality and policy relevance of the Institute is in and of itself an indication of appreciation. Below are some of the comments that we received which indicates CMI researchers' impact on partners and peers. These are a cross-section of respected international scholars and research partners in the South:

Mick Moore, Institute of Development Studies, Sussex: "I have in general found CMI a source of great stimulation."

Bahru Zewde, Forum for Social Studies and Addis Ababa University: "The CMI cooperation with Addis Ababa University has contributed to building the human resource capacity of the program by enabling several young scholars to study for and secure their Ph.D. degrees".

Jonathan Mayuyuka Kaunda, BIDPA: "Collaboration and mutual assistance has always been part and parcel of the relationship between BIDPA and CMI. It has helped BIDPA project its image on the international scene and helped Southern hemisphere policy researchers to network with their counterparts in the North."

Ole Therkildsen, DIIS: "Found the intellectual environment at CMI – and work with CMI partners – stimulating. Inspired me to invest in taxation issues (I would have done so anyway, but not for so long and with so satisfactory results)."

Bruce Wilson, University of Central Florida: "Cooperation with CMI has helped my work a great deal. Not only did it force me to examine legal reform issues outside my area of Latin America, but comments from CMI faculty helped improve the theoretical rigor of my work and exposed me to very different perspective on my research interest."

Dirk Hansohm, NEPRU and UNDP: "On the institutional level, the cooperation with CMI has been very rich and beneficial for NEPRU both in terms of concrete outputs and of serious capacity-building on our side."

Richard Bird, University of Toronto: "Owing to my association with CMI I became familiar with some of the work it has been doing in areas related to my interests. As a result, I have directed others to some of this work and also made use of it in teaching."

George Giacaman and May Jayyusi, MUWATIN: "As a result of the cooperation with CMI, MUWATIN has been able to sustain a productive publication program. Over thirty of its publications have been used as course reading at various Palestine universities."

Scott Taylor, Georgetown University: "CMI provided perhaps the most fertile intellectual environment of my career. The Institute's scholar-practitioners to my mind offer one of the richest collectives of expertise anywhere on African politics and economy."

George Mavrotas, UNU/WIDER: "My involvement with CMI via Dr Villanger has resulted in a high-quality paper which is expected to be truly influential in policy circles in the near future in view of its innovative approach to aid issues. Beyond that, the overall cooperation with CMI has been very beneficial to my own work in view of its interdisciplinary character."

Joseph Semboja, REPOA: "At the institutional level REPOA's capacity to undertake research related to local government has increased significantly (thanks to cooperation with CMI)."

Chaitanya Mishra, Tribhuvan University: "I expect my (current) involvement with the CMI to help me sharpen my comparative theoretical research framework."

Deborah Brautigam, American University: "My ties to researchers at CMI have been quite fruitful. Dr Rakner has influenced my ideas about how participation and democracy might affect economic policy changes, and Odd-Helge Fjeldstad has a deep and impressive knowledge of taxation systems on the ground in poor countries. I might not have dug this deeply into taxation as a political and developmental phenomenon without Odd-Helge's encouragement."

Cesaltina Abreu, Angola Instituto de Persquisa Economica e Social: "The contact with CMI helped me in distinct ways: for one, it made possible to foresee how to organize an independent research institute, for another it allowed me personally to be introduced to other scholars, and for a third it strengthened my capacity to do research on the parliament and civil society in Angola, my areas of interest."

Henri de Groot, Free University, Amsterdam: "It (contact with CMI) has mainly broadened my international network and also strengthened my interest in research focused on less developed countries."

These quotations are indicative of the many ways in which CMI has influenced the thinking of individual scholars and operations of institutions in the South as well as the North. Especially encouraging is the fact that mainstream academics in the North are very enthusiastic about the lessons they have learnt from collaborating with CMI. The Team has no doubt that much of CMI's research is highly regarded and many of its researchers recognized as valuable members of the international research community.

The Policy Realm

For an institute that straddles the academic and policy realms there is no strict line or boundary that separates the two, as indicated in some of the comments above. The discussion here focuses on the value that CMI has to its funders. They are the prime users of the Institute's work, whether commissioned or part of a framework agreement that allows for more independent research. They are busy people who do not always find the time to read and digest full-length reports. This may change, however, as agencies like NORAD is much less directly involved in handling money for foreign aid and instead is being organized as an advisory think tank serving the Ministry of Foreign Affairs. In short, there will be much more pressure on NORAD staff to be on top of what is happening in the research community, a shift that hopefully will result in a greater appreciation – and use – of the findings that institutes like CMI produce. At the same time, CMI must think strategically about how it can best reach its clients and users with the most important information that they wish to convey.

For this evaluation a total of 29 persons in ten different agencies in Norway and elsewhere were contacted. 55 per cent (16 persons) responded to the Team's request for an

assessment of the value of CMI's work. Five respondents were from agencies outside Norway: World Bank, Swiss Development Cooperation Agency, Danida, and Department for International Development (DfID) in the U.K. The remainder was Norwegians from the Ministry of Foreign Affairs, NORAD and two non-governmental organizations – Norwegian Church Aid and Norwegian People's Aid.

The most important questions included references to how useful CMI's research and consultancy work is, whether it is too research-oriented or not, whether the current institute profile is in tune with client needs for knowledge, which publications they may read, how helpful its website is, and how active CMI staff are in participating in the public debate on issues within their respective areas of expertise. The final question was a request for any other specific comments about the Institute.

There are too few answers to make a statistical material that was obtained, but coding the various questionnaires on the issues mentioned above, certain patterns emerge. A substantial majority of the respondents have a good impression of CMI's research and consultancy work with regard to quality and relevance – a very good mark of satisfaction. With the exception of four respondents, every one agrees that the current balance between research and consultancy is appropriate. Those who disagree believe CMI is too research-oriented. All but five of the clients believe that CMI's research and consultancy profile is very much or much in tune with their own organization's needs for knowledge. None of the respondents finds that CMI's development has deteriorated in the last five years. On the contrary, many find that it has improved or say that it is as good as it has been in the past. This suggests that the Institute has a reliable client base appreciative of the quality and relevance of its work. It should be noted here that the number of non-Norwegian respondents is too small to draw any specific conclusion, but the Team believes that CMI needs to pay more attention to earning the confidence of new clients outside of Norway. Comments volunteered on the Utstein4 project indicate that it took some time before CMI found the right balance between more academic and applied research, the opinion being that it was too academic in the initial period.

Somewhat disappointing is the indication that only 25 per cent of the respondents find it necessary to read CMI publications. Few of them visit the CMI website or consult the library. The website, however, is complemented by several respondents on its professional quality. They also add that the information is organized and conveyed in a useful manner to the public. Those who read the institute publications prefer the CMI Briefs, a confirmation of the usefulness of such short and concise methods of communication with clients – and others – who don't have the time to read lengthier documents.

Concerned with how visible CMI is to representatives of the policy community, the questionnaire also asked for comments on how much they see staff participating in public debates on issues within their respective expertise. The respondents from other countries understandably had little to say on this matter, but the Norwegian respondents believed that they could be more active. Most respondents indicated that CMI staff are moderately or only little active in such debates. Institute management is aware of the need to enhance the visibility of CMI through more participation in relevant policy debates, not just in Bergen but also on a national scene. The Team certainly endorses the need for such a move.

In addition to what the Team's own survey generated in terms of information, it also considered information provided by the Institute about its impact on the policy community. Some of this information cannot be verified, but at least some points need to be added here. The first concerns the impact CMI researchers have had in governance field. Their research in the field of taxation has been read by officials in the World Bank and the Department for International Development in the U.K. Through the Utstein4 project, its research has fed into several donor agencies and has helped them get a better understanding of the corruption problem. Another area where CMI can claim a definite measure of impact is in the peace building field. Its report for the Ministry of Foreign Affairs in 2002 was particularly significant and was read in many international agencies. Other commissioned research that has influenced policy includes a 2005 report on SADC and another one on East African regional integration also from 2005.

The Public Realm

The nice thing about the new information technology is that it has allowed for much easier and cheaper access to data than was previously the case. Research has become more truly a public utility. CMI has realized this and made all its publications available in full text on its web pages. Although a visit to the website does not necessarily result in a download of information and a more lasting influence, there is evidence that CMI home page is a frequently visited site where researchers and others look for information and interpretation.

Using the "WebTrends" software to record the number of visits to specific publications, it is possible to identify the total downloads and their distribution among individual papers for 2004 and 2005. The total exceeds 30,000 visits with the following top ten:

Table 7.2. Top ten downloads from the CMI webpage during 2004 and 2005.

Author(s)	Year	Series	Title	Visits
Are Knudsen	2003	R 2003:3	Political Islam	2426
Odd-Helge Fjeldstad and Lise Rakner	2003	R 2003:6	Taxation and Aid Reforms	1649
Anna Milford	2004	R 2004:6	Fair Trade	1529
Lovise Aalen	2002	R 2002:2	Ethnic Federalism in Ethiopia	1229
Arne Wiig	2003	Forum for Dev Studies	Tourism and the Internet in Namibia	1200
Tina Søreide	2001	WP 2001:3	FDI and Industrialisation	1185
Inge Amundsen	1999	WP 1999:7	Political Corruption	1172
Siri Lange, Arild Spissøy, and Marie Brudvik	2002	R 2002:18	Frivillige organisasjoner og norsk næringsliv	1139
Arne Wiig, Ottar	2002	R 2002:4	Handel med	1135

Maestad, Anna Milford and Örjan Skare			samarbejdsland	
Astri Suhrke, Kristian Berg, Harpviken and Arne Strand	2004	R 2004:4	Peacebuilding in Afghanistan	1087

To give an indication of the popularity of the Institute's home page, there are another twenty items with more than 600 visits. Taken together the statistics obtained through this software suggest a few interesting things not conveyed by earlier tables. The first is that the Institute's own reports and working papers are being visited very often. They are valuable sources of information and they are well researched. Thus, they give the reader the confidence that he or she is looking for in obtaining a legitimate source for another academic publication, an article in the media, a presentation, or a policy memo. The second is that the most frequently visited papers are not necessarily on the same topics as the best academic articles. The frequency of visits seems to be driven by the topical nature of the title of the paper. Third, interestingly, many of the visits are to papers written by master's students. For instance, of the top ten, two are master's theses and one a Ph.D. dissertation.

The Team does not want to draw too far reaching conclusions from this set of figures, but it is clear that not only has CMI prepared an attractive home page. It has also been able to attract attention to Institute products that indicates a level of influence and impact in the public realm that cannot be ignored.

Summary of Main Observations:

- CMI researchers are, albeit to varying degrees, appreciated by their academic peers who cite their work and express gratitude for what the Institute has done for them.
- Clients tend to have a generally positive view of the services that the Institute provides noting that the products typically strike a good balance between quality and relevance.
- CMI should take advantage of the changes that take place in NORAD where staff is increasingly going to be concerned with reading and translating research findings into policy.
- CMI can still do better with regard to selling its services to clients in Norway as well as elsewhere through consultations and personal contacts with people in relevant agencies.
- CMI can also improve its communications strategy e.g. by training researchers not to be too "academic" and by more systematically translate research findings into CMI Briefs.
- CMI's homepage is a popular site that should also be considered a prime mode of sharing research information with the public at large.

8. CONCLUSIONS AND RECOMMENDATIONS

In 2005 the Chr. Michelsen Institute celebrated its 75th anniversary. It also happened to be its 40th anniversary as development research institute. It was not just a local event. It attracted attention from all over Norway and included prominent international guests. The festive event filled Bergen's famous concert hall – *Hakonhallen* – with dignitaries from government and many other important institutions. No other institute would probably have been able to draw such prestigious attention to itself. It suggests to the Team that CMI is in many respects a "flagship" in the diverse fleet of Norwegian research institutes.

This evaluation tends to confirm the Institute's flagship status. There is convincing evidence that the Institute has consistently and meticulously worked to strengthen its research organization, professionalize its work, and continue its important role as a constructive partner in relations with institutes in the South. It has also managed to establish closer collaboration with university institutions and other independent institutes in Norway. As one well placed Norwegian official put it: "CMI is the only research institute in Norway with a critical mass of good researchers working systematically on international development issues". It has been successful in obtaining commissioned work not just in Norway but also with clients in other countries. Its finances are in good shape and there is a healthy balance between basic support from the Ministry of Foreign Affairs and NORAD, on the one hand, and funds acquired through competitions organized by the Research Council, its own CMF, or commissioned work, on the other. These marks of success can be attributed to the ability of the Institute leadership to plan and act strategically in an increasingly challenging environment. CMI 2006 is well situated to take on the challenges over the next five years, including adjusting to a new formula for government funding of the institute sector in Norway.

With the progress that the Institute has made since the last evaluation in 1997, the Team believes that CMI performs at a very high international level. Its peer institutions are the most prestigious and successful institutes in the EADI network: Institute of Development Studies, Sussex, Overseas Development Institute, London, Institute of Social Studies, the Hague, and Danish Institute of International Studies, Copenhagen. Peer assessments indicate that CMI is not at the level of IDS but certainly ranks at the same level as ISS. To use a sports metaphor: CMI is not just playing in *Tippeligaen*. It successfully competes in the Champions League. It may not be the equivalence of a Barcelona or Chelsea, but it is definitely more like Rosenborg (the most successful Nordic team in this League) than Brann (*bergensere måtilgi oss*).

Success notwithstanding, challenges remain. No institution is perfect. CMI's own leadership – both Board and management – is aware of this. It is committed to making improvements. The Team, therefore, is confident that the shortcomings that this report highlights and the recommendations that it proposes will be considered seriously. These recommendations are grouped under five separate headings, each representing a particular challenge that the Team believes the Institute faces: (1) linking research to policy, (2) integrating strategy into programs, (3) balancing interdisciplinarity with disciplinary demands for quality, (4) improving dissemination and (5) strengthening capacity.

Linking research to policy:

This challenge has several dimensions. It involves maintaining the right mix between client and researcher driven activities; ensuring a strong scientific basis for providing policy advice; and, packaging information in ways that are easily accessible to the policy community. CMI has generally been doing all right in taking on this challenge, but should consider the following specific recommendations:

- The link between research and policy – and indirectly between quality and relevance – has been successfully implemented in a few of the strategic programs but not in others. There is reason to learn the lessons from the successful programs and apply them to the others.
- The prospective gains in academic terms that may come from the planned 2008 move to a new location in the vicinity of the University of Bergen need to be balanced by a stronger pro-active search for new clients especially outside Norway.
- CMI should not let its program development be decided by funding priorities set by Government or the Research Council only but actively consult with members of the policy community to help influence the future research agenda in the country.
- CMI Briefs should be used more regularly to communicate advice to the policy community.
- In the Research Council organization, CMI should be placed with other similar institutes working on international development, peace, and politics rather than as the situation is now together with institutes working in the environmental field.
- The Research Council should consider if – and how – in-house publications like CMI Reports should be assessed in a performance-based funding formula.
- The current system of rating academic journals and presses provided by the Norwegian Association of Higher Education Institutions is too blunt with far too many items being graded at the bottom level and too few at the top level. There is reason to consider a 3 or 5-point scale that allows for more distinction between really prestigious journals and others that fall in-between those and the lowest ones.

Integrating strategy into programs:

This is an internal management challenge. The institute leadership has been quite effective in applying strategic thinking to meeting challenges in the operational environment, but it has fallen short with regard to the strategic component in its program development. There is reason to consider the following specific recommendations:

- The institute leadership needs to identify what is "strategic" about its strategic programs and insist that researchers apply these criteria in their work.

- Careful attention needs to be paid to the number of institute programs being run simultaneously because experience suggests there may have been too many to effectively implement.
- Programs that have become "empty shells" or "one-person operations" should be closed down in favor of those in which a critical mass can be more easily mobilized.
- New institute programs should be carefully prepared with the following set of criteria to be met before approval: (a) what is its theoretical foundation, (b) what is the key concept(s) around which research will be organized, (c) how will the program add to existing knowledge, (d) what is its policy relevance, and (e) what is its comparative advantage given what others have done or are doing.
- CMI should carefully consider not stretching itself too thin in terms of agreements to cooperate with institutions in other parts of the world.
- CMI must ensure that a reasonable boundary is maintained between different strategic programs so as to avoid double accounting of output.
- The institute should continue to make strategic use of the CMF for purpose of developing new programs or projects.

Balancing interdisciplinarity with demand for disciplinary quality:

This is a challenge that stems from the fact that interdisciplinary research is dominant in the institute sector, including at CMI, but there are also expectations of researchers in this sector to achieve recognition by peers in the regular university disciplines. CMI researchers have done quite well in balancing these concerns, but the institute should take the following recommendations into consideration:

- The best form of interdisciplinary research is typically produced by persons with a strong grounding in a particular discipline. The new research organization that CMI has adopted raises questions about how well disciplinary criteria will be secured. With this in mind, the new formula for organizing research at the institute should be assessed after the first two years.
- Institute researchers are expected to develop closer relations with university institutions in Norway. As part of this ambition CMI needs to pay attention to how it can earn recognition among mainstream discipline-based researchers.
- Management needs to continue its effort to integrate representatives of the three core disciplines at the institute into its various programs and projects in order to make most effective use of its human resources.

Improving dissemination:

This is another challenge with several distinct dimensions. One relates to strengthening academic publishing. A second refers to assisting researchers in the South to get published.

A third refers to participation in the public and popular media. The following recommendations should be considered by the institute:

- CMI needs to reverse the decline in number of articles in international peer-reviewed journals that occurred during 2001-2005.
- Encourage and facilitate for junior researchers to get published internationally.
- Small amounts of money from CMF should be set aside to encourage and allow researchers to revise institute reports and working papers into academic publications.
- Researchers at CMI should, in addition to getting published themselves in respectable journals and by prestigious presses, as much as time and resources permit encourage joint publications with partners in the South.
- CMI staff is already participating in the public and popular media but it can do more of it outside the local circles in Bergen in order to enhance its visibility and profile in Norway and elsewhere. For instance, op-ed articles in foreign newspapers would be one way of achieving this.

Strengthening capacity:

This is a challenge that has both an in-house and external dimensions. It relates to how the institute can strengthen its own capacity at different levels as well as how it can foster capacity building in the South. The following recommendations bear on this challenge:

- Expand the board to include international representatives to help enhance CMI's profile outside of Norway.
- Continue efforts to turn the institute library into a National Resource Center by demonstrating its services to external users and accelerating the transition from BIBELATION to BIBSYS.
- Reinstate the program that allows students and younger researchers from the Nordic countries to spend time in the institute library.
- Encourage the development of closer institutional collaboration with other policy institutes and academic institutions in Europe and North America to facilitate future joint projects and exchanges.
- Continue helping partners in the South to become members of international research networks and allow them time for research and reflection at the institute.

Annex One. Terms of Reference

Sak DSS 84/05 Vedlegg

Terms of reference for the evaluation of Chr. Michelsen Institute (CMI).

Purpose of the evaluation

Founded in 1930, Chr. Michelsen Institute (CMI) is the largest centre for development studies in Scandinavia. The institute is an independent, non-profit research institution and a major international centre in policy-oriented and applied development research. CMI receives core funding from the Norwegian Ministry of Foreign Affairs, administered by the Norwegian Agency for Development Co-operation Norad and channeled through the Research Council of Norway (NFR). In addition, NFR funds a number of research projects and programmes at CMI. On this background, Norad and the Research Council of Norway want the CMI evaluated as a basis for future funding and priority-setting.

The last evaluation of CMI was finalised in 1997. With the goal that all major recipients of government funds should be subject to appraisals every ten years, the following evaluation will directly feed into the priorities and funding of Norad, the Norwegian Ministry of Foreign Affairs and the Research Council of Norway. Hence, the evaluation report should be applicable as an advisory tool for government agencies in Norway and other users. Furthermore, the evaluation is to be formed in a manner, which contributes to CMI's own strategic work and competence building. The purpose of the evaluation is to present as accurate a picture as possible of the institute, based upon assessments of quality and relevance, as well as give input and advice into strategic focus and priority setting in order to strengthen the institute in key areas for development research. In general, the evaluation is also to feed into a broader evaluation of Norwegian development research, which the Research Council plans to conduct during 2006. With this background, the following paper lays out the terms of reference for the evaluation of the CMI.

Background for the evaluation

The Chr. Michelsen Institute for Science and Intellectual Freedom is named after Christian Michelsen (1857-1925), one of the great Norwegians of the 20th century.¹⁰ CMI today is a private non-profit institute with a total turnover of NOK 50 million (2004). Besides the core grant mentioned above (NOK 11 million in 2005), CMI receives NOK 1 million in core funding from the Norwegian Ministry of Education and Research earmarked for human rights studies. The remaining sources of revenue (totally about 22 million) derive from competitive research grant (mainly through NFR) and commissioned research and research cooperation projects with partners in the South (mainly funded by Norad).¹¹ In

¹⁰ Among others, he was the prime minister who led Norway's peaceful dissolution from the union with Sweden through the establishment of an independent Norwegian state in 1905. He died in 1925 and bequeathed his wealth to the establishment of a foundation for science and intellectual freedom. In his will Michelsen specified four areas of priority: humanities, natural sciences, technology and medicine and "cultural and scientific work to foster tolerance between nations and races - religious, social, economic and political."

¹¹ CMI's main clients include Norwegian Ministry of Foreign Affairs (MFA); Norad; Danida; Sida; the UN system; World Bank and the Utstein Group of bilateral donor agencies (DFID, GTZ, Netherlands Ministry of Foreign Affairs and NORAD)

2004, CMI carried out in total 148 research projects and commissioned work for external clients to a value of NOK 34 million, constituting 68 percent of the total turnover. Contracts with Norad alone, represented 38 percent of project revenues.

The core funding is used to part-finance Strategic Institute Programmes, the library, staff training and competence development, and some specific own-initiated research projects. The core funding is crucial to maintain and update existing expertise in all areas of work.

Today CMI employs 54 people. Research and competence areas have broadened in scope and in focus. At the moment there are 4 Strategic Institute Programmes and 7 competence areas: human rights and democratisation; public sector reform; peace-building; poverty and social transformation; global economy and development; aid policy and impact; and natural resources management.¹²

Key focus of the evaluation

The evaluation is to be future oriented and contribute to assure quality and relevance of the institute's research; develop institutional capacity and competence in relation to national and international development priorities and provide the institute with a better basis for its own quality assurance and strategic priority-setting. At the same time, the evaluation should form the future basis for assessment of the basic budget allocations and the use and focus of strategic institute programmes etc.

At the same time, it has become a major goal of the Research Council to internationalise the Norwegian research sector and make Norwegian research communities more attractive for international scientists, investors and policy-oriented institutions. This entails Norwegian visibility and active participation in international conferences and key fora, cooperation with international expertise and researchers both in the North and the South, amplified international publishing, and improved positioning towards international institutions, decision-makers and supplementing funding channels. At the same time, challenges faced by developing and transitional countries are similar in several respects to those experienced by countries in the developed world. On that basis, it remains a key challenge for Norwegian development researchers to internationalise, while simultaneously also opening up their research fields and programmes to broad and multidisciplinary expertise and experience.

On this background, the evaluation should evaluate the following:

1. *Research quality* of the general research conducted at CMI as assessed by international standards and the status of international research front. The committee is also requested to evaluate the relationship and balance between commissioned research on the one hand and competence building and more basic research on the other hand.
2. *Relevance* assessed by the key priorities set in Norwegian development assistance, relevant broader government priorities as well as priorities set by international organisations. This includes also the ability of the institute to influence and inform critical debate of development policies – in Norway, in partner countries and internationally.

¹² For further information on CMI's objectives, and priority research areas, see CMI Statutes for Science and Intellectual Freedom, <http://www.cmi.no> as well as the evaluation report conducted in 1997.

3. *Dissemination* and user contact, both in Norway and internationally (including in the South) with particular focus on the contact with Norwegian development assistance policy and policy-makers.
4. *Co-operation* with the broader institute sector and universities in Norway
5. *Organisational quality and strength* (funding, independence, composition of staff etc.), the ability to restructure etc. (as assessed amongst others by the institute's use of the previous evaluation report etc.), and cost effectiveness in management of its resources.
6. *Internationalisation*: international research co-operation and networks; participation in international committees and large-scale research programmes; speaking engagements and presentations of papers at international conferences; profile of international strategic work as well as co-operation with international institutions. Activities and partners both in the north and the south are relevant in this regard, evaluated against strategic priorities, the knowledge front (where are the leading international academic institutions in the field) and competence-building.
7. *The Library function* and its practical value to both the academic sector, government agencies, the public and development practitioners

The final report must cover the abovementioned points and come up with clear recommendations as to how to improve the institute along the lines pointed out above. The evaluation will look at CMI in a ten-year perspective, i.e. since the past evaluation was conducted. An important part of the assessment will hence be to evaluate CMI on the basis of improvements, changes and restructuring since the last evaluation took place (and in part due to the last evaluation). The main part of the evaluation should however look at the past five years, especially when it comes to the assessment of professional profile, relevance, quality and productivity.

The evaluation team should make use of conventions and statutes, budgets, long-term plans, organisational and other strategy documents and annual reports for the previous three years. Furthermore, a selection of professional work (articles, reports and books) should be selected to cover all the main research areas of the institute. Previous evaluations will also hold relevance as well as documentation about follow up work after the previous evaluation in 1997. A self-evaluation by CMI as well as a user survey amongst key users of CMI services should likewise form important pillars of the evaluation.

In several areas, the evaluation should make use of common criteria identified in the evaluation reports of the Research Council¹³ in order to serve as a basis for comparisons between the various institutes in Norway and assure an appropriate division of labour and co-operation within the institute sector. Such criteria include: publications, research staff and supervisors etc. as gathered by NIFU statistics etc. Further criteria should be set by the evaluation team in order to operationalise the goals and focus of the evaluation.

¹³ See among others "Fagevalueringer – Dokumentasjon av prosedyre for fagevalueringer i Norges Forskningsråd, august 2003".

Organisation and time schedule

The evaluation should be based on assessments of documents as described above, a self-evaluation by the institute as well as a minimum of one institute visit. It should include interviews with a sample of representatives of key clients and cooperating partners of the Institute. Secretariat function should be made available by the Research Council. In addition, the evaluation committee may obtain expert comments within the budget.

The evaluation report should be finalised by the end of 2006. The report should be written in English. The evaluation committee is to present their draft report to CMI one month before the final deadline for the report. CMI will comment on the draft within the following two weeks. The final report, including all comments and suggestions from CMI will be submitted to the Research Council Division Board.

Annex Two. List of documents

The following documents have been consulted or used in the course of the evaluation but are not included in the written report, the exception being the Terms of Reference. Being public documents they are available either on the relevant websites listed below or on request from the Research Council, the exceptions here being the “Self-study report” and “Handlingsplan for perioden august 2006 til desember 2010”, which were shared with the Evaluation Team on a confidential basis.

Letter to CMI 13.03.2006

Terms of Reference, see Annex One.

Statutter for Chr. Michelsens Institutt for Videnskap og Åndsfrihet

CMI's Strategy for 2001-2005. See CMI's web-site <http://www.cmi.no/>

CMI's Strategy 2006-2011 to be published on CMI's web-site.

“Handlingsplan for perioden august 2006 til desember 2008”

Annual reports, see <http://www.cmi.no/>

“Self-study report” with annexes, May 8, 2006

Lists of publications 2001-2005

Survey of peers, questionnaire

User survey, questionnaire

“Results of the questionnaire to the donor agencies” to be published on

<http://www.http://www.rcn.no>

Annex Three. Criteria used to evaluate institute programs

The following scale was used for evaluating the five key components of each strategic program at the Chr. Michelsen Institute. It constitutes a modification of a scale used by the Research Council to evaluate projects.

1. Scientific quality:

- Number of publications in international peer-reviewed journals
- Number of publications in Norwegian peer-reviewed journals
- Number of books
- Number of book chapters

Scale:

- 7. Exceptional (a program at highest international level as manifest in several key publications in leading international peer-reviewed journals and books published by highly rated academic presses)
- 6. Excellent (a program at very high international level as manifest in some publications in leading international peer-reviewed journals and a book or two published by reputable academic publishers)
- 5. Very good (a program at high international level as manifest in articles published in national peer-reviewed journals and books published by local or international non-academic publishers)
- 4. Good (a program at good international level as manifest in articles or book chapters published internationally but where there is no evidence of peer review)
- 3. Fair (a program that barely meets international standards of academic quality and in which publications are few and mainly in the form of book chapters)
- 2. Weak (a program in which there are few publications and all of them are of low academic quality)
- 1. Poor (a program that has produced nothing or close to nothing of academic quality)

2. Policy Relevance

- Relevance to policy problems in the South
- Relevance to policy issues in the North, especially Norway
- Relevance to CMI's own strategy

Scale:

- 7. Exceptional (a program of greatest international and national interest in which researchers are leaders in providing policy advice internationally and nationally thus giving the Institute a high profile)
- 6. Excellent (a program of great international and national interest in which researchers are among the leaders internationally thus making the Institute one of several key institutions working in the field)
- 5. Very good (a program of some international and national interest in which researchers do a good job in providing policy relevant advice but where the impact is relatively limited)

- 4. Good (a program of limited international and national interest in which researchers produce decent policy relevant documents but in which the impact is quite low)
 - 3. Fair (a program of very limited international and national interest in which researchers have offered little advice, written or oral, that is policy relevant)
 - 2. Weak (a program which has virtually no international or national relevance and in which researchers provide little output of any policy relevant value)
 - 1. Poor (a program of no relevance at all to international and national policy)
3. Communication of results
- Means of dissemination

Scale:

- 7. Exceptional (a program in which researchers have very carefully considered reaching different audiences by creatively using a broad range of means of dissemination and there is evidence of impact as a result of this effort)
 - 6. Excellent (a program in which consideration has been given to reaching different audiences and there is some evidence that such thinking has been implemented with positive results)
 - 5. Very good (a program in which an effort has been made to reach various audiences but the results are not immediately evident)
 - 4. Good (a program that demonstrates it has used different means of dissemination with some results but in which there is no evidence that this was ever planned)
 - 3. Fair (a program in which dissemination features as a category but there is little evidence of trying to reach different audiences)
 - 2. Weak (a program without any conscious use of dissemination of results to any particular audience)
 - 1. Poor (a program in which any evidence of dissemination is absent)
4. Capacity-building
- Training of master's and Ph.D. students at CMI
 - Strengthening competence among researchers in the South

Scale:

- 7. Exceptional (a program that has greatly contributed to building capacity both within CMI and in the South with outstanding results)
- 6. Excellent (a program that has contributed to building capacity both at CMI and in the South but where the results are not fully known)
- 5. Very good (a program that has contributed to capacity-building within CMI but has done little, if anything, in the South)
- 4. Good (a program that has made a small contribution to capacity-building at CMI or in the South)
- 3. Fair (a program that has made a small contribution to capacity-building at CMI but none at all in the South)
- 2. Weak (a program that mentions capacity-building but has done nothing of any significance anywhere)
- 1. Poor (a program that has capacity building as one of its principal objectives but has done nothing at all)

5. Outreach in the South

- Institutional collaboration
- Collaboration with individual researchers in networks

Scale:

- 7. Exceptional (a program that has generated several highly valued agreements of institutional collaboration in the South and in which several researchers are actively involved in sustaining such institutional cooperation)
- 6. Excellent (a program in which there are one or more cooperative agreements with institutions in the South and they are actively sustained though with only some evidence of what the results are)
- 5. Very good (a program with one institutional agreement for cooperation that is active but sustained largely by a single researcher from CMI)
- 4. Good (a program in which many researchers from CMI are involved in the South but without really taking on the challenges associated with implementing an institutional agreement)
- 3. Fair (a program in which there are one or two researchers from CMI working in the South but there is limited evidence of their involvement with local researchers there)
- 2. Weak (a program in which over the years there is only sporadic evidence of contacts with individuals in the South and no institutional cooperation whatever)
- 1. Poor (a program in which no effort has been made to establish contacts with individuals or institutions in the South)

