

# **Evaluation of the Norwegian Research and Development Activities in Conflict Prevention and Peace-building**

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Final**



**Norad**

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# **Evaluation of the Norwegian Research and Development Activities in Conflict Prevention and Peace-Building**

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## Preface

This evaluation aims at assessing the contributions of the four most important Norwegian research institutions to the Norwegian conflict prevention and peacebuilding efforts and the relationship between the Government and the institutions.

It should be clear that the intention has not been to do an academic assessment of the scientific quality of the research in case. The task, which was commissioned to the Belgian company Channel Research with a broadly constituted evaluation team, has been to map and analyse the outcome – the short-term results – of the research in terms of its contribution to the goals of the Norwegian government in this field.

These outcomes may be divided in two. On the one hand is the so-called instrumental utility, the direct value of the research for better informed operational decision-making. On the other is what may be called the conceptual utility, that is the value of the research for strengthening the Norwegian knowledge base on conflict prevention and peacebuilding issues.

The task has admittedly not been an easy one. In its analysis the team has followed the results chain from inputs through outputs to outcomes, thus trying to assess the contribution – and its significance – of the research activities to the actual processes and situations.

Some quite clear results have emerged. Norwegian research in conflict prevention and peacebuilding has over the last few years achieved a high degree of maturity and now provides a unique additional resource for the Ministry of Foreign Affairs. A sustainable and diverse funding regime has been established, with strong international connections and ability to generate new expertise.

It is worth noting that the rather small community of researchers and diplomats have – according to the consultants – managed to avoid visible conflicts of interest in its funding mechanisms as well as to avoid creating a group of professionals living off the rent of increased funding. A competitive research environment has been created. This is at odds with views expressed by some critics on the relationship between the Norwegian government and the research community in Norwegian foreign policy.

Overall, the report finds that there has been an important shift of emphasis in the research since 2002, in that research capacity is now treated as an important asset of the Norwegian model. This shift has several consequences:

“Use of the researcher, rather than the research”. It is the merits of the specialists available that determine outcomes. Short briefings, workshops and contacts count, while there is a tendency towards neglect of deeper long term research and conceptual innovation.

There is a proliferation – a fast growth and spreading – of funding mechanisms. This may be welcomed by the institutes, but leads to highly differentiated criteria for research, lack of transparency and limited co-operation among the partners.

The recognition of an “international market” in peacebuilding and conflict prevention research.

Still the changes have allowed some of the institutes to combine short term consultancies with long-term research, implying a more practical focus of the research.

According to the report a division of labour between the research institutes has to some extent developed:

The Christian Michelsen’s Institute dominates the field of political and conceptual research, while maintaining a “critical voice” in conflict and peace policies.

Fafo has emphasised its role in providing solid, reliable, empirical evidence, but is increasingly dependent on the Ministry of Foreign Affairs.

NUPI focuses on security issues and rely on a few high profiles, high revenue programmes. It tries to develop a more balanced profile, but is struggling to establish overall coherence.

PRIO has maintained a good balance, with conceptual innovation as a basis for academic and financial independence.

Through case studies the evaluation has aimed at more specific answers to the question of the contribution of research. The cases chosen, Sudan, Palestine, Sri Lanka, Training for Peace and the UN Security Council Resolution 1325, show quite some variation in the significance and influence of the research, but the assessment is still mainly on the positive side.

The Sudan case is highlighted as the archetype of the Norwegian model as far as use of research is concerned. Norwegian research has contributed significantly to providing factual information for decision-making, agenda-setting, capacity building, and development of networks. The results of Norwegian research have been well aligned with the drivers of conflict and peace dynamics, and the background information has been successful in allowing Norway to address the important issues. Capacity building and personal networks have made broad influence possible. This is not least due to long-term involvement enabling the research institutes to provide deep background knowledge as well as a critical voice.

Concerning Palestinian areas the report concludes that the information and conceptual conclusion remain exceptionally good, while capacity development has been a waning priority for the institutes. The influence of the research is limited by the increasing polarisation of governance, but is as relevant as conditions allow. There is in general a high quantity of research data, but this has not led to better international policy-making.

The Norwegian research on conflict and peace issues in Sri Lanka has been much more limited than in the other cases. Norwegian authorities have used other sources to support its decision-making, although the research itself has been highly relevant.

The Training for Peace Programme, a programme that covers Africa, is cited as a good example of the local capacity building role that research institutes can play in civilian aspects of conflict prevention, leading to regional knowledge and networks. The research component in this programme has been small but important. However, the lack of clear policy on the part of the Norwegian Ministry of Foreign Affairs to continue its support may lead to a loss of many of the achievements.

The last case concerns Norwegian efforts to help implement the Security Council Resolution 1325 on women, peace and security. Research institutes have had significant influence on the formulation of Norwegian positions, but the influence is reduced as one moves towards implementation at country level.

Moving to the overall level of peace- and conflict-related research in Norway, a somewhat different picture emerges from the report:

The Utstein Study on Peacebuilding identified a “strategic deficit” between the strategic policy level and the actual field programmes within this sector, and saw this “gap” as a significant obstacle to sustainable peacebuilding. This evaluation finds that much of the research commissioned has become focused on information-delivery in a rapid and applied manner, and has not been able to fill this gap and generate a strategic focus.

The research agenda has been increasingly influenced by the short-term and less predictable needs of the Ministry of Foreign Affairs, and a clear conceptual framework of conflict-prevention and peacebuilding research is absent. This lack of focus may not be an issue from the point of view of the institutes, but on the other hand it may not serve fully the long-term interest of the research field, particularly when it comes to creating a sustainable research capacity in this area.

The evaluation finds that there is an unnecessary contrast between the short-term and long-term research funding from the Ministry of Foreign Affairs, where the latter seeks to create capacity and the former is focused on rapid and relevant information. This has resulted in loss of efficiency, and considerable resources have been spent on poorly coordinated proposals that are not pursued or foreign policy initiatives that are not supported by research. Norad's role has been limited to merely technical oversight of research projects.

The lack of common understanding, a disconnect between short and long-term funding, and diverse practices in the project selection have resulted in fragmentation of the research content and environment. The net result of all the above is a research environment for conflict prevention and peace-building that to some extent is characterised by isolation.

The evaluation team does not recommend additional policies or introduction of new structures. It recommends some steps to improve the overall knowledge management and strategic thinking:

The Ministry of Foreign Affairs is advised to create consultation mechanisms for the various government organs and research institutions engaged in conflict prevention and peacebuilding.

It is also recommended that explicit objectives are formulated for the research, where capacity development in Norway and abroad is emphasised.

The research institutions should on their part design and implement strategies of national capacity building.

The Ministry of Foreign Affairs and Norad should develop knowledge management frameworks for research specifically for conflict prevention and peace-building.

Norad should consider moving beyond merely technical oversight of research projects, to develop capacity to assess the substantive content of research.

We trust that this report, its findings and recommendations, will feed into the ongoing debate about Norwegian peace and development efforts and the role of research.

Asbjørn Eidhammer



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## List of Acronyms

<b>Term</b>	<b>Meaning</b>
ACCORD	African Centre for Constructive Resolution of Disputes
ASF	Africa Standing Force
AIS	Applied International Studies
AU	African Union
CPPB	Conflict Prevention and Peace-Building
CMI	Christian Michelsen Institute
CPA	Comprehensive Peace Agreement
CRPB	Conflict Resolution and Peace-Building
CSCW	Centre for Study of Civil War
DANIDA	Danish International Development Agency
DDR	Disarmament Demobilisation and Reintegration
DfID	Department for International Development
DRC	Democratic Republic of Congo
EU	European Union
Fafo	Fafo Applied International Studies
GoNU	Government of National Unity
GoSS	Government of South Sudan
HR	Human Rights
JAM	Joint Assessment Mission
JMC	Joint Monitoring Committee
JDO	Joint Donor Office
MFA	Ministry of Foreign Affairs
IDPs	Internally Displaced Peoples
IDRC	International Development Research Centre
IGAD	Intergovernmental Authority on Development
ISS	Institute for Security Studies
JIU	Joint Integrated Units
LTTE	Liberation Tigers of Tamil Ealam
MA	Master of Arts

MMIPB	Micro-Macro Issues in Peace-Building in Sudan
NATO	North Atlantic Treaty Organisation
NCA	Norwegian Church Aid
NCP	National Congress Party
NGO	Non-Governmental Organisation
NPA	Norwegian People's Aid
NOK	Norwegian Kroner
Norad	Norwegian Agency for Development Co-operation
NUPI	Norwegian Institute for International Affairs
OAG	Other Armed Group
OECD-DAC	Organisation for Economic Co-operation and Development – Development Aid Committee
OSCE	Organisation for Security and Co-operation in Europe
POVPEACE	Research Council of Norway's Poverty and Peace Programme
PRIO	Peace Research Institute Oslo
PRU	Peace and Reconciliation Unit (of the Ministry of Foreign Affairs)
RCN	Research Council of Norway
R&D	Research and Development
SADC	Southern African Development Community
SAFDEM	Southern Africa Civilian Standby Roster for Humanitarian Relief and Peacekeeping Missions
SCoGI	Sub-Committee on Gender Issues
SPLM/A	Sudan People's Liberation Movement/Army
SSR	Security Sector Reform
TFP	Training for Peace
UK	United Kingdom
UN	United Nations
UNHCR	United Nations High Commissioner for Refugees
UNMIS	United Nations Mission in Sudan
UNDP	United Nations Development Programme
UN DPKO	United Nations Department of Peacekeeping Operations
UNSC	United Nations Security Council
UNIFEM	United Nations Development Fund for Women
US	United States
WA	White Army



# Executive Summary

## Approach and Methodology

Since the early 1990s Norway has been playing an important role as facilitator in a number of peace and reconciliation processes. Norwegian researchers have underpinned this by providing up to date information and innovative analyses. They also help develop competence in Norway and abroad, and generate useful contacts that bolster formal negotiations.

This evaluation was commissioned by the Evaluation Department, Norad, to assess to what degree, and in what manner, the research carried out at four Norwegian institutes promotes the objectives of the Norwegian Ministry of Foreign Affairs in conflict prevention.

More specifically the evaluation was asked to define how research is resulting in outcomes that promote *instrumental* and *conceptual* utility objectives. In the context of this evaluation, instrumental utility refers to the value of research and development (R&D) as a means for improving the operational decision-making at the Ministry of Foreign Affairs. The conceptual utility on the other hand refers to the value of R&D for a strengthening of the Norwegian knowledge base on Conflict Prevention and Peace-building issues, which can eventually be expected to inform public debate, and provide deeper understanding of the issues, thereby helping the Ministry and its partners in peace and conflict work in the long-term.

The consensus about this new field amongst OECD bilateral aid co-operation agencies is that the scope of conflict prevention and peace-building covers all activities carried out in development, security, justice and reconciliation, governance and political assistance. What distinguishes it from other types of aid is the aim to assist the ending of inter-group violence, when combined with the pursuit of just and equitable social conditions.

The activities evaluated are those of the Christian Michelsen Institute (CMI), Norwegian Institute for International Affairs (NUPI), Fafo Applied International Studies (Fafo), and International Peace Research Institute, Oslo (PRIO), funded by the MFA and the Research Council of Norway, or NORAD, over the period 2002-2007.

The evaluation has focused on the production of the research (as opposed to an assessment of scientific quality), and on its effects. This can be traced as a link between research outcomes and the key factors of international conflict. The case studies are Palestine, Jordan and Sudan, plus desk reviews on Sri Lanka, Training for Peace (a project training of the civilian components of African peace support operations), and a review of research on gender in conflict in support of UN Security Council Resolution 1325.

## Intention and Use of Norwegian Research

Norwegian policy views peace as a symbiotic relationship, best summed up in the aphorism: 'sustainable development promotes peace and sustainable peace promotes development'. Research on conflict is in turn given a high priority in Norwegian foreign policy, and funded through different sources at the MFA and Norad. Poverty and Peace research in particular is an important element at high level foreign policy strategies. During the period under review Ministry of Foreign Affairs funding has resulted in increased efforts on Conflict Prevention and Peace-building (CPPB) research, and resulted in useful network building. The Ministry's planning processes have also been participatory where research institutions have been involved from early on.

Practice has developed a foreign policy approach which is often referred to as the 'Norwegian Model', characterised by a commitment to long term engagement, involvement of Norwegian researchers and NGOs, and the pragmatic, flexible use of human and financial resources in support of peace processes.

This pragmatic use of human and financial resources is channelled amongst others through the four institutes, but also many other institutions in Norway and abroad. Some programmes commissioned by the Research Council of Norway are more long term, but still sharply policy related.

Corroborating a recent evaluation on development research<sup>1</sup>, the results of this evaluation on research and development in the area of conflict prevention and Peace-building are comparatively good:

- the four institutes commit senior staff to research in this area;
- a high proportion of the research is written in English making it accessible to a wider, international audience;
- it dovetails with other Norwegian foreign policy research and policy priorities;
- researchers conduct the type of research that is needed;
- and there is some evidence of knowledge utilisation.

While prior to 2005-2006 the Ministry of Foreign Affairs and Research Council of Norway gave only limited priority to peace research, this has increased now with the programming of both fundamental research (Poverty and Peace Programme) and an annually increasing allocation for applied research from the Peace and Reconciliation Unit.

However the team has faced considerable difficulties in data collection and analysis, due to the differences in definitions of conflict prevention and peace-building (for example a large amount of research in this field does not recognise itself as such) and of financial and project reporting in the Ministry and the institutes. While overall expenditure is clear, it is very difficult to assign specific research outputs to funding decisions, and even more difficult to relate resources to country specific impact, due to the diverse nature of dynamics covered worldwide, as well as the culture of discretion in the Ministry of Foreign Affairs.

Within a rich interface of consultation and mutual familiarity between the research community and the Ministry of Foreign Affairs, there is a need to create better incentives for all sides for an efficient and predictable utilisation of research outputs. The evaluation observes that the higher policy coordination wanes as one moves down to the implementation levels.

There is firstly an unnecessary contrast between the short-term and long-term research funding from the Ministry of Foreign Affairs, where the latter seeks to create capacity and the former is focused on rapid and relevant information. A lack of a common understanding in the project selection has resulted in a loss of efficiency in the research content and environment. Considerable resources are spent on poorly coordinated proposals, on research streams that are not pursued, or foreign policy initiatives that are not supported by research.

### **Significance of Impact as Demonstrated by the Case Studies**

Sudan provides the best example of the Norwegian Model being used in a consistent fashion to achieve highly relevant influence on the key drivers of conflict. The inter-relations of the institutes with the Ministry of Foreign Affairs and actors in country have allowed Norway to continue to play an important role.

A review of the larger projects shows that the provision of background information was successful in allowing Norway to address appropriate issues, through a good identification of stakeholders. On the other hand the conceptual research was limited to a small audience. The duration of influence of the institutes is exceptionally strong in Sudan, with important inroads into achieving sustainability/durability of the outcomes in Sudan itself, particularly thanks to the links to local partners. The timing of the research has also been good, coinciding with policy decisions.

In Palestine the conflict drivers are multiple and a large number of them are outside the sphere of research actors, as international policy in particular is subordinated to many other influences. Whereas capacity development and informal Track II contacts have been a waning priority in the current polarised environment, information and conceptual contributions

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1 'Norwegian Development Research – An Evaluation', The Research Council of Norway 2007.

remain exceptionally good. The Living Conditions surveys constitute a relevant and extensive vector of impact.

The Training for Peace programme is a good example of the capacity building role that the institutes can play in civilian aspects of peace-keeping, leading to regional knowledge bases and networks of personnel. The sustainability of the programme varies, however, if one speaks of the Norwegian institute (where it is small and where it is not linked to a clearly defined Ministry of Foreign Affairs policy) or of local partners (where there is good sustainability thanks to long range funding).

In spite of a prominent role in the negotiations in Sri Lanka, the MFA has made only limited recourse to the four institutes to provide research and development services in relation to the conflict. Instead it has sought to meet the Ministry of Foreign Affairs' policy research needs by commissioning research on Sri Lanka outside of Norway, including considerable funding to Sri Lankan researchers.

As regards gender in conflict and support to Security Council 1325, the influence of the institutes on the formulation of the Norwegian position has been well synchronised to support the process of formulation and implementation of the Resolution, but still needs to be developed in terms of its application in conflict situations.

### **Overall Conclusions**

Research and development in conflict prevention and peacebuilding has created a dynamic and competitive literature, and a web of significant contacts for Norway, leading to some unique outcomes in terms of peace processes building on previous networks of contacts and access. However the research specialisms of the individual institutes, as well as individual research programmes and researchers within them, combined with short term, particular needs of the MFA, means that it is difficult to trace out a coherent and broad focus within Norwegian R&D on peacebuilding. This leads to a strong performance in terms of the relevance of the research produced to issues in particular conflict, but not to an efficient use of the research by the MFA, and it ascribes a low importance for local partners who turn out to be important elements of good performance.

The conflict situations which Norway engages with involve ever more diverse forms of influence. The complex interaction between macro and micro dynamics creates environments in which broad strategic orientations may constrain initiatives on the ground, but also one where micro-level issues may come to generate strategic effects, mainly due to real time communication and media interest in conflicts. It coincides with increased pressures on the time and attention on MFA officials. In such an environment, research and development on CPPB is an asset which could be further developed.

Interestingly, there is a mutual reluctance, on the part of the institutes as well as on the part of the Ministry of Foreign Affairs, to develop a framework either for research and development or for conflict prevention. Many respondents within the research institutes (and particularly PRIO) have identified the non-determination, informality and flexibility of the existing arrangements, as an advantage (citing in particular a bias in favour of competitive approach to capacity). Some have even said that eliminating this room for maneuver through an MFA defined theoretical and/or conceptual framework would be counterproductive for research as it would limit their independence. From the MFA's point of view it would constrain their ability to commission applied research linked to short term policy needs (some of which must occasionally remain confidential).

It is for this reason that the evaluation does not argue for the development of a new structure to manage research and development in the area of conflict prevention and peacebuilding, but does push towards a better designed and more transparent setup that entails organised dialogues between the MFA and the research institutes on research funding agendas and the commissioning and utilisation of research.



## Recommendations

The Terms of Reference ask for advice on how to improve utility. The evaluation would recommend a change in the coordination regime, to better seize this important opportunity for the Norwegian model.

The Ministry of Foreign Affairs should in essence create a **coordination regime** for the MFA, Research Council of Norway and for those institutes interested in conflict prevention and peacebuilding. This will be materialised in meetings and documentation, in which short term priorities of research and development would be better supplemented by the commissioning bodies (including objectives formulated in terms of outcomes, selection criteria, and possible synergies with non-Norwegian institutions). This already exists for the Research Council of Norway, but covers only a small part of the research and is not well linked to the concept of peace and reconciliation as pursued by the MFA. The intent should be for the MFA to strategically build up and sustain the CPPB research environment in Norway, in Europe, and in developing partner countries in a manner that combines flexibility and long term planning.

More specifically, three developments should take place:

1. *The Ministry of Foreign Affairs* should **publish explicit objectives in terms of fields of research** which Norwegian conflict prevention and peacebuilding requires, with greater emphasis on capacity building in Norway and abroad, and priorities in the information base (two of the key outcomes of research and development identified by this evaluation). This prioritization of areas that the MFA wants covered in research projects could be officially published (without being linked to calls for proposals) and aligned to the list of countries in which Norway wishes to invest resources, be they developing countries or not. This would provide medium to long term areas of interest, thematic priorities, and indications on the necessary timing of outputs, and to a certain extent contribute to the greater 'arm's length' distance between researcher and user advocated by the above mentioned evaluation on development research in Norway<sup>2</sup>.
2. Since research is funded by the Ministry of Foreign Affairs and concerns international relations and country situations, the research programmes and projects of the institutes should systematically design and implement strategies of **national capacity building** with suitably qualified partners in other countries but also other countries where research is carried out, which would increase the extent and duration of Norwegian research and development influence internationally. This partnership should become more of a research and development policy priority, facilitated in certain cases with funding by Norwegian embassies,<sup>3</sup> and lead to something like an actor-focused policy in peace-building, aligned to conflict analyses and to the value foreign researchers place on having access to internationally recognised forums of debate and review. While not wishing to transform the research institutes into the training arms of Norwegian cooperation, the institutes should seek to further develop strategic research partnerships with southern researchers and research institutes so as to build research capacity and generate alternative perspectives/knowledge on conflict prevention and peacebuilding issues in countries where Norway seeks to play a role.
3. *The Ministry of Foreign Affairs and especially Norad* should develop a transparent **knowledge management framework** commissioning and funding R&D specifically for CPPB. This would allow individual researchers and research institutes to plan long-term and to build research capacity that is tailored to meet the needs of the future. In dialogue with the research institutes, this would include the development of theoretical schemes, events and seminars, and an evaluation framework tied to the emerging OECD Guidelines, to guide the work of researchers in assessing the quality of their work based on impact assessment. As part of this the research institutes should develop more collaborative, genuinely strategic research programmes that take advantage of their respective areas of expertise and competence in developing conceptual, thematic and country specific research outputs. This would contribute to the ability of researchers to maintain a long term focus, marking a recognition that capacity building represents the bottleneck in Norwegian research<sup>4</sup>. In support of this knowledge management framework, Norad should consider moving beyond merely technical oversight of research projects to developing some capacity to

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<sup>2</sup> "Norwegian Development Research – An Evaluation", 2007.

<sup>3</sup> There are interesting examples of this already happening in India.

<sup>4</sup> "Norwegian Development Research – An Evaluation", 2007.



assess the substantive content of research and steer it towards appropriate and relevant users within the Norwegian foreign policy machinery.

This coordination would act as a nexus of information, dialogue and ideas, but without creating constraints on either side. It would not entail additional policies, or establishment of problematic institutions, but would promote an enhanced synergy between research and policy components of Norwegian efforts in support of conflict prevention and peacebuilding.

# 1 Approach and Methodology

## 1.1 Aims and Scope of the Evaluation

This report was commissioned by the Evaluation Department, Norad, to assess to what degree and in what manner the research and development activities supported by the Ministry of Foreign Affairs (MFA) is resulting in outcomes that that promote *instrumental* and *conceptual* utility objectives underlying MFA funding of conflict prevention and Peace-building (CPPB) research activities; and in case there are shortcomings, how can these be rectified.

In the context of this evaluation, instrumental utility refers to the value of research and development (R&D) as a means for improving the operational decision-making at the MFA. The conceptual utility on the other hand refers to the value of R&D for a strengthening of the Norwegian knowledge base on CPPB issues, which can eventually be expected to inform public debate, and provide deeper understanding of the issues, thereby helping the Ministry and its partners in CPPB activities in the long-term.

References to the Ministry of Foreign Affairs include the political leadership, its officials, the Norwegian Embassies, and Norwegian Agency for Development Cooperation (Norad). The scope of this evaluation is limited to CPPB research supported by MFA at the four Norwegian research institutions CMI, Fafo, NUPI and PRIO during the period 2002-2007. The main objective of this evaluation is on assessing as accurately as possible the outcomes and significance of the MFA funded research and development at the four research institutions. The primary purpose of the report, is to make a contribution that can enhance the design, and future programming of MFA funded CPPB research.

An academic assessment of scientific quality of work is not the subject matter of this evaluation. Outcomes are often hard to trace in standard academic assessments, and here take place in remote, sometimes unstable countries, where there may be significant risks posed to individuals conducting research and publishing their findings. The success of any project, in particular the smaller short term grants, is to a large degree dependent upon how well it is integrated into an institutes' project portfolio, into the work of the MFA, and even to a certain extent into the work of the stakeholders of peace and conflict. The source, relevance, timing, and depth of dissemination of the work are at times more important than its breadth of dissemination or technical quality.

The evaluation has chosen instead to rely on the analysis carried out on a comparative basis with other fields of development research by the Research Council of Norway<sup>5</sup>. We have also assessed the links between key research outcomes in certain case study situations (three countries and two themes), and drivers of processes of change in these situations. The Terms of Reference also ask for a review of the intentions of funding, and its utilisation by the MFA.

An important reservation must be made up front to avoid misunderstanding. The evaluation *does not seek* to link foreign policy decisions to specific bodies of research, nor does it claim to *measure* the impact of research on conflict. Instead it sets out to *verify* through case studies the significance of the contribution of four Norwegian research institutes to drivers of change internationally, and draws conclusions on the posture of research in Norwegian foreign policy.

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<sup>5</sup> 'Norwegian Development Research – An Evaluation', The Research Council of Norway 2007

## 1.2 Norwegian Approaches to Peace-building

This section describes the broad trends in Norwegian CPPB policy in the period under review. It sets out the agenda for R&D on Peace-building that follows from the MFA statements of policy.<sup>6</sup>

Norway does not attempt to cover the whole spectrum of CPPB activities as set out in the OECD 'Utstein palette', but instead has honed in, operationally and conceptually through funded research, on particular aspects that are embodied in and resonate with the 'Norwegian model'. On the basis of the interviews and reviews of MFA documentation, ministerial speeches and academic writings,<sup>7</sup> the core components of the 'Norwegian Model'<sup>8</sup> could be characterized as:

- A commitment to long term engagement with particular countries in the South based on a solidarity rooted in Norway's own history of colonization and its lack of history as a colonial power allowing it to be a trusted partner
- A determination that non-violent solutions are to be preferred and to this extent that dialogue with all parties to a conflict is desirable, because they are significant parties
- A view that Norway can provide essential assistance in facilitating a peace process, but that peace cannot be 'given' or 'imposed' on parties in a conflict, and that the ultimate responsibility for sustainable peace lies with the parties themselves
- That resources are used not only to pursue development assistance, but this development assistance is carried out in a 'conflict sensitive' manner and in a manner which makes tangible the benefits of peace
- That it makes pragmatic, flexible use of human and financial resources in support of negotiations and dialogue processes, as well as post-conflict reconstruction and rehabilitation
- That it works in close collaboration with civil society organizations, NGOs, and research institutions to develop a deeper knowledge and understanding of a country situation to enable it to respond to conflict dynamics and effectively support peace processes
- That it works with and through a range of international and regional organisations as an integral part of the platform for negotiating, consolidating and sustaining peace

The specifically defining Norwegian features of the 'model' were often identified as the combination of private and public institutions and resources, and 'flexibility', affording Norway the ability to respond to different situations on the basis of an assessment of the particular features of a conflict situation, the opportunities or openings that existed, and the particular role that Norway (and the large base of expertise in the country) might be able to play in the process. Over time, and largely as a consequence of the legacy of the Oslo process, this has come to emphasise a facilitative role, where the role of the military or macro-level institutional support during conflict, for example, is more identified with stability operations.

Arguably, the 'Norwegian model' has become integral to Norway's ability to play a high profile role in a number of peace processes. Since 2002, one could cite Palestine, Colombia, Sri Lanka, Burundi, Haïti, and Sudan. A key element of the model is the use of the network of contacts developed by the non-governmental sector – primarily aid-providing NGOs, but also academics and researchers – to provide a point of entry into a conflict situation or a peace process.

These partners play a crucial role through their often long-term presence on the ground, their detailed country knowledge, their range of contacts, and the insights they generate. Through the work of NGOs, such as the Norwegian Church Aid and Norwegian People's Aid,<sup>9</sup> Norway

6 The roots of Norway's current CPPB policy can be found in the 1995 White Paper on development cooperation, *A Changing World*. This argued that peace was a *means* towards the achievement of sustainable development. The 2002 *Action Plan for Combating Poverty in the South* reinforced this basic orientation. However, in 2002 a draft policy paper on 'Peace-building and Development Cooperation' was drawn up which unofficially informed policy before subsequently being adopted as the 2004 strategic framework document, *Peace-building – a Development Perspective*.

Underlying Norway's policy and operational practices is a core belief that there is an intimate connection between poverty and conflict. By 2004 Norway's policy emphasised a symbiotic relationship between peace and development best summed up in the aphorism: sustainable development promotes peace and sustainable peace promotes development'. With the change of government in 2005, there has been a subtle shift in emphasis though not a fundamental break with the approach set out in the 2004 White Paper. In ministerial speeches this has been characterised as a 'policy of engagement'. This emphasises Norway's use of 'soft power' to promote dialogue processes, support to UN-led multilateral institutions and the rule of law, and an emphasis on gender issues and implementation of UNSCR 1325. Recent ministerial speeches have also noted that Norway's peace policy is characterised by 'broad political agreement' and is 'consistent and stable through changes of government'.

7 Speech by Minister of Foreign Affairs, Jonas Gahr Støre, 24.04.06; White paper No 35 to the Norwegian Parliament 2003-2004, Ministry of Foreign Affairs; National strategy for Sustainable development, Ministry of Foreign Affairs 2002; Norad's strategy 2010.

8 Many interviewees admitted that they had some doubts about what the 'Norwegian model' was, whether it in fact existed either in conceptual or operational terms, if it was a 'good thing', and whether and where their research institute, and the research it produced, fit into it. But in the course of the interviews for the evaluation it also figured significantly as an element of the discourse surrounding Norwegian foreign policy in general and CPPB policy and research in particular. It also continues to be invoked as a component of Norwegian peace policy in ministerial speeches after the change in government in 2005.

9 See for example MFA 'Evaluation of Norwegian Humanitarian Aid to Sudan', 1997, describing the role of these two organisations in strengthening the willingness of the parties to negotiate.

is able to pull together and mobilise a network of individuals, non-governmental organisations and institutions that it leverages into a significant profile for the purposes of the furtherance of its CPPB policies and initiatives.

### 1.3 Object of the Evaluation

The main focus of evaluation is the CPPB research and development work that CMI, Fafo, NUPI and PRIO carried out internationally for the MFA in conflict prevention and Peace-building in the period 2002-2007.

There are many variations to the meaning of the terms that define the given field of CPPB research. We note in particular the definition contained in the MFA strategic framework documents, *'Peace-building – A Development Perspective'*, which points to the prevention of 'the outbreak, recurrence or continuation of armed conflict'. This is focused on structural components (including security, political development, social and economic development), but also encompasses a number of process-oriented elements (dialogue process, reconciliation processes) as well as more traditional components including the use of force, such as peacekeeping and peacemaking processes. Much of this explicitly or implicitly locates Peace-building activities within the context of the 'Norwegian model', a specific approach to international relations with a focus on resolving conflicts through a 'policy of engagement' and an emphasis on facilitating dialogue.

For the purposes of this evaluation, we have referred to the understanding of Conflict Prevention and Peace-building developed by the evaluation units of the OECD-DAC in their draft guidance on evaluation,<sup>10</sup> which operationalises CPPB as the goal of preventing inter-group violence through all activities described in the table below, distributed into four broad sectors.

The table is based on an adaptation of the Utstein *palette*<sup>11</sup>, but adds other programming approaches to each of the categories, in an effort to include a wider range of intervention types, and to reflect the findings of recent policy research. The concept of the palette is meant to highlight that the specific mix of activities (like the selection of colours from an artist's palette) will differ in each context.

<p><b>Development</b></p> <ul style="list-style-type: none"> <li>Balanced physical reconstruction</li> <li>Sound and equitable economic management</li> <li>Equitable distribution of benefits from poverty reduction programmes</li> <li>Promotion of gender equality</li> <li>Equitable access to health care, education, social services and safety nets</li> <li>Repatriation/reintegration of refugees and IDPs</li> <li>Employment and social inclusion projects</li> <li>Sustainable use of (and equitable access to) natural resources</li> <li>Practical projects aimed at promoting contacts and understanding</li> <li>Reintegration of ex-combatants</li> </ul>	<p><b>Justice and Reconciliation</b></p> <ul style="list-style-type: none"> <li>Dialogue among conflicting groups (elites)</li> <li>Dialogues for change of attitudes/perceptions</li> <li>Grassroots dialogue/negotiation</li> <li>Relationship building among conflicting groups</li> <li>Enhancing dispute resolution systems</li> <li>Prejudice reduction/diversity training</li> <li>Trauma healing</li> <li>Transitional justice processes/war crimes trials</li> <li>Reparations</li> <li>Future visioning</li> <li>Capacity building/conflict skills training</li> <li>Peace education/conflict resolution education</li> <li>Rule of Law</li> </ul>
<p><b>Political</b></p> <ul style="list-style-type: none"> <li>Democratisation/electoral processes</li> <li>Civil society development</li> <li>Freedoms of press, expression, etc.</li> <li>Media development/conflict sensitisation</li> <li>Improved access/power sharing</li> <li>Participatory processes, transparency, government accountability</li> <li>Rule of Law/access to justice</li> <li>Human rights monitoring, protection and development</li> <li>Governance and anti-corruption programmes</li> </ul>	<p><b>Security</b></p> <ul style="list-style-type: none"> <li>De-mining campaigns</li> <li>Small arms and light weapons reduction</li> <li>Disarmament &amp; Demobilization (combatants/child soldiers)</li> <li>Security Sector Reform (police, military, intelligence...)</li> <li>Community policing</li> <li>Peacekeeping</li> <li>Nonviolent interposition/observers</li> <li>Nonviolent accompaniment</li> </ul>

<sup>10</sup> At the time the evaluation was drawing to a close, the OECD-DAC provisional guidelines had just been published. There are minor revisions to the draft guidelines (including renaming the 'security' sector the 'security and judicial reform sector'). But the changes were not deemed significant enough to warrant deploying the provisional rather than the draft template in the evaluation.

<sup>11</sup> Adapted from the 'Utstein palette': Smith, 2004:27.

In using this definition of the field of CPPB the evaluation covers research which some might not necessarily consider as falling within the rubric of CPPB.<sup>12</sup>

While reasonably comprehensive, the ‘palette’ and its use is not without difficulties. The palette does not encompass support to south-south, regional or international organisations pursuing or engaged in CPPB initiatives. In addition, it is difficult to locate support for conceptually engaging with the idea and practices of peace-building within the ‘palette’. In the subsequent analysis of funding sectors and volume these gaps are corrected to some degree, while maintaining the core integrity of the palette and its usefulness for generating insights into which aspects of the CPPB palette are funded by Norad and the Norwegian MFA.<sup>13</sup>

In so doing the evaluation covers conceptual or ‘pure’ research, applied research, and operationally useful knowledge, and also examines the use of contacts made by researchers as a platform for the pursuit of CPPB policies<sup>14</sup>. The evaluation team then links these to the work of the MFA through a wider appreciation of the role of R&D in the fundamentally complex and challenging field of the resolution of conflicts.

## Funding

This evaluation covers the MFA funding for R&D in the field of CPPB. MFA funding is routed to the research institutes through two main channels: The Norwegian Research Council (RCN)<sup>15</sup> or directly in the form of grants from MFA/Norad to the research institutions.

### Long-term research funding through the Norwegian Research Council (RCN)

The RCN primarily supports individual independent researcher-initiated projects as well as longer term thematic programme and projects. One important area of long term, core support to research is provided in the form of **Strategic Institute Programme (SIP)**. Strategic Institutes are defined and developed in agreement with the Research Council and the main users of the institute’s research. The Strategic Institutes Programme (SIPs) constitute the mainstay of the institutes’ research, and have over the last 10 years been central to the strategy of building research competence in CPPB.<sup>16</sup>

Being strategic implies a long term commitment to a set of issues for which the institute has a comparative advantage, and within a field that is stated as to be of relevance to the users of the institute. They are intended to provide an overarching framework in which more specialised competencies can be developed, with the institute’s disciplinary foundation in mind. These areas will typically be crosscutting involving researchers from more than one discipline. The SIPs are intended to allow the research institutes to pursue research in a coherent fashion, combining long term research with shorter assignments, while enhancing its scientific quality by publishing in peer-reviewed journals and respected presses, and having clear policy relevance.

Prior to 2005, RCN funding was mainly through RCN’s research programme on ‘Globalisation and Marginalisation’ widely referred to as ‘Development Paths in the South’ (UTISØR). The overall objective of (UTISØR) programme was to develop long term competence building and promote critical debate on Norway’s policy towards the south and international development, taking into account the dynamics of globalisation and marginalisation.

The programme provided funding to six thematic areas one which focused on democracy, human rights and conflict. This programme ran from 1998 to 2007 and disbursed a total of NOK 170 million to 61 projects.<sup>17</sup> However, it was not until the 2001 and 2003 call for

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12 An area funded by the MFA which has not been included under the evaluation CPPB rubric is research on the nuclear non-proliferation regime.

13 In the course of the evaluation, some interviewees expressed doubts about the utility of the Utstein palette arguing that it did not actually inform Norway’s CPPB policy or research funding decisions. This is not a claim being made in the evaluation. It is deployed as a heuristic device to help generate insights into the shifting focus of funding for CPPB research.

14 For the purposes of the evaluation, a broad and wide-ranging approach was taken to the meanings of the terms ‘research’ and ‘development’. This means that the evaluation encompasses conferences, seminars, workshops, training programme, general efforts to increase professionalization as funded by the relevant Norwegian institutions, as well as more traditionally defined research and consultancy activities in support of Norwegian CPPB policy.

15 There is also an element of indirect funding, as MFA funds disbursed to NGOs (such as NCA and NPA) may fund CPPB research at the four institutes. In addition, MFA and/or Norad funding given to non-Norwegian organisations may end up funding Norwegian researchers at one of the four institutes (for example, some MFA funding for the CIC at NYU made its way back to funding research at PRIO and CMI. Paradoxically, in one of these cases it funded a CPPB research project that had been turned down by the Peace and Reconciliation Unit when a direct application by CMI had been made).

16 It is worth noting, however, that the RCN has recently decided to discontinue its strategic institute programmes in the social science sector.

17 Norwegian Development Research: An Evaluation (RCN, 2007); Development Paths in The South: Ten Years of Research (RCN, 2008). This included NOK 20 million re-allocated to the RCN research programme on Forced Migration, Resource Conflicts and Development.



proposals that the CPPB area was prioritised for funding.<sup>18</sup> Most of the projects funded focused on human rights and democratisation issues.

In the period covered by this review there were three projects funded under the CPPB theme – one each at CMI, NUPI and PRIO. In addition, there was a project funded at PRIO under the ‘globalisation and marginalisation’ thematic. The total funding for research on CPPB related topics to the three institutes totalled NOK 8.2 million.

In 2005 a new funding regime was introduced by the MFA with the intention of supporting both short-term and long-term, research. The long-term research funding under this scheme is routed through Norad to RCN’s Poverty and Peace Programme (POVPEACE). The programme was launched by RCN in 2005 with MFA funding in the form of a grant administered by Norad. The programme was launched after an initiative from the then Norwegian Minister of Development Hilde Frafjord Johnson, also one of the key players in the Utstein process.

The main focus of the programme is on research related to international poverty reduction and peace-building. The programme is intended to stimulate foundational research and theoretical development through funding research projects that would maintain and underwrite the institutes’ research capacity and activities.

The POVPEACE Programme is expected to last until 2013, with a total budget of about NOK 140 million, with approximately 100 million allocated to poverty research and approximately NOK 40 million to research on ‘violent conflict, peace and development’.<sup>19</sup> These figures are subject to the yearly allocations within the Ministry of Foreign Affairs and Norad system and are eventually also subjected to approval from year to year by the Norwegian Parliament.<sup>20</sup>

#### **Short-term research funding directly from MFA**

The direct grants from MFA/Norad constitute funding for primarily but not exclusively smaller research projects. Historically, there has been a division of labour between MFA and Norad where Norad’s support was mainly focused on long-term bilateral development aid while the MFA’s traditional focus was on multilateral humanitarian aid and support to conflict resolution and post conflict reconstruction. There are number of strands for funding within the MFA. Desks and different sections within the MFA define their own research agendas and their particular needs. These can lead to a range of funding modalities: framework agreements, support for larger research programmes, contracting individual researchers for consultancies and technical advice. In addition, funding may come through Norad.

As a consequence of the restructuring of MFA in 2004, Norad’s primary role has shifted to become a competence centre for development issues in order to provide the Ministry and the Embassies with studies, analysis, evaluations and other kinds of assistance. It does this by commissioning applied research, evaluations and consultancies directly from research institutions. Its official remit is to provide technical oversight of this commissioned research. It is up to individual desk officers to decide on the degree to which they engage with the substantive content of the research produced. Practice here is variable. Norad has entered into a three years framework agreement for consultancies and technical service with CMI<sup>21</sup> and NUPI. The institutes win these contracts through tender procedures.

As mentioned earlier, in 2005 a new funding regime for CPPB research was initiated by MFA with the intention of supporting both short-term and long-term, research. The short-term funding under this scheme is administered through direct grants by the Peace and Reconciliation Unit (PRU) at MFA. The Norwegian government sees as one of its primary aims to strengthen its collaboration with national as well as international non-governmental organisations and research institutes who work directly with issues related to peace and reconciliation<sup>22</sup>. It is argued that through regular contact with the external research environment and NGOs, the Ministry is able to extend its network as well as its overall competence in the field of peace and reconciliation. In line with the ‘Norwegian model’, both

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<sup>18</sup> Globalisation and Marginalisation: Action Plan 2001; Globalisation and Marginalisation: Action Plan 2003

<sup>19</sup> Source: The Research Council of Norway; Research Programme on Poverty and Peace, Action Plan 2006-2007. However, as noted above, the actual distribution of funds to date has been predominantly in the area of peace or for those projects that cut across the two research areas.

<sup>20</sup> It is likely that the core elements of the POVPEACE programme will be merged into the larger NORGLOBAL programme.

<sup>21</sup> This is a CMI-led consortium which includes PRIO.

<sup>22</sup> St.prp.nr. 1 (2007-2008)

the research knowledge and the research networks can provide a platform or point of entry for Norway's engagement with a peace process.

The establishment of the Peace and Reconciliation Unit was seen as an explicit effort to strengthen the overall CPPB capacity of the MFA.<sup>23</sup> Its grants are primarily directed towards commissioning of applied research with direct relevance for the ongoing activities of the MFA.<sup>24</sup> The funds it has available are used to allow the MFA to stimulate the research that a particular desk, unit, minister or the MFA as a whole, felt were needed and relevant in support of Norway's CPPB engagements. A fund of this sort would also allow consolidation and coordination of the applications to the MFA for research funding.

PRU's mandate goes well beyond the financing of CPPB research at the Norwegian research institutions. In 2006 the total funds distributed by the PRU amounted to NOK 591 million, of which only 4% was allocated to Norwegian Institutions<sup>25</sup>. The actual volume of funding to the four research institutes covered by this evaluation rose from NOK6.8 million in 2005, to NOK13.7 million in 2006 and to NOK23.6 million in 2007.<sup>26</sup> It is not clear from the available data whether this represents completely new funding streams, or an attempt at rationalisation of previous funding albeit with significant increases in total funding available.<sup>27</sup>

#### 1.4 Analytical Framework

The evaluation follows the results chain from policy through the research commissioning processes, inputs (funding), then within the case studies through outputs and outcomes, and then more broadly contributions to impact. Patterns of performance are then generalised from these findings to R&D in general as applied to conflict prevention.

An important focus of the evaluation is on assessment of the 'significance of impact' – not so much *attribution of impact*, but the *contribution* to it. The evaluation asks: was the contribution the best that could be expected? Why was this the case? Evaluating the *significance of impact* therefore entails a focus on the relation of the outcomes of R&D to key drivers of conflict and of peace. This provides an evidence-based picture of the contribution made by the outcomes achieved to the CPPB situation, defined as the context of the conflict, and the Norwegian CPPB policies in that country. Since there can be no quantitative indicators in this contribution to impact, the report does not make claims to measure impact.

Based on interviews with individuals in the MFA and the four institutions, the evaluation has identified the following four broad categories of results (for which we use the term "outcomes") across the range of activities carried out in R&D in CPPB:

##### Capacity Outcomes

- Professionalism of diplomatic, negotiation and research personnel and specialists
- Capacity building of partners, development of local ownership of peace initiatives
- Developing and strengthening Norwegian knowledge and research in CPPB

##### Information Outcomes

- Improvements in factual information from country notes, briefings, research reports identifying underlying causes, dynamics, issues and actors

##### Conceptual Outcomes

- Agenda setting, inspiring new policy objectives, academic innovation in the form of new concepts or contribution to the re-framing of the field
- Lesson learning and sharing of experience

##### Track 2 Outcomes

- Development of networks of contact outside official circles, intermediaries

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23 White paper No 35 to the Norwegian Parliament 2003-2004, Ministry of Foreign Affairs ; National strategy for Sustainable Development, Ministry of Foreign Affairs 200 ; NORAD's strategy 2010

24 Meeting about research in the field of peace and reconciliation: Preliminary Introduction 24.08.05 (*Møte med forskningsmiljøer om forskning innen fellet fred og forskning*), 24.08.05. *Punkter til Statssekretær Helgesens innledning*

25 The distribution of these funds was: 4% to Norwegian research institutes, 2% to international research institutes, 36% to Norwegian NGOs, 29% to international NGOs, and 29% to UN organisations.

26 Ibid and Interview, Jon Hansen Bauer, 28.11.07

27 For example, it seems as if the very substantial funding in support of UN organisations is funding that was previously administered by the UN desk rather than constituting a new stream of additional funding.

- Direct and indirect contributions to peace processes through, for example, fostering dialogue processes via the dissemination of academic and policy research

We follow these outcomes in the four case studies (Sudan, Palestine, Sri Lanka and Training for Peace) and one thematic area (gender), from which we will draw conclusions for the subject matter in general.

We have analysed in Chapter 4, through specific case studies, the chain of influence, from the inputs, outputs and outcomes of the R&D (using here the OECD DAC definition of outcome which is ‘the likely or achieved short-term and medium-term effects of an intervention’s outputs’<sup>28</sup>) to the situation at large.

In line with the basic orientation of good practice in evaluation today, we do not aim to attribute individual effects to causes, but rather verify, as accurately as possible, the value of the contribution made by specific activities to key changes in the wider world.

To streamline the mass of information to be processed, the evaluation has adopted a case study approach, alluded to in the ToR (which required two country visits). While the analytical framework and a standard set of activities is common to all studies to ensure coherence, we have taken each case study’s specificities into consideration so that the significance of impact section best illustrates the multiple facets and range of connections between R&D and conflict.

While we are confident that comparisons and generalisation will be possible in some instances, this was not seen as the primary goal. The evaluation has focused on identifying patterns of contribution made by Norwegian R&D and how this relates to the R&D model in the case of the four institutes.

The case studies have been selected for the period 2002-2007, and are the following:

- Sudan peace process, with a focus on the north-south conflict
- Palestine, with some parallels with the work in Jordan
- Sri Lanka, based on a desk study<sup>29</sup>
- Training for Peace, based on a desk study
- Gender research and policy development

The basis for the selection of these cases is described in the appendix on methodology, but can be summarised as the confluence of the work of the maximum number of institutes (in other words cases where at least three of the four institutes has carried out significant work), and the high profile of Norwegian foreign policy in the country or situation. Although early on the evaluation had considered focusing on Haïti, Burundi and Afghanistan, these were dropped at the end of the Inception Phase, as it was felt that Sudan provided a greater contrast to the Palestine and Sri Lanka case studies (in terms of UN involvement, but also duration of work, while having a similarly high level of Norwegian involvement). The massive amounts of information also required streamlining.

A particular challenge was posed by NUPI, which has a mostly thematic focus of research which covers country situations in a secondary manner. Capacity development is also a lower priority (the “D” in R&D) for most research. This challenge was resolved by choosing Training for Peace, which combines the qualities of being a NUPI project with a training objective.

The ToR had requested two case studies. Limiting the evaluation to two cases would have risked reducing the relevance of the findings to R&D in general, as not all the institutes would have been represented, not to mention the diversity of their work. Moreover the evaluation was obliged to limit itself to five case studies by the quantity of information surveyed.

The fifth case study, gender research, was selected because of its connection to the United Nations and the high profile nature of Norwegian involvement.

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<sup>28</sup> OECD, 2002: 28

<sup>29</sup> This was supplemented with some interviews done by one team member in connection with another evaluation (*Evaluation of Facilitating Local Initiatives for Conflict Transformation*, GTZ Sri Lanka) occurring at the same time .



## 2 Intention and Utilisation

### 2.1 Foreign Policy Priority

**CPPB research funding has been planned through a participatory process where research institutions have been involved early on.** This applies particularly to the planning of the post 2005 funding regime initiated by the MFA with the intention of supporting both short-term and long-term research.

Corroborating a recent evaluation on development research<sup>30</sup>, the results of this evaluation on research and development in the area of conflict prevention and Peace-building are comparatively good:

- the four institutes commit senior staff to research in this area;
- a high proportion of the research is written in English making it accessible to a wider, international audience;
- it dovetails with other Norwegian foreign policy research and policy priorities;
- researchers conduct the type of research that is needed;
- and there is some evidence of knowledge utilisation.

As regards the MFA's direct funding, when the PRU was initially established, it approached research institutes and the university sector asking them to produce 'state of the art' papers on the field of CPPB, their comparative advantage in pursuing CPPB research, and areas they would like to develop and consolidate. These were then used by the PRU to provide an overview of the resources and expertise available to it from within Norway, and to map these on to the needs of the MFA in pursuing Norway's peace and development policy. They also provided the basis for the PRUs ongoing dialogue with each of the research institutes in making its funding decisions.

The programme plan for long-term research was designed on the basis of a committee appointed to examine the research needs and requirements<sup>31</sup>. The programme Plan Committee comprised members from key institutions, such as the Universities of Bergen, Oslo and Tromsø, CMI and Fafo. CMI and PRIO had previously been contracted by the MFA to produce a "state of the art" report on research into conflict and development to serve as a basis for formulating of the Programme Plan.<sup>32</sup> The Programme Plan emphasises capacity building as one of the main objectives of the programme. The Programme Plan Committee stated that attention should be given to foundational research that secures funding for PhD and postdoctoral candidates. The principal objective was to strengthen Norwegian research in these areas in order to achieve the highest international standards.

The overall aim of the programme is to strengthen the Norwegian knowledge base on key areas of poverty and peace, as a basis for achieving poverty reduction and contributing to Peace-building. The Programme Plan also emphasises the need to enhance increased collaboration between Norwegian researchers and their institutions, increased networking and co-operation with leading development research institutes in both the North and the South and international organizations playing key roles in forming global development policies, as well as implementing poverty alleviation programme and Peace-building initiatives<sup>33</sup>.

The Programme Plan has been formed in order to set research priorities in a broad field encompassing welfare, growth and distribution, institutions and rights based development to

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30 'Norwegian Development Research – An Evaluation', The Research Council of Norway 2007.

31 The Committee was chaired by A. M Jerve CMI, and its report had the title *Breaking the Circle: which way out of poverty*.

32 Conflict and Development: Framework for a Proposed Research Area, CMI & PRIO March 2003. It is worth noting a possible conflict of interest here between CMI/PRIOs involvement in planning the RCN's research agenda and the relative success of their applications to the fund. This overly close relationship was part of Professor Østerud's concern in critical review of Norwegian peace and development policy. However, in the course of this evaluation there was no evidence that either institute was being advantaged over other applicants and that project funding was being made on the merits of the individual applications.

33 The Research Council of Norway. Research on Poverty and Peace, Programme Plan May 2005

war, peace and development. Resource management and environment, welfare, work life, trade and industry are in addition stated as important cross cutting sub-themes<sup>34</sup>. These priorities are formed into two separate but nevertheless related and overlapping research themes: *Poverty and Welfare* and *War, Peace and Development*.

### **Poverty and welfare.**

The board is particularly interested in research on the processes and mechanisms that lead to poverty, with an emphasis on research that can contribute knowledge about poverty reduction strategies. The Programme Plan highlights five research themes of particular interest: 1) Rise in income inequality and its impact on poverty alleviation; 2) Labour market and job-creation; 3) The role of institutions in regulating markets; 4) Welfare and social policies; and 5) Environmental security.

### **War, peace and development.**

The board is particularly interested in research that addresses the interrelationship between development and conflict and the interrelationship between development and peace-building. Three areas are listed as being of particular interest: '1) the role of poverty, resource managements and developmental and modernizing change in generating violent conflict; 2) the developmental consequences of violent conflict; and 3) strategies for transitions out of violent conflict. Issues on human rights and institution building constitute central cross-cutting issues'.<sup>35</sup>

The programme plan is formulated sufficiently broadly so as to cater to a broad constituency of development researchers. POVPEACE is the main funding source for development research, taking over after the programme 'Globalization and Marginalization'<sup>36</sup>

### **MFA funding has resulted in an increased effort on CPPB research and development during the period under evaluation.**

For short-term research financed directly through Peace and Reconciliation Unit (PRU) at the MFA, in the short period that it has been in operation, the PRU has developed ongoing links with a wide range of organisations and research institutes that can be used as resources in support of Norway's CPPB agenda. In 2006, this extended to some 118 organisation which are identified as having particular strength in terms of their research competency, their advocacy role, or their role as an actor in particular CPPB processes.<sup>37</sup>

For long-term research, given the espoused agendas of the different sources of funding for research on and in support of Norway's CPPB agenda and activities, it is useful to firstly explore what areas of research were funded at each of the four institutes.

In offering an answer to this question, it is worth noting that the empirical basis of the study faces constraints. While not producing a comprehensive overview of Norwegian funded CPPB research (which would have required looking beyond the four research institutes to other institutes within Norway, the university sector, Norwegian NGOs as well as non-Norwegian organisation), it is difficult to provide a detailed picture of what was funded (and not funded) and, more importantly, why this was so, as the archival documentary evidence is incomplete, dispersed within the system, or was unavailable to the evaluation team.<sup>38</sup>

A further challenge was to define, document by document, what constitutes 'CPPB research and development'. Much of the research that is carried out by the four research institutes could fall under the rubric of CPPB. Equally, CPPB research often is only a partial characterisation of the nature and intent of any particular project. In a few cases, interviewees indicated that this was sometimes a category deployed in an instrumental fashion for the purposes of increasing the likelihood of funding from the MFA or Norad.

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<sup>34</sup> Preface to Reserach on Poverty and Peace Programme Plan May 2005 p.2

<sup>35</sup> Research on Poverty and Peace Programme Plan May 2005 p.6

<sup>36</sup> Research Council Annual Report (2006).

<sup>37</sup> Note to the Secretary of State Raymond Johansen 29.10.2007

<sup>38</sup> Given that this was a limitation noted in the Utstein final report, it is important to note that in the Norwegian case there has been little progress made in these areas in the intervening three year period.

The number of pieces of ‘traditionally’ defined ‘research’ explicitly on CPPB is relatively small. Using the wider definition of ‘research’ as set out in the ToRs and funding information supplied by Norad, any project funded under the following MFA budget codes was deemed to fall within the remit of the evaluation:

- 1600 Information
- 1637 Humanitarian assistance and human rights
- 1647 Balkans, Caucasus, small arms and light weapons, and development and disarmament<sup>39</sup>
- 1650 Evaluations and consultancies

In addition, any projects funded by the Peace and Reconciliation Fund (budget codes 16470111 and 16470121) were deemed to be CPPB R&D. Finally some funding from particular MFA desks or sections was also included (for example, the funding to NUPI for the Training for Peace Programme and to PRIO for its ‘Peace and Reconciliation in the Eastern Mediterranean’ programme whose main component is the PRIO Cyprus Centre).<sup>40</sup> The four projects on CPPB funded under the RCN’s ‘Development Paths in the South’ have been included, as have the projects funded under the POVPEACE programme.<sup>41</sup>

A second degree of difficulty lies in assigning a particular research project to one of the OECD-DAC/Utstein peace-building categories, as projects often touched on more than one of the four elements of the palette. In other cases, for example a project on dialogue processes, could fall within either the political, socio-economic or justice and reconciliation quadrants. As with the Utstein country study, the context and purpose were taken into account in categorising a particular piece of research.<sup>42</sup>

It also became evident to the team that there were areas of funded research which were clearly intended to support Norway’s broad CPPB policy and specific CPPB initiatives but which didn’t fit within the Utstein palette, most notably research which served to support the policy development, functioning and operational activities of international and multilateral inter-governmental organizations as well as more conceptually oriented research on the category of peace-building itself. So, in addition to the four OECD-DAC/Utstein categories, two further categories of ‘International Organisations’ and ‘Conceptual Research’ were created for the purposes of the analysis below.<sup>43</sup>

It is illuminating to compare the findings of the evaluation with those of the Utstein country and combined reports. In the 2004 country report for the Utstein group, it was noted that the breakdown of Norwegian CPPB projects covered by the report into the four broad categories of the Utstein palette was as follows:<sup>44</sup>

Norwegian PB projects (number/% of total): Utstein survey 2004					
	Security	Socio-Economic	Political	J&Reconcil.	Other
<b>Norway</b>	14 (11%)	50 (40%)	37 (30%)	21 (17%)	2%

This indicated that in terms of numbers of projects, Norway’s PB profile placed a particular emphasis on the socio-economic category (which seems to support the initial developmental orientation of Norway’s policy first articulated in the 1995 policy document) with a secondary emphasis on the political dimensions, followed by reconciliation, with relatively few projects in the security sector.

However, in budgetary terms, the Utstein study notes that the security sector loomed large. It was apparent that security sector projects were more important in Norway’s CPPB profile than the actual number of projects indicates – with Afghanistan counting for a significant

39 Funding for projects on nuclear non-proliferation have not been included in the figures used.

40 Core funding for the Centre for the Study of Civil Wars was not included as it comes from a funding stream that technically falls outside the ToRs.

41 In the case of the latter, it is worth noting that most of these projects did not come on stream until 2007 and that there are a number of CPPB research projects starting in 2008 which fall outside the period covered by this evaluation.

42 There are obvious methodological caveats that surround such a subjective enterprise such as this. For the purposes of the evaluation, two members of the team ‘coded’ projects into the different CPPB categories and the compared and agreed the final categorisation at least providing an element of inter-subjective consensus on what projects were located where.

43 A category of ‘Other’ was also identified largely to account for PRIOs Cyprus Centre which didn’t seem to fit neatly into the other categories. A detailed breakdown of its funding which might have allowed elements of it to be placed in other categories was not available to the evaluation team.

44 Dan Smith, *Towards a Strategic Framework for Peace-building: Getting Their Act Together* (PRIO:2004)

proportion of this funding. A further caveat, however, is that most of these security projects were narrowly focused in humanitarian mine action.

The socio-economic projects tended to focus on refugees and internally displaced persons as well as health and education infrastructure. In the political arena the work focused on electoral assistance, media, human rights, good governance and institution building. In the reconciliation area, the focus was on bridge-building and dialogue processes at elite and grass roots levels. The implication was that although more numerous, the projects covered in the non-security sector categories tended to be smaller in scale.

In comparison with the Utstein profile, the CPPB research profile of the four institutes taken as a whole over the 2002-2007 period produces a different profile. Research projects connected with the political sphere predominate, followed by those in the security sector, with socio-economic and justice & reconciliation roughly the same. Equally noteworthy are the significant numbers of funded research projects that served to support multilateral institutions (which resonates with a key element of the ‘Norwegian model’) as well as a significant number focusing on pure or ‘conceptual’ research.

*Total Number/Percentage of Projects Per Institute, Per PB Category*

	Political	Socio-Economic	Security	Justice & Reconciliation	International Organisations	Conceptual	Other
CMI	30	15	1	16	2	12	0
Fafo	8	19	10	6	0	1	0
NUPI	9	1	24	10	14	6	0
PRIO	30	21	36	28	0	12	6
TOTAL	77	56	71	60	16	31	6
Percentage	24%	18%	22%	19%	5%	10%	2%

This little-noticed shift probably reflects a deeper shift in the licence to explore given to the institutes: whereas in the past some of the political and security issues would be approached from the angle of socio-economic research (for example Fafo in Palestine), it is now more openly a political agenda, extending to an analysis of the actors in their formal and less formal dimensions.

Norway may in this area be moving into a new form of transparency in international relations. NUPI has for example been given the role of lead in the area of knowledge management in relation to NATO’s Multinational Experiment N°5 (relating to comprehensive civilian-military approaches to crises) whereas this initiative remains confidential in North American circles. With the rise of the legitimacy of CPPB comes a shift in the scope of research and issues of sensitivity, and, naturally, a shift in the risks associated with initiatives and the links between the MFA and the institutes.

Prior to 2005, long-term research funding from RCN under the UTISØR programme comprised funding to six thematic areas one which focused on democracy, human rights and conflict. This programme ran from 1998 to 2007 and disbursed a total of NOK 170 million to 61 projects.<sup>45</sup> However, it was not until the 2001 and 2003 call for proposals that the CPPB area was prioritised for funding.<sup>46</sup> One project at PRIO received funding under the ‘globalisation and marginalisation’ thematic. Three projects were funded under the CPPB theme – one each at CMI, NUPI and PRIO. The total funding for research on CPPB related topics to the three institutes totalled NOK 8.2 million.

**Poverty and Peace research is an important element on the agenda at the high-level MFA strategies, however the attention wanes as one moves down to the implementation levels, and attaining programme objectives becomes challenging.**

The importance of research at the high-level MFA strategies is well established.

<sup>45</sup> Norwegian Development Research: An Evaluation (RCN, 2007); Development Paths in The South: Ten Years of Research (RCN, 2008). This included NOK 20 million re-allocated to the RCN research programme on Forced Migration, Resource Conflicts and Development.

<sup>46</sup> Globalisation and Marginalisation: Action Plan 2001; Globalisation and Marginalisation: Action Plan 2003

*'Navigating the stormy waters and treacherous straits of war, peace and the conditions for human security, is a challenging task...While our compass will always be our values and beliefs, it is research on international issues that provides us with the charts we need to navigate.'*<sup>47</sup>

Earlier, while speaking to the research community the then Minister for Development Cooperation emphasised:

*'You have made it possible for Norway to play a significant role as facilitators in the process....proving that a field of study that might have seemed obscure, in the end has become highly relevant to Norwegian policy – and to the promotion of peace.'*<sup>48</sup>

At the time of the establishment of the POVPEACE programme there was a debate between Norad and the RCN as to the advantages and disadvantages of integrating the two thematic areas into one programme. Norad argued that although the two thematic themes had clear and overlapping linkages it was felt that 'poverty' and 'peace', as two distinct research topics, would suffer under integration.

The rationale offered was that peace research does not emphasize the role of poverty in a narrow sense, but rather its interrelationship with violent conflict and development. The two themes were seen as having a different academic focus and different interested user groups. Support and funding were also located in different institutions and budgets. RCN, on the other hand, was of the opinion that the allocation of funds to Peace and Development was not sufficiently large to justify the extra administrative and infrastructure costs, and the RCN's board decided to organize it as one programme with two specified themes (i.e. poverty and peace).

At the time of this evaluation the POVPEACE programme had only issued one call in 2006, initiating the research over three and four years during 2007. It is not feasible to evaluate this programme as it is far too early in the project cycle to point to specific outcomes. Merits of project activities, such as new knowledge, the growth of professional networks, participation in workshops and publications, comes two or three years after a project has been initiated. A few overall comments of a more general character can nevertheless be made.

The Programme plan of POVPEACE was meant to bring the two priority areas, 'Poverty' and 'Peace' together, setting out the goals and academic priorities as well as strategic initiatives and plans for implementation. Achievement of this goal has been problematic.

The first call in 2006 showed a tremendous interest from most of the significant research institutions in Norway.<sup>49</sup> There was an over representation of research proposals related to *Peace and Development*. These proposals were judged to be in general very strong – an effect, the programme board believed, of the strong and long established research environments on Peace and Conflict in Norway. For *Poverty* the situation was different. Poverty was made a priority in order to strengthen the research environment on poverty related issues in Norway. At the first call there was for this reason not sufficiently strong proposals on poverty. The board has seen it as a problem of unbalance in expertise in relation to conflict, and that the research community has not reacted to the important interrelationship between the two themes.

There was frustration in the CPPB research community that projects with excellent reviews were in the end turned down by the board. In the research community this is thought to be due to the low allocation to Peace and Development, and the fact that the board is forced to accept a lower rating on the poverty related research. It is, for this reason, not seen as a fair competition.

The programme board on the other hand states that it has been given considerable room for manoeuvre in how to use the research allocation. The fact that support and funding for poverty and peace are located in different institutions and budgets has not been viewed as a

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47 Minister of Foreign Affairs Jonas Gahr Støre, speech to the Real Instituto Elcano, Madrid, 13 March 2006.

48 Hilde F Johnson, speech at CMIs 75th anniversary dinner, 15.03.05

49 This may be a result of the fact that the research environment on development in general has had few financing sources to turn to as the research programme "Globalization and Marginalization" (also known by its sub-title "Development Paths in the South") is in its closing phase. Norwegian Research Council Annual Report 2006 (Årsrapport 2006)



constraint, as they have several applications that are cross cutting. To keep the allocation to Peace and Development down is related to the board's responsibility to build research on poverty. It remains to be seen to what extent the organisational model chosen by RCN is suited for development of two thematic areas identified in the program.

## 2.2 Research Objectives

**There is an urgent need to improve the common understanding between the MFA and the research institutions as to the purpose, priorities and objectives of CPPB research funding, with a stronger balance between quality and fundamental research and relevance and applied research.**

In the 2004 Norwegian country paper for the Utstein process, Hauge noted that, '*there is no particular department or section that may be said to have the sole responsibility for the administration of Peace-building programme/projects in general.*'<sup>50</sup> Four years on, this is still the case in spite of the strategic framework. As one interviewee commented, 'It is arguably the case that Norway doesn't have a *strategic* Peace-building policy, which means that there is no strategic orientation guiding CPPB research'. This was confirmed in the course of the evaluation interviews with MFA personnel who pointed out that while the 2004 White Paper had not formally been discarded it no longer was used as a guide to CPPB policy. Instead, to the extent that there was strategic guidance it was to be found in the speeches of the Foreign Minister.

A complaint from the CPPB research environment is the strong involvement of the Ministry of Foreign Affairs/ Norad in formulating research needs and priorities. There is a widespread opinion, in the research community, that research suffers from being driven too much by applied concerns, and that the institute sector is too tied to the needs of the policy community. There is little space for critical foundational research growing out of the research community itself.<sup>51</sup> Research is seen as valuable mostly in terms of solving particular problems of interest at a point in time. Timely relevance, it is argued, does not always go hand in hand with quality.

RCN plays a dominant role in channelling funds to foundational research in Norway. Grants achieved under RCN programmes carry high merits and are valuable in building individual as well as institutional careers. Questions can however be raised about the low level of funding to CPPB within the RCN, as compared to short term funding. Critical voices are raised about balance, both from inside the RCN as well as within the research community.

**There is a contrast between the short-term and long-term research funding from the MFA, which warrants greater coherence.**

PRU, the unit responsible for direct short-term funding from the MFA, has concluded that there is now an 'international market' in CPPB research. Unlike the POVPEACE funding which is geared towards long term strategic funding of Norwegian research institutes, the PRU funding is not 'tied' to Norway, but looks for the best and most relevant research, with the consequence that if Norwegian institutions and researchers have a comparative advantage in a particular area, they receive funding. The PRU has no obligation to build or underwrite Norway's strategic research capacity.

Given this and the criteria of 'relevance' (the short term policy needs of the MFA), beneficiaries of funding change from year to year in response to the changing nature of the MFA's geographic and thematic engagements. The MFA uses three criteria in its selection process: (1) the technical and academic quality of the proposal; (2) its relevance to the MFA's needs and the degree to which it builds competence in thematic or geographical areas of interest to the MFA, or adds value to existing competencies within the MFA; and (3) relevance to the institution responsible for the application in developing its own research competencies and collaborative relationships and networks with the MFA, and with other international research institutions.<sup>52</sup>

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50 W Hauge, *Norwegian Peace-building Policies: Lessons Learnt and Challenges Ahead* (PRIO: 2004)

51 The lack of a critical voice within the Norwegian model was one of the key elements of Prof Østerud's critique of Norway's development and peace policy in *Aftenposten* and *Nytt Norsk Tidsskrift* in 2006. It is also at the core of Terje Tvedt's arguments in his book *Utviklingshjelp, foreign policy and power: the Norwegian Model* (2003)

52 FoU Bevilgningen: retningslinjer for vurdering av søknader om støtte til forskningsprosjekter MFA

The contrast is also visible in the research supported by RCN and the MFA. It is interesting to note the overall profile of the individual institutions.<sup>53</sup> Counter-intuitively, the largest number of CPPB research projects at CMI are not in the socio-economic sector (i.e. the area it is most closely associated with in Norway's first line of development studies institutes) but in 'political' and 'justice and reconciliation' related areas. This is not so much a lack of alignment to the comparative advantage of the institute, as a structural change in its profile. PRIO has the most widespread portfolio of projects. Not surprisingly, socio-economic research is its least prominent category, but equally surprising is the prominence of security sector related research.

NUPI's profile is dominated by projects in the security sector (which is itself heavily dominated by the Training for Peace programme) and in the international sector – which is connected with the role it has traditionally played as a key conduit for Norwegian support to the UN. FAFO's overall profile is dominated by socio-economic projects. This is largely accounted for by the work it does on living conditions. Of note is the very limited role it has played in making contributions to conceptual research where CMI and PRIO are the key players. This tends to underscore the perception of FAFO as a provider of applied and operational support research.

If we look at the actual budgets for the CPPB areas for each of the four institutes and as a whole, a slightly different picture emerges.

*Total Budget Per Institute and Per CPPB Category: RCN funding*

	CMI	Fafo	NUPI	PRIO
Political				786,000
Socio-Economic		1,485,000		1,436,570
Security			2,136,700	
Justice & Reconciliation	5,264,500			
International Organisation				
Conceptual	2,345,950			1,786,000
Other				
Totals	7,610,450	1,485,000	2,136,700	4,008,570

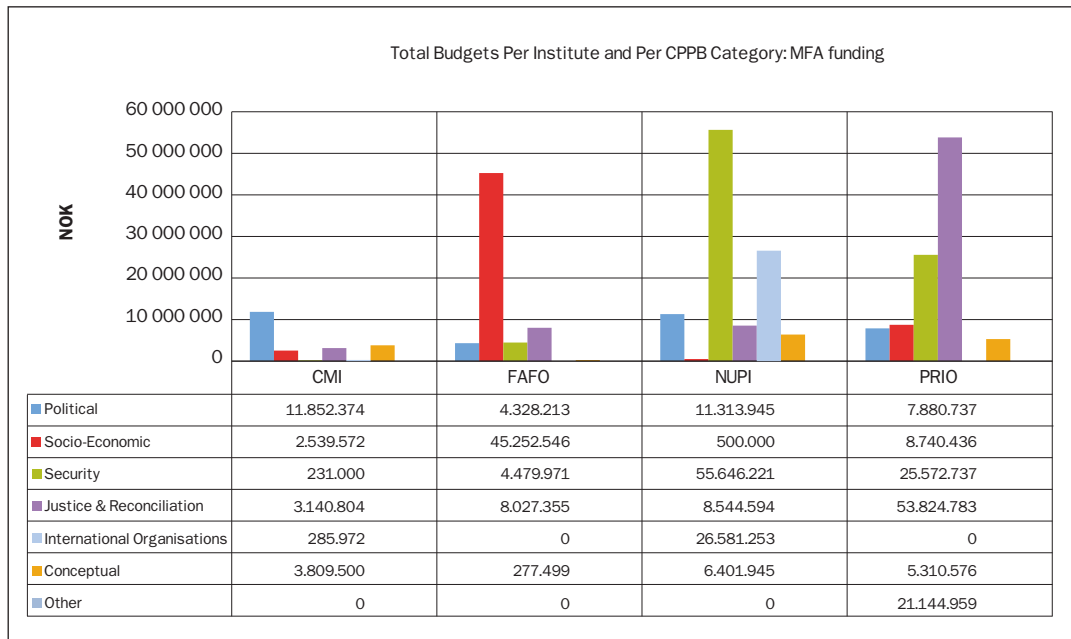
As a whole, this yields the following percentages of RCN funded research per CPPB category:

- Political 5%
- Socio-Economic 19%
- Security 14%
- Justice and Reconciliation 34%
- International Organisation 0%
- Conceptual 28%

Contrary to the Utstein study conclusion of 2004, funding for CPPB research from the RCN is not dominated by security related issues. Instead the dominant areas are conceptual research followed closely by research on justice and reconciliation issues. Equally noteworthy is how little funding goes on political related CPPB issues.

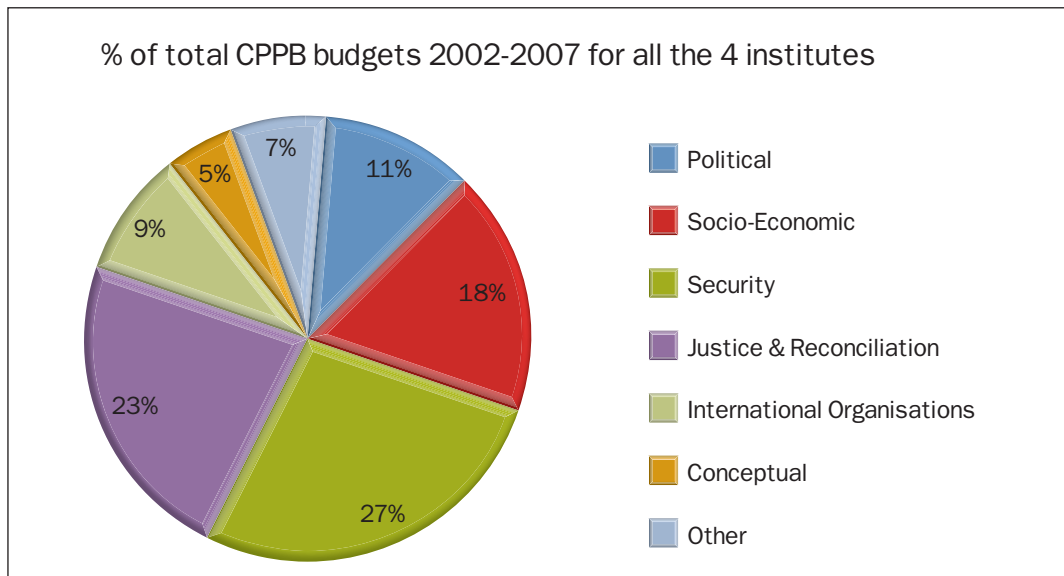
<sup>53</sup> Detailed breakdowns for each of the four institutes is provided in Annex 6.

*Total Budgets Per Institute and Per CPPB Category: MFA funding*



As was the case in the Utstein study, in actual budgetary terms, direct MFA funding on security related issues dominates the funding of CPPB research in the 2002-2007 period,<sup>54</sup> while research projects focusing on various aspects of justice and reconciliation constitutes the second largest category.

*As a whole the table for MFA funded research yields the following proportions:*



It is worthwhile to look at the focus of research within each of the sectors (a detailed listing of projects and budgets by institutes, CPPB sector and year can be provided separately):

- the political issues sector is the most diverse, containing research on particular conflicts and peace processes (though with a heavy concentration on Afghanistan, Sudan, the Balkans and the FSU, and southeast Asia) as well as on democratisation, human rights, and good governance
- the socio-economic sector is dominated by Fafo's living standards research, as well as work on gender issues

<sup>54</sup> There are a number of explanations for this. One obvious factor is the sheer impact of the budget for the NUPI-based Training for Peace programme which totals some NOK45mn during the period of the evaluation. The other is the changed international environment post-9/11, in particular the increased emphasis on Afghanistan, as well as Norway buying into this international shift in emphasis in order to continue to be a 'player' on the international scene.



- as was the case during the Utstein study, security sector research is dominated by research on small arms, disarmament demobilisation and reintegration processes, and land mines, as well as the Training for Peace project
- the reconciliation sector is dominated by support for dialogue processes, particularly those focusing on dialogue between different religious communities
- the funding in the area of international organisation tends to focus on support for aspects of the UN reform agenda
- the ‘conceptual’ area has predominantly focused on the peace-building agenda (particularly the work for the Utstein process) and latterly on critical engagement with the practice and idea of liberal peace-building.

At one level, these differentials should not be surprising. The RCN funds represent areas of research which are driven more by the institutes (albeit within the confines of the thematic programmes determined by the RCN), where ‘conceptual’ research should be predominant. The MFA funds reflect the more short term needs of the Ministry. The focus on security and international organisations related issues clearly reflects the operational needs of the MFA.

At another level, these differences highlight the degree to which CPPB research is dominated and driven by the short term, operational agenda of the MFA in terms of both the number of research projects funded and the volume of funds. The very different volumes of funding has implications for how dependent the institute sector is on direct MFA funding for research on peace-building.

**There remains a potential for increased efficiency through improvements in overall quality of the selection process for projects, both by RCN and MFA.**

The success rate of the 2006 RCN call was generally low. Due to the lack of sufficiently good proposals on poverty the board did not spend its allocated funds for the call. Only 17.7% of the applications to POVPEACE were funded in 2006 (16 out of 113 applications). Of 16 funded proposals 12 come from the institute sector only three from the university sector.

*Projects allocation 2006 call*

	CMI	FAFO	PRIO	NUPI	UNIV	Others
Poverty		2		2	1	3
Peace	2		2	1		
Overlapping					2	1

Preparation of project applications involves commitment of valuable resources at the research institutes, and the low success rates increases the costs of participation, and can have negative consequences on wider participation by the research community. The success rate of the institute sector in the programme is seen by university scholars as an effect of CMI, PRIO and Fafo in drafting the Programme Plan. The complaint is that overall it has become a research programme that suits the research institutes too well. However, it is worth noting in this regard that the Programme Plan Committee comprised members from the university sector in Norway as well as international expertise. Looking upon all actors involved in the process the evaluation does not find any reason to support this complaint.

The participatory approach used in programme planning is a strength of the MFA’s planning and management of the programme. The interviews showed that this process of dialogue between the MFA and researchers on the formulation and finalisation of research projects continues on an informal basis.

This approach offers benefits to both the MFA and the institutes. On the MFA’s part, it affords it the flexibility to pursue instrumental, applied, short term research connected to specific needs within the Ministry. It also allows the MFA to access the international market in CPPB research. On the part of the institutes, it offers ‘top up’ funding for ongoing projects, and ‘seed funding’ to develop new areas or the opportunity for a researcher to pursue a particular piece of research without the institute making a strategic commitment to that particular area.

But it is also evident that there is considerable frustration with the lack of transparency in both the agenda of the PRU funding and in the decision-making process regarding its

disbursement. The evaluation perceived the relationship between the MFA and the institutes as one in which the MFA provides a pronounced steer to the research agenda on CPPB, particularly via the PRU. This seemingly promotes the instrumental value of the research for the MFA in allowing it to identify and commission applied research related to the short term needs of the Ministry. Norad remains absent from these debates, and is not in a position to play the role of either additional and more long term funding source, nor reviewer of the quality and focus of the work. The effect is to create varying degrees of dependency on short term MFA funding, which undermines the other MFA objective of building Norwegian institutional competence in thematic or geographical areas of interests to the MFA.

**Lack of common understanding, a disconnect between short and long-term funding, and diverse practices in the project selection has resulted in fragmentation of the research content and environment of MFA funded research.**

In the face of the resulting large room for manoeuvre for the institutes in framing their proposals, a *de facto* division of labour has emerged between the four research institutes under review. They perceive themselves, and are perceived by others, as having carved out distinctive niches. These relate to their research agendas, areas of expertise and as well as research methodologies. These differences have implications for the type of CPPB research they are asked to engage in as well as consequences for the nature of their funding<sup>55</sup> and the extent of and potential for competition and collaboration between them.

An important feature of the funding and research profiles of the four institutes is that there is limited collaboration between them, as on a whole they operate as competitors in related subjects within a relatively small professional environment. The collaboration that has taken place has not been particularly deep or strategic.

For example, there were elements of collaboration between CMI, NUPI and PRIO in the Utstein process, but this did not amount to more than the three institutes making individual contributions to the workings of the group.

There have been some other elements of cooperation between CMI and PRIO. In 2003, they jointly produced the policy paper, *Conflict and Development: Framework for a Proposed Research Area* which had a significant impact on defining the terms of reference for RCN's Poverty and Peace Programme. The two institutes have agreed a formal alliance in the field of peacebuilding, codified in a memorandum of understanding and their directors consult each other. More recently they have collaborated on research on Afghanistan, and on the 'Micro-Macro Issues in Peacebuilding in Sudan', though CMI is clearly the stronger partner in the case of the latter. They also joined forces for a failed bid for the newly established Norwegian Peacebuilding Centre.

In the case of Fafo and NUPI, there has been some element of collaboration and cooperation in regards to research surrounding the implementation of United Nations Security Council Resolution 1325. More recently they were successful in their joint bid for the Peace Centre. Here the collaboration is not an organic development linked to shared or complementary research agendas and comparative areas of expertise, as much as an alliance to strengthen individual institutional competencies and to access an additional source of funding.

One explanation is that though they are vaguely aware of what the other institutes are doing, the researchers do not coordinate with each other on research agendas, programme, on their findings or their policy implications.<sup>56</sup> This does not so much lead to duplication as an absence of coordination at the level of research institutes and even individual researchers around a given thematic or country focus. Furthermore, the fragmentation through competitive research funding and growing division of labour means that there are few points of contact either in terms of research agendas or research methodologies. There is some overlap in regional expertise in the Middle East, Afghanistan, and to some extent Sudan, some overlap in issues areas such as landmines and gender, but for the most part the institutes are content to develop their own areas of strength.

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<sup>55</sup> A brief profile of each institute that seeks to locate the CPPB research they conduct in a wider institutional context can be found in Annex 7.

<sup>56</sup> An interesting example of the latter is that three of the institutes had arrived at broadly similar conclusions regarding Norway's policy towards Hamas and its participation in the Palestinian Authority coalition government. Each communicated these views to different parts of the government – but separately and without being aware of the recommendations being made by the others.

Fragmentation is also due to the lack of clear signals from the funding streams regarding support or reward for such collaboration, and the absence of a third pole of funding (which could be Norad) that would increase transparency and predictability. Indeed, there may be disincentives to do so as there is little scope for the funding levels that might be needed to make such collaborative efforts worthwhile, emphasising instead short-term consultancies, smaller research projects, and commissioned research, including evaluations.

The net result of all the above is a CPPB research environment that is characterised by division and separation at multiple levels – policy from research, institutes and researchers from each other. It is also a research environment that is not able to resolve the unavoidable tensions between near term, applied research and longer term conceptual and deep analytical research. And the funding modalities, which tend to emphasise short-term consultancy oriented research and accessing international CPPB research capacity, may be detrimental to the sustainability of Norwegian research capacity in support of CPPB policies and activities.

Within this environment, it is possible to identify individual coping strategies on the part of each of the four institutes:

- CMI: a reliance on funding from the RCN rather than the MFA, particularly the Peace and Research Unit, while maintaining a role as the Bergen based ‘critical voice’ in CPPB policy debates
- Fafo: a continued emphasis on its role in providing solid, field validated, empirical data, focusing on the deployment of large research teams in difficult environments, occasionally touching on sensitive issues
- NUPI: continued emphasis on a few high profile, high revenue programme while attempting to diversify, but still to date struggling to establish overall coherence and balance amongst the different programme
- PRIO: the pursuit of a broad and innovative research agenda allowing for a diversification in sources funding as a means of maintaining academic independence.

At one level, this profiling may not be problematic. It does not have an impact on the quality of knowledge emanating from the four institutes, and may even deepen specific bodies of expertise (such as the Living Conditions Surveys of Fafo, which constitute a quite unique resource in the world). Some of the research institutions, PRIO and CMI in particular, seem able to combine long term academic research with more short-term consultancy oriented work, fitting aspects of their own research agendas into those determined by the MFA. They have enough human resources to differentiate their dissemination efforts, producing both policy briefs and peer-reviewed research. CMI and PRIO are also able to tap into internationally competitive research funding and to compete effectively in the ‘internationalised’ CPPB research market.

A very short time horizon creates however an untapped potential for improvements in the synergies within Norwegian CPPB research, with implications for the relevance and effectiveness of Norwegian CPPB activities, as we will see in case study countries.

### 2.3 Structure of Interaction

**Within a very rich interface between the research community and the MFA, there is a need to create better incentives both for research institutes and the MFA staff for effective utilisation of CPPB research outputs.**

The most significant concern on the part of the researchers concerns the limited understanding, on all sides, of the capacities that exist and of the contextualisation of stated needs. A pattern that emerges in interviews with the institutes is that “the mechanism for consultation is heavily weighted to flexibility”. This comes at a time where the complexity of dynamics and actors requires in depth knowledge, something which Norway’s new-comer profile in many crises does not afford it naturally.

Whereas many evaluations<sup>57</sup> point to the comparative advantage of Norway as having a positive image internationally in terms of its interests and intentions, and as being able to mobilise and project its resources rapidly, this flexibility can act as a self-imposed limitation.

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<sup>57</sup> One could point to the most recent reports commissioned by the Evaluation Department of Norad in 2006-2007, on energy related assistance, NOREPS, deployment of logistics, etc...

This is not so much a tension between short term interest and long term needs, but rather one of posture, for the whole community. It is conducive to both a lack of overall clarity (about the exact nature of research projects, their borders and funding, their objectives) and a lack of differentiation of roles between researchers and peace mediators.

The short term agenda and multiple roles creates, however, the conditions for the production of sharply focused and tailored knowledge for MFA personnel. This is at the core of the model, but also creates its own inertia. Many respondents in the MFA (although not in Norad) have expressed a need for greater policy relevance of the research produced, with an emphasis on cogent and interactive briefs.

Any assessment of the actual utilisation of funded research on CPPB needs to take account of the different types of research activities, the diverse range of consumers or beneficiaries of the research (desk officers, thematic units, Ministers), the range of competencies being developed and the differing contexts within which these take place. Given the range of possible permutations these variables would produce it is difficult to give a comprehensive account of how CPPB research is used. It is possible to identify a range of research needs within the MFA as a whole.<sup>58</sup> Among these are:

- Informing the development and articulation of Norwegian CPPB policy at both general and specific country levels
- Provision of background information, detailed knowledge and deep analysis regarding a particular conflict, peace process or thematic issue
- Development or provision of networks of contacts that can be utilised when Norway decided to play a role in a particular peace-building process
- A low profile means of developing contacts or developing dialogue processes that might be politically difficult
- Utilisation of individual researchers and their expertise in direct support of negotiation processes
- Building capacity for independent, critical research in countries in conflict or undergoing transition from war to peace
- Evaluation of particular programmes of projects

There is a large body of researchers in the four institutes dealing with research on CPPB related issues to respond to this, often of senior status (it would seem that it is the presence of more junior personnel that is lacking). When compared to the broad numbers presented in the Evaluation of Norwegian Development Research (which identified 320 researchers conducting more than half of their research within development) the proportion (which this evaluation was not able to quantify however) is clearly even more significant in the case of CPPB.

As indicated above and in Annex 8, there are many obvious points of contact with the likely consumers of the research. The evidence collected during the evaluation, when compared with that presented by the Norwegian Development Research Evaluation, shows that there is significant participation in policy processes, even to a point which would be considered sensitive in many other countries with a more secretive foreign policy culture.

In the course of the interviews a substantial number of individuals, both within the institutes and the MFA, voiced admiration for the level of interface between researchers and the Ministry, but also concerns regarding the degree to which the Norwegian policy arena is able to understand, value, and put to use, research products. This is an area where the evaluation finds that there are still opportunities to be captured.

From the point of view of the MFA, there is a perception that the output is sometimes not user friendly or policy relevant. There is a tendency to prefer more accessible forms of output. The preference is to engage with the research findings via executive summaries, briefing notes, or oral presentations in seminars, workshops, small group or one-to-one briefings. Respondents from the Ministry of Foreign Affairs have also said that it is often the case that the briefs researchers provide are drafted in a far too abstract academic language for them to find it useful.

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<sup>58</sup> A more detailed discussion of the research needs and uses of individual components of the MFA can be found in Annex 8.

While the institutes, to varying degrees, bid for and produce short term, applied research, the shifts in the MFA's research agenda are ill fitted to the institutes' (and the MFA's) long term objective of developing a critical mass of continuous research, particularly a generation of younger scholars working on both country specific and in thematic areas relevant to Norway's CPPB policy. The shift is not conducive to maintaining an institutional ability to produce conceptually rich academic research at short notice.

The concern on the part of the researchers and institutes is that the MFA does not have the systems to use full-length reports. The perception, at the MFA, Norad and among the four institutes, is that the pressures of time in the MFA environment mean that staff often are not able to absorb the content.

**Overall quality of M&E can be improved both for short and long run research.**

Specific issues arose around attempts to track as precisely as possible the nature of the outputs in research, namely individual research projects:

- The project titles used by the database of the Ministry of Foreign Affairs are not the same as those of the institutes in their reporting, complicated by the fact that the financial calendar years are not the same in the institutes as in the database
- The number of outputs per funding is difficult to define, even within the institutes, while a certain amount of double counting of outputs shows up in the limited information the institutes were able to provide
- Many of the funding decisions in the Ministry are in fact complementary funding for larger projects, creating a misleading imbalance in the amounts dedicated to particular outcomes.

These points preclude impact efficiency or cost/benefit analysis, which could for example lead to over-hasty conclusions, such as that for example with less funding an institute has achieved a more significant impact than the other institutes in a particular context (we refer here for example to the quality of CMI's outcomes in Sudan for example, as detailed further on).

There is an apparent lack of 'lessons learning' being done and that such research would be of considerable value to understanding what did and didn't work and why in peace negotiations. One notable example relates to the efforts of researchers who were closely or directly involved in aspects of peace negotiations to gain funding under the POVPEACE to document and synthesise these experiences. Yet an application for such a project to the RCN foundered on three separate occasions often with the council feedback reports suggesting the use of wholly inappropriate research methodologies to structure the research.



### 3 Influence and Sustainability

#### 3.1 Sudan

**A broad research base has been generated on Sudan in Norway, representing the archetype of the Norwegian model as regards the four institutes.**

As can be seen from the following quote, Sudan offers a unique glimpse into the interplay between R&D outcomes and the dynamics of peace-building.

*'The Sudan peace process is an interesting example of how the Norwegian government has benefited from Norwegian expertise and experience of Sudan in the academic world, among our NGOs and in our administration. We have cooperated closely with you during the negotiations – some of you directly, others indirectly. Academics have been hired as Sudan experts. Others have served us as advisors. We have been able to capitalise on years of academic investment in historical, anthropological and sociological studies on Sudan.... You have made it possible for Norway to play a significant role as facilitators in the process.... proving that a field of study that might have seemed obscure, in the end has become highly relevant to Norwegian policy – and to the promotion of peace.'*<sup>59</sup>

The 'Norwegian model' is often associated with Norway's involvement in the Middle East, and particularly the Oslo Channel. Yet in many ways Norway's involvement in the Sudan peace process should be the paradigmatic example of the model. It is in the Sudan that we see many of its key features manifested: a deep, grounded, long-term knowledge of the country; an extensive network of contacts via the non-governmental and the research communities; flexible use of human resources in providing inputs at the policy/conceptual and practical/operational levels; and working with and through multilateral institutions.

Of the geographic cases explored in the evaluation, it is also the one with the most extensive use of the research capacities and knowledge bases that exist within the research institutes – but also highlights the 'division of labour' between them. As the list of CPPB project below indicates, only Fafo did not play a part in providing support to the Sudan process.<sup>60</sup>

*List of CPPB Projects in Sudan by Year and Institute*

Year	Institute and CPPB Projects
2002	CMI: MFA Seminar on Sudan
	CMI: Study group on Sudan land reform
	CMI :Consultancy on land reform in Sudan
2003	CMI: MFA Consultancy on Sudan
2004	CMI: Consultancy on Sudan
2005	CMI: Consultancy on Sudan
	CMI: Conference in Khartoum
	CMI: PB in Postwar Situations: Lessons for Sudan
	CMI: Micro-macros issues in PB in Sudan
	NUPI: Women in Sudan Peace Process

<sup>59</sup> Hilde F Johnson, speech at CMIs 75th anniversary dinner, 15.03.05

<sup>60</sup> As one interviewee in Sudan commented, it is interesting to note that Fafo has never been asked to do a living conditions survey in Sudan. In other interviews it was argued that this was not necessary as similar information was coming out of the Norwegian NGOs working in Sudan – though these were largely confined to the South.

Year	Institute and CPPB Projects
	NUPI: Women in Post-Conflict Sudan
	NUPI: International Engagement in Sudan post-CPA
	PRIO: Micro-macro issues in PB in Sudan
	PRIO: Wealth-sharing talks Darfur
	PRIO: Abuja
2006	CMI: Micro-macros issues in PB in Sudan
	CMI: Use of religion in PB in Sudan
	PRIO: Micro-macro issues in PB in Sudan
	PRIO: Contemporary Sudan
2007	CMI: Micro-macros issues in PB in Sudan
	NUPI: Evaluation of JDO in Sudan
	NUPI: Demilitarising White Army Militias (TFP)
	PRIO: Micro-macro issues in PB in Sudan

The range of issues covered is wide ranging: gender, land reform, security sector reform, disarmament demobilisation and reintegration, wealth-sharing, reconciliation, not to mention the diverse range of topics covered under the auspices of the CMI-PRIO Macro-Micro Issues in peace-building programme. As will become evident, they represent the range of modalities of uses of the research capacities and the research output – from benign neglect through to active deployment in negotiating contexts.

Not all of these projects will be covered in detail. But the range serves to indicate that there is a depth and breadth of CPPB research on Sudan that sets it apart from the more narrow use of research in the engagement in Palestine, and is in marked contrast with the dearth of institute research on Sri Lanka.

As a preliminary to evaluating the projects in terms of their significance in relation to the conflict and peace dynamics in Sudan, it is useful to set out some of the key drivers of conflict and peace in Sudan. With those as the wider context, we will then look at some of the individual CPPB projects carried out by Norwegian research institutes and assess their impact in terms of how relevant, extensive and durable the influence is.

### **The outcomes which Norwegian R&D can generate are well aligned with the drivers of conflict and peace dynamics in Sudan.**

As many analysts of Sudan note<sup>61</sup>, there are multiple, interconnecting factors at the national, sub-national, regional and international levels that drive instability and conflict in the country – as well as sources of stability.

- The first of these is the historic concentration of power and resources at the centre (where elites change to a certain extent) resulting in marginalisation, poor governance and resentment in the peripheries. Factionalism and political rivalries compound this at all levels.
- The second is the contested nature of the Sudanese state and the lack of accountable structures of governance. The country is characterised by weak regional governments, and fragmented political parties.
- A third source of instability is the inequitable distribution of resources. The most prominent manifestation of this is the regime's inability/unwillingness to spread the benefits of oil

61 Given the constraints on time, it was not possible to organise conflict mapping sessions in Sudan. The discussion that follows draws on a number of analytic pieces of the Sudan conflict, particularly A de Waal and A Jan, 'Sudan: Drivers of Instability & Conflict and Stabilising Factors' (June 2007) as well as comments made during the course of the interviews carried out over the course of the evaluation. The drivers are consequently of a more narrative and general nature than for the related Palestine case study.

revenues generated over the last five years. The most important are the issues surrounding land.<sup>62</sup>

- The fourth major driver of conflict at the national/sub-national level is the militarisation of the conflicts in the periphery. Rural militarisation is now beyond political control, with implications for the likely success of DDR initiatives and the successful integration of the armed forces.
- At the regional level, some neighbouring states are actively manipulating instabilities within Sudan. Chad has played a major role in supporting the rebel movements in Darfur, while Eritrea has sought to weaken the government in Khartoum by supporting rebel groups primarily to counter Ethiopia's influence in the region.
- At the international level there are two interconnected factors. The first is the international response to the crisis in Darfur, including a very bellicose stance by the US which has sought to politically and economically isolate the regime in Khartoum (while nonetheless sending mixed messages in seeking its cooperation in the 'war on terror') and reducing the space for constructive engagement with the more moderate elements of the regime. The second is the political and economic support (particularly but not exclusively in the oil sector) provided to the regime by some foreign countries.
- The potential sources of stability are to be found at both the structural and actor level. In the national/sub-national arena the key factor is the economy. There is strong economic growth and macro stability, with oil revenues providing the potential for economic stability and prosperity.
- A further source of stability lies in the continued development of elements of civil society in Khartoum, most notably in the expanded need for higher education.

At the regional level, a number of states have a vested interest in a stable Sudan, including Egypt, Ethiopia and Uganda. At the international level, there is in principle the continued support for the implementation of the Comprehensive Peace Agreement (CPA) on the part of the US, EU and UN – though this has been slower, less well coordinated and less well resourced than is necessary for success.

The drivers of the conflict that are considered to be within the sphere of influence of Norwegian R&D on CPPB are dealing with the power at the centre, the equitable distribution of natural resources (mostly through policy influence by the provision of information and conceptual shifts, but also the introduction of new constituencies in negotiations), militarisation at the periphery (through factual information), influencing the international response (through policy influence in information and intellectual analysis), and finally the strengthening of civil society (capacity building).

**A review of the larger projects shows that among the R&D outcomes, the provision of background information was the most successful in allowing Norway to address the appropriate issues.**

#### *Background Consultancies [CMI]*

As it became clear under Development Minister Johnson that Norway intended to play a more active and direct role in support of the Intergovernmental Authority on Development (IGAD) process, Norad turned to the existing research expertise within CMI and the University of Bergen. This was to provide deep background information and analysis on Sudan as part of the process of developing Norway's position regarding the modalities of the process, possible outcomes, likely difficulties that would be encountered in both and the possible contributions and roles that Norway could play. Meetings were held with the academic experts on a regular basis. Those government officials involved at the time have made clear how important a role this advice played in structuring the government's approach to Sudan.

In terms of the four outcomes, this CPPB factual research was effective in all four to some degree in strengthening Norway's role to in turn influence key drivers. It strengthened the government's understanding of the situation in Sudan; it played an important role in providing the conceptual underpinnings to Norway's approach to peace-building as a whole and in

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<sup>62</sup> The importance of issues surrounding land disputes was recognised during the CPA negotiations, they were deemed so deeply problematic that they were set to one side for later resolution, rather than allow them to scupper the prospects for an agreement.



Sudan in particular; and it helped put in place a network of contacts that would be drawn on at various points in the negotiation process.

#### *Wealth Sharing Negotiations [CMI/PRIO]*

One of the more interesting features of CPPB research in Sudan was the use of researchers/experts directly in support of the negotiation process as an active member of the team. This is an important feature of the Norwegian model, facilitated by the willingness of the MFA to grant temporary 'diplomatic status' to individuals for precisely this purpose.

In the case of Sudan, the Norwegian researcher Endre Stiansen came to play such a role. From May 2002 to February 2003 he followed the IGAD negotiations as an observer representing the Norwegian MFA. From February 2003 until the signing of the CPA on 9 January 2005 he worked for the IGAD secretariat as a resource person with special responsibility for coordinating the wealth sharing negotiations. In this position Endre Stiansen was responsible for organising a team of international resource people helping to define and sequence issues, draft text, liaise with the parties and report to the Special Envoy, Lt Gen Lazarus Sumbeiywo.<sup>63</sup>

After the signing of the CPA, Endre Stiansen was employed by PRIO as a senior researcher in its CPPB programme. While at PRIO, Dr Stiansen administered and took part in a five person resource team that was responding to the needs defined by the African Union team, led by Salim A Salim. In the summer of 2006, a similar initiative was taken to give input on wealth-sharing to the Eastern Front, in the context of the negotiations on north-eastern Sudan.

#### *Women in the Sudan Peace Process [NUPI]*

This project was initiated jointly by the Sudan and Global Issues desks of the MFA. The intention was to bring together a group of Sudanese women from the North and the South to discuss the gender aspects of the conflict, the peace process, and developing peace process with a view to achieving more representative forms of governance as it applies to the peace process (the second driver of conflict).

Although it started prior to the signing of the CPA, the meeting in Oslo did not take place until after the signing of the CPA but before the Oslo Donor Conference. There were 15 participants – some of whom had never been outside Sudan before. An unexpected outcome of the meeting was an agreed text by the participants.

#### *Joint Donor Office Evaluation [NUPI]*

In January 2007, an evaluation of the security sector work of the Joint Donor Office (JDO) was carried out by NUPI on behalf of the Norwegian MFA and DfID in the UK. The Joint Donor Office had opened in Juba in May 2006<sup>64</sup> with the purpose of providing coordinated support to the implementation of the CPA and the understanding that it would be involved in 'political work' – though the definition of what constituted 'political work' was not spelled out.

As a footnote in the report makes clear, the evaluation was being carried out with a degree of urgency: indeed, the ToR were agreed as the assessment team was on its way to Khartoum. The urgency was triggered by the short stay of the first security sector advisor (who had only lasted from May-August 2006) and the whole question of whether the Joint Donor Office should cover security sector issues and the nature of the relationship to the 'rule of law' advisor.

The report contains an informed overall assessment of the security situation in Sudan in early 2007. Noting the fragility of the situation, the evaluation team argued that the failure to make progress on the security sector front would place the CPA at considerable risk. A key working assumption of the evaluation was that security sector reform was means towards promoting the rule of law, confirming the high degree of relevance of the project. The report was more pessimistic in terms of extent. It noted that instead of working in a coordinated manner, both the security sector reform (SSR) and Rule of Law advisor played very narrow, restricted roles, with a sharp and distinct division of labour that the team deemed unhelpful.

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<sup>63</sup> Over the course of the negotiations there were several Norwegian researchers involved as resources persons in the IGAD process. There were also academics/researchers from S Africa, Australia, Italy and Germany playing similar roles in other issue areas.

<sup>64</sup> Its founding partners were Denmark, the Netherlands, Norway, Sweden and the UK

The evaluation team argued that there was a need for common policy framework as a platform for engagement in South Sudan, including a shared conceptual understanding of the nature and scope of SSR. Outlining a range of options, from non-involvement in SSR as being too politically sensitive, to an expanded role, the evaluation team argued for the latter noting that the JDO could play a more proactive facilitating and enabling role, working to ensure that initiatives across the sector amounted to more than the sum of their parts.

*International Engagement in Sudan in Light of the OECD/DAC's 'Fragile States Initiative'*  
[NUPI]

This project is an analysis of what insights could be gleaned from the experiences of the implementation phase of the CPA for the principles under development by the OECD/DAC for engagement in fragile states.<sup>65</sup> To this extent the project is more about the OECD/DAC principles than it is about Sudan.

The analysis contained in the final report provides a Sudan-relevant overview of the range of issues confronting the implementation of the CPA against a number of the OECD/DAC precepts. It notes that some of the problems lie in the agreement itself, the party's lack of commitment to it, the problems of statebuilding in both the north and south, the failure to expand/extend the agreement and make it national, issues in the coordination of the activities of the international community. It also highlighted the extent to which the international response to Darfur had distracted international attention away from implementation of the CPA, noting that approximately 72% of the humanitarian funds earmarked at the Oslo donor conference were being diverted to Darfur.

Although the report makes no specific recommendations regarding Norway's policy in Sudan, it made a number of recommendations regarding the DAC guidelines and their implementation.

*TFP/Series in Security Practice Paper on Demilitarising White Army Militias in South Sudan*  
[NUPI]

This piece of research is part of a larger project on DDR which is itself located within the Training for Peace project. The report looks at the phenomenon of the 'White Army' (WA) as an example of an 'Other Armed Group' (OAG) and the attempts to demobilize them by the Sudanese People's Liberation Army (SPLA) in south Sudan. It develops insights for both Sudan but more generally for DDR efforts, noting that the standard practices may not work with such groups and could instead lead to escalations of violence.

The paper points to the White Army rationale for holding guns - security, prestige, fear of disarming linked to longstanding distrust of Sudanese People's Liberation Army (SPLA) – but also notes the more traditional linkages to blood feuds and cattle raiding. It also highlights the extent to which the latter is on the increase due to ease of access to arms and collapse of traditional conflict resolution mechanisms, such as cattle compensation.

The report provides an analysis of how and why the SPLAs 'rolling disarmament' campaign led to increased violence, while the process in the Jonglei state worked as it had calibrated 'influence, incentives and coercion', was supported by other actors (local NGOs), and made use of the presence of the United Nations Mission In Sudan (UNMIS) and UNDP – which while not active in the process provided reassurance by their presence. It also highlights positive influence of returning IDPs/refugees who bring a different outlook on life – one not conditioned by, or revolving around guns, violence and the need to re-establish traditional conflict resolution and provide employment alongside the disarmament process.

Looking at the four outcomes, this individual piece of research, as well as the larger project it is part of, generated new insights into the Sudan situation, highlighting important aspects of the South-South dynamics and the kinds of issues confronting the Government of South Sudan. More importantly, it develops new conceptual thinking on DDR issues – elements of which turn up in and informed the JDO evaluation discussed above.

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<sup>65</sup> Ainta Haslie and Axel Borchgrevink, 'International Engagement in Sudan in light of the OECD/DAC's 'Fragile States Initiative''

*Micro-Macro Issue in Peace-building [CMI/PRIO]*

The Micro-Macro Issues in peace-building in Sudan (MMIPB) is a collaborative project between CMI, the University of Khartoum, Al Ahfad University for Women, and PRIO – though the main axis is CMI and Al Ahfad. This is the largest of the research projects being reviewed both in funding, duration and extent.

The project has multiple components: research on the complex, interlocking nature of the multiplicity of conflicts in Sudan, monitoring the implementation of the CPA and capacity building in strengthening research capacity both in Sudan and Norway. Some interviewees felt that the capacity building component may have come to over-balance the programme. In the area of ‘capacity outcomes’, the Micro-Macro project plays a role in strengthening Norwegian CPPB research knowledge with regard to both Sudan and aspects of peace processes and peace-building in general. This is important as the historically strong Norwegian research profile on Sudan was allowed to wane in the late 1980s and early 1990s producing a ‘generational gap’. The support provided to a new cohort of PhD students and younger scholars is essential in rebuilding Norway’s capacity in this area.

**The influence exercised by information outcomes is highly relevant to the issues, allowing for a good identification of stakeholders. Conceptual outcomes were also highly relevant, but not well used by the MFA.**

Given the number and range of CPPB programmes and projects relating to Sudan, the sum of the significance of impact of each individual initiative must be considered in aggregate. The significance of the CPPB funded research will be explored in relation to Norwegian CPPB policy, the situation in Sudan and the four research institutes.

Recalling the discussion of the development of Norwegian CPPB policy earlier in the report, it is evident that the research was generally relevant to, and fed into, Norwegian policy relating to Sudan. In interviews with current and former MFA officials and key decision-makers on Norwegian CPPB policy, it was clear that the early research carried out by CMI informed Norway’s approach to peace-building in general and particularly with regard to the Sudanese situation. Through the MFA Norwegian R&D was then able to influence international attitudes to Sudan.

For example, Norway used the knowledge base it had access to as platform for both accessing key individuals and stakeholders in the Sudan peace process but also as a point of leverage in steering the policy line of the ‘troika’ in support of the IGAD-led negotiations. The smaller, individual pieces of research spoke to important dimensions of the situation in Sudan, while the larger scale Micro-Macro Issues in Peace-building in Sudan (MMIPB) project provided a wider account of the interlocking conflicts in Sudan and provided a basis for shifting away from the pre-dominant North-South focus.

It clearly had direct relevance in the course of the CPA negotiations on wealth-sharing, as did the smaller pieces of research on security and DDR issues.

At the conceptual level, the Macro-Micro project could make some claims to having made a relevant contribution, though how much in the case of either the Norwegians or the Sudanese is difficult to gauge. Its critical orientation towards ‘peace-building as statebuilding’ (pointing to the issue of power at the centre versus periphery) is an important contribution to the ongoing debates on Peace-building, as well as the subsequent policy implication of ‘pro-poor’ development policies and programme. Whether this has produced any shift in Norwegian policy is not visible to the evaluation.

In the case of shifting the focus from the dominance of the North-South issues and that of Darfur, it seems to have had some resonance within parts of the MFA and also with Sudanese intellectual and political elites. But, for obvious reasons, Darfur continues to dominate the agenda, as does the CPA and its implementation. This is partly because of the timetable for elections and a referendum built into the CPA which are likely to keep it as a dominant, though not exclusive focus of Norwegian policy in the near term.

The focus on land issues as central to understanding the conflicts in Sudan and their resolution is a distinctive feature of the MMIPB analysis and research programme. This is a driver of the

conflict which has been under-researched until recently. Here, the ideas and arguments are slowly starting to have traction both in discussions within the MFA and in Sudan, where arguably this has always been known but marginalised in the course of the CPA negotiations – set aside for resolution at some later date.

Some of the projects were relevant in that they informed broader international policy in dealing with states such as Sudan. This was the case for the NUPI case study for the OECD Working Group on working with Fragile States. Interestingly the project achieved unintended outcomes in conceptual development in that the report triggered fresh thinking within the MFA on the relationship between quick impact delivery projects and long-term sustainability. This revolved around the core conflict issue of distribution of power, the first driver of conflict we have identified. But even in the areas of information, conceptual outcomes, its impact on peace-building in Sudan are fairly indirect given the initial OECD-DAC focus of the project.

At a more general level, Norwegian R&D touches on the central dynamics surrounding the contested nature of the Sudanese state. This is particularly the case with the MMIPB programme and an implicit element within some of the other projects.

But interestingly, it may be at the ‘micro’ level where the MMIPB is having greater relevance, particularly in areas like the Blue Nile and south Darfur where there seems to be a receptivity towards some of the analysis being offered. However, a number of interviewees pointed out that the nature of the central regime in Khartoum constitutes a serious impediment to being able to act on the basis of the insights produced by the research.

Equally important, a significant amount of the research also links to the need to shift the focus from the predominance of first the North-South dimensions and secondly that of Darfur. However, this also highlights a dilemma and a slight paradox for Norwegian CPPB policy in Sudan that a number of interviewees pointed to. The dilemma, as one interviewee put it, is that the Norwegians have ‘put all their eggs into the CPA basket’ which until recently has blind-sided them with regard to the non-North-South dynamics in Sudan.

The paradox is that while MFA and Norad-funded CPPB research develops an account of the complex nature of the Sudanese situation, Norwegian development assistance and aid policy still tends to focus on building up the South, with no real effort to foster linkages between the North and South, thereby under-cutting the ‘unity’ agenda of the CPA.

The relevance of Norwegian R&D outcomes to key drivers is stronger in terms of strengthening civil society. MMIPB is playing a highly relevant role in (re)building capacity within the Sudanese university sector. The current generation of academics and researchers have been tempted away from academic research by the financial rewards associated with consultancy work. R&D has provided resources for building and training a younger generation of research scholars and maintaining an independent, critical voice within Sudan. At the level of the MA and PhD students it is feeding into generational change to influence the issue of better governance.

Looking at the ‘working papers’ produced to date by the MMIPB, it is evident that it is producing detailed, insightful knowledge about the Sudanese situation as a whole, particularly in profiling the centrality of the unresolved land issues, as well of individual regional conflicts. They provide empirically grounded, detailed knowledge to counter-act the more black and white, less nuanced view one finds in the international community.

In line with the intent of the programme, this serves as an important counter-weight to the historical focus on the North-South dynamic (to which the Norwegian government contributed in both its aid policies and the role it played in the peace process) and the more recent international focus on Darfur. Given the degree to which there are still lingering suspicions regarding tacit, if not covert, Norwegian support for an independent South Sudan, such a profile provides a useful counter-balance and corrective.

For the research institutes, the funded research has relevance to the extent that it fits into the long-term research agendas and strategies, though this varies from institute to institute with

regard to Sudan. Research interests in broader issues such as gender and peace-building or DDR issues may have a Sudan aspect to, but in the end Sudan is not the main focus. As noted in the earlier sections of the report, the real dilemma is the pursuit of short term consultancies that do not fit in with and/or distract from a wider strategic portfolio.

**The extent of influence is limited by the limited audience and by limited translation work, although the use of oral briefings is promising. Much broader influence is exercised through capacity building and Track II personal contacts, whereby local partners act as relays of Norwegian influence.**

It is not clear that the conceptual and information outcomes produced are reaching targets in an extensive manner, and consequently that they are being used effectively by the key stakeholders. In the interviews both with MFA and Norad representatives and with the Norwegian and Sudanese researchers, a constant leitmotif was the sense that the research was not registering. As one MFA official noted:

*'The real challenge is to feed the commissioned research into the decision-making process. But institutional constraints mean that there isn't time or space to critically reflect on the research generated. There is no time or forum to discuss the research findings and put them into a strategic context. There is no time for genuine strategic thinking'*

The overwhelming sense was that the MFA is very unsystematic in the use it makes of research for policy purposes. Within the research institutes, the CPPB funded research on Sudan has tended to play to and reinforce the 'division of labour' between the four.

Fafo has not been used at all – and this may be an untapped or under-utilised resources as several interviews noted that a 'living conditions survey' could be a useful contribution to understanding the conflict dynamics, but more importantly the coping strategies and how these might be mobilised as part of a peace-building strategy (considering the importance of natural resource sharing and local economic conditions in the drivers of conflict).

In the case of NUPI, the research was more about its gender and DDR thematic agendas than about Sudan. While PRIO and CMI are attempting to develop a strategic partnership in the area, it is one in which CMI is clearly the predominant partner. It is also the case that the number of researchers involved is small, and ageing. As will be noted below in the discussion of 'duration', developing a younger generation of Norwegian scholars on Sudan is a long-term strategic need if Norway wishes to continue playing a significant role in the countries peace-building processes.

Within the Norwegian foreign policy machinery, the number and range of individuals involved is small. Both are able to supplement those numbers by turning to the NGO community and/or the research community. The former is on a 'revolving door' basis, the latter on a short-term, one-off basis. As with the research sector, the age profile of this cohort of individuals is not getting younger. Both point to concerns about the sustainability of a knowledgeable and informed Sudan capacity over the long-term.

An additional mode of dissemination has been via briefings, meetings, and face-to-face conversations with key stakeholders in the Sudanese peace process. As in other instances, given the pressures of time, MFA and embassy officials often find it easier to digest the insights generated by the research in face-to-face briefings as these are easier than reading more 'academic papers'.

The initial programme proposals detailed a very broad research programme, focusing on a wide range of issues, one component of which was ostensibly about the implementation of the CPA. But, as one of the Sudanese participants noted, the research being produced did not have much direct engagement with the CPA. Within parts of the MFA, there is also the view that the working papers produced to date are seen as too academic, and not as directly focused on the mechanisms of and issues surrounding the implementation of the CPA. At the moment there is an element of 'academics talking to academics'.

This apparent weakness is managed through briefings which 'connect the dots' from the research being produced to its implications for the CPA process and the likelihood of a



sustainable peace in Sudan – a process which is apparently not necessary on the Sudanese side where political elites pick up immediately on the implications of the sometimes quite subtle arguments being developed. Briefings seem to resonate more directly with a Sudanese discourse about the nature of Sudan than is immediately accessible to all but a few non-Sudanese.

Extent is further limited by the slightly closed nature of Norwegian readership. This is visible for the White Army project. Reviewing the extent of the effect of its outcomes on the distribution of power (the first conflict driver) yields low results. It is highly relevant in that it allowed the development of a better knowledge base in Norway on the south-south division of power and the forces underpinning it, and above to counter-act the militarisation of society at the subnational level. This research is however not widely known in Sudan, nor in the MFA. In spite of its good quality, the extent of the influence exercised by the research may be very limited due to the low level of publicity and dissemination it has received.

On the other hand, there is also a strong view within the MFA and Norad that the accessibility of the research doesn't really matter as it is not the research output that is the primary interest but the development, rejuvenation and maintenance of a set of networks that provide the platform for Norway's presence within the country. It is investing in a long-standing research capacity that can be tapped into for both substance and process as and when needed by the Norwegian government.

Similarly, for the Sudanese, there is a larger, broader intent in using the research to promote a dialogue, to sensitise people about the issues that lie behind and that are in some sense unresolved or untouched by the CPA framework – particularly land use issues, local government. As one Sudanese researcher noted, the programme is as much about consciousness raising as it is about academic research.

While there are obvious political sensitivities regarding the profile of the programme with the Sudanese authorities (as is evident in the confiscation of Abdel Ghaffar's recently produced monograph), some of those involved felt that there needed to be a wider dissemination process. This is now being addressed by the production of Arabic versions of the working papers being produced by the project. This will allow the research being produced to have a wider impact on the discussions within Sudan surrounding Peace-building.

It is through the capacity building outcome that a strong level of extent of impact is achieved in Sudan itself. There the extent of the CPPB research influence is strongest, particularly in dealing with civil society. R&D presents an important capacity building component, building up research skills, confidence in articulating a critical voice. The Norwegian support to this is crucial for long-term sustainability. It provides financial support/resources but also intellectual support, (re)building a Norwegian and Sudanese capacity that can be tapped into by parties involved in the peace-building process.

The extent of influence at the MMIPB project is also enhanced by the diverse range of Sudanese students participating on the project who come from various parts of the country (again, shifting the focus from the predominant emphasis on north-south dimensions) and represent a wide spectrum of views. Many of the Sudanese participants would like to see further expansion. Drawing in researchers and students from other marginalised areas would be useful. There was also a noticeable gender profile, with female students out-numbering male students by almost 3:1.

However, it is with the Track II support to the peace process that Norwegian R&D proved to be most influential in terms of the extent of the outreach, thanks to good contacts with key actors. In the case of the MMIPB, this element links closely to that of capacity building. Many of the more senior academic Sudanese participants on the MMIPB already have a wide range of contacts and professional responsibilities, often working at more than one university, while doing consultancies for the international community, at the same time as they are politically active within civil society and/or political parties. A number have also been closely involved with aspects of the wider CPA process, for example having worked on the Joint Assessment Missions, CPA established commissions or parliamentary commissions. In some cases they were ex-ministers of state.

In tapping into this group of individuals, many of them from the North, the programme provides an important complement and counter-balance the long-standing Norwegian NGO profile in the South. It also provides an indirect but nevertheless important avenue for dissemination of ideas and outputs and creating space for critical Sudanese voices in the debates and discussions about peace-building in Sudan, hence affecting the issues of power (the first driver), and to a lesser extent governance. It also provides a network of individuals, including importantly a generation of younger scholars, that Norway can tap into in pursuing its CPPB policies and programme in Sudan. Finally it allows for a shift in the perception of Norway as ‘pro-south’.

By all accounts, within the Wealth Sharing negotiations project, Stiansen played a crucial role in the success of the negotiation process.<sup>66</sup> Using his academic credentials, as well as the manner in which he engaged with the issues and the representatives of the party, Stiansen was largely able to overcome suspicions that he, and Norway in general, were pro-SPLM/A.<sup>67</sup> Stiansen was also viewed as credible by the SPLM.

Stiansen spent a great deal of time in bilateral talks with the individual parties, identifying what their positions were and explaining why, often for ‘technical’ reasons, their positions would be untenable or unworkable. Stiansen was able to use his position of trust to tell both parties things they wouldn’t accept if they came from any other interlocutor. He ended up gaining the credibility with the parties that many of the ‘official’ diplomats lacked.

Stiansen worked to help the parties to find points of commonality and used these to build shared insights about possible solutions. He was able to break issues down into component parts that were then manageable. The tactics used ranged from comparative historical analysis to expert round tables to late night bilateral session that were as much about demonstrating empathy and building trusts as they were about making substantive progress on a particular issue. He used his expertise to help identify ‘technical’ solutions that served to accommodate the differing views of the Government of Sudan and the SPLM/A. And, importantly, he did so in a way that would not allow one side to boast about having got the upper hand on a particular issue. This was most evident in the negotiations on the central bank and currency issues.

The role of researchers as direct participants in the process highlights the importance of the personal networks within the Norwegian model as a whole and in the Sudan peace process in particular. The impetus for this role was a recognition by the Development Minister of the need to draw on the expertise that existed within Norway, but was situated outside the NGO community active in southern Sudan. Turning to individuals in Norad for advice, they in turn looked to individuals whom they had studied under or with, at University of Bergen and CMI. In the course of these discussions the shift in modalities from academic researchers to active participant was explored and put into place.

In terms of the four outcomes, it is evident that the most extensive contributions to the driver of inequitable resources and oil wealth management were made directly through the development of a Norwegian research capacity and information base, providing insights into the dynamics of the conflicts. Inroads were also made in helping to conceptually frame both Norway’s approach to the process and to the substance of the negotiations and agreements themselves in relation to resources.

However it is in the fourth area of track II negotiations where the impact was most significant in direct contributions to the negotiations themselves, helping address the first driver of the inequitable distribution of power between centre and periphery as manifested in the negotiations.

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66 This was evident not only in the interviews conducted in Oslo and Sudan, but also in the literature on the CPA negotiations process which refer to the extensive and important role played by international resource persons such as Stiansen. See, for example, Waithaka Waihenya, *The Mediator: Gen Lazro Sumbeiywo and the Southern Sudan Peace Process* (Kenway Publications, 2006) and A Kelleher, ‘A Small State’s Multiple-level Approach to Peacemaking: Norway’s Role in Achieving Sudan’s CPA’, *Civil Wars* (8:3-4, 2006), pp285-311.

67 In interviews in Khartoum, it was noted that there are still lingering suspicions about Norway’s overall position as being pro an independent South Sudan, even if Stiansen as an individual had overcome these.

**The duration of influence of the institutes is exceptionally strong in Sudan, with some important inroads into sustainability, particularly when the links to local partners are strong. The timing of the exercise of influence has also been good.**

As noted at the outset, prior to its involvement in the CPA negotiations, Norway already had a long-standing profile of engagement with Sudan – and this marks it out strongly in comparison with other cases reviewed in the course of the evaluation. Within the research institutes, this is largely based in CMI<sup>68</sup> and to a lesser extent within PRIO, with an important thematic supporting role by NUPI (particularly in security and DDR areas where CMI has little or no profile).

The durability of this profile is linked to the issue of capacity building. If Norway wishes to continue to play an important role, it is paramount that it fosters a younger generation of scholars who can provide both the knowledge base and the network of contacts that to date have provided Norway with a platform on which to develop its CPPB policies and activities.<sup>69</sup> It is important that a developed and diversified research capacity is maintained, providing a ‘critical voice’ within Norwegian policy debates. It needs to be viewed as a strategic asset that is built up over time.

This is equally the case within Sudan and works at both the institutional and individual level. There are a small number of senior scholars who command respect within the academic and political elite communities within Sudan. It is important that a younger generation of scholars be mentored to fill these roles in the years to come. To this extent, the training and support provided within the MMIPB programme is exemplary and vital in rebuilding a critical research capacity within Sudanese society – and one that is not constantly feeling the financial necessity of having to choose between long-term academic research and short-term consultancies.

At the institutional level, it will entail providing support to rebuilding the university sector within Sudan providing an important independent and critical voice in internal debates and discussions on Sudan’s domestic and foreign policy. The recent expansion of the higher education sector by the Sudanese government and the new tranche of Norwegian aid earmarked to support these offer the opportunity to replicate respected, independent higher education institutions like Afhad University for Women in other parts of the country and open up a non-Khartoum centered knowledge base, in particular to cater to the needs of the future economy in Juba, Malakal, and other cities.

Sustainability allows the Macro-Micro project to also score well on duration. One of the most interesting and useful elements in this area was the training workshop organised on ‘academic publishing’. The Sudanese staff and students who participated in this uniformly praised the training provided. It helped to remind established scholars of what they had originally set out to do – academic research as opposed to consultancies – and helped to re-establish their confidence about succeeding in this area (though it is worth noting that the prestige of publishing in a refereed journal may still not be the highest priority of Sudanese researchers).

Norway R&D has proved to be highly reactive, with the potential to make a significant impact – although this is not always realised due to the arms-length relationship between the MFA and the institutes, compensated by second guessing. Timing is also slightly problematic due to the inevitable lag time between research and its publication in a publicly accessible form. It is only just now that a substantial amount of printed material is being made available. And the timetable for the publication of reports may be too long for it to have any immediate policy impact.

In terms of the CPPB outcomes the Joint Donor Office evaluation provided valuable information and insights into issues surrounding the CPA, as well as some input into agenda setting regarding the security sector components of the peace-building palette.

Given the state of play at the time regarding implementation of the CPA, the timing of the project (duration) was highly appropriate. The transformation of the SPLA into an organized,

<sup>68</sup> The University of Bergen also has a long-standing research profile in Sudan. An examination of the involvement of individual researchers from the university are outside the ToRs for this evaluation.

<sup>69</sup> A useful example of this is Øystein Rolandsen, a specialist on conflict and peacebuilding in the Sudan at PRIO who had previously worked as an advisor for Norwegian People’s Aid and subsequently served as a consultant on an MFA-funded NPA project on capacity building.



disciplined armed force was a major intended outcome of the CPA and was to occur in the given timeframe. This, in turn, would necessitate a successful DDR process in the South, including dealing with 'other armed groups', such as the 'White Armies' and remnants of the South Sudan Defence Force, which in turn required addressing the small arms issues, the porous borders that assisted arms flows from Ethiopia, and building levels of trust within local communities (where there was long-standing distrust of the SPLA). In short, taking SSR issues seriously lead logically to and linked to a wider range of issues that were more 'political' in nature, with a crucial role played by timing.

The influence of the report itself is of a lesser quality than the R&D work it covered. Given the apparent urgency of the situation, the evaluation team completed their report quickly and presented it to the Sudan desk in the MFA in early February. The team provided a briefing – and then heard nothing either in terms of feedback on the quality of the assessment itself, or whether and how its recommendations were acted upon. Apart from the briefing meeting, there was no acknowledgement from the MFA that the work had been completed, or had been in any way useful.

In subsequent interviews by this evaluation team it became evident that the report had been read. And although the decision which was made to down grade the SSR component of the JDO mandate was not the one recommended by the evaluation team, the decision reached was informed by the analysis in the report.

However, duration becomes very weak when the initiatives come from outside the country or the Norwegian research institutes, even. This is the case for the women in the Sudan Peace Process project. The impact of capacity building on poor governance, achieved through the meeting, and in terms of duration is not clear. It was a 'one-off' meeting and the areas discussed were wide ranging: health, education, welfare, legal. There was an element of disappointment on the part of some of women participants that a discussion of HIV/AIDS became a major focus of the discussion and that a greater prominence was not given to education.

In terms of information generation, it provided some insights on the gender dimensions of the situation, and highlighted and projected these both within Sudan and to the international community involved in the CPA process.

Conceptually, it contributed to a widening of the understanding of 'peace' and 'peace-building' at play in Sudan, a recognition in Norway and internationally of the importance of gender in conflict analysis and conflict prevention and peace-building work, linking into broader research themes in Norway and internationally. As is the case with the wider debates on gender, it is not clear how fully it has been mainstreamed or internalized with the Sudan peace-building agenda and it often seems as if they are still two separate tracks that sometimes converge but haven't been brought together.

Track II or informal negotiation outcomes provided a stronger contribution, in terms of relevance and the quality of participants (extent). There was an implicit 'empowerment' component to the project which has succeeded, as well as the intention of building a network of contacts between those in the North and the South.

However, overall duration of the effect is weak. It has not been possible to see long-term success in this area, beyond an informal network of contact between women in southern Sudan<sup>70</sup>, in relation to the aim of influencing unrepresentative governance.

**The overall evidence shows the importance of providing support for long-term research capacity in areas of interest to Norwegian policy. This is necessary to provide deep background knowledge, a range of contacts and a 'critical voice', which could be further strengthened by taking a strategic approach.**

This strategic capacity has not been used in a strategic fashion, with some room for improvement. Although the range and depth of CPPB funded research is more extensive than the other cases examined in the evaluation, there is no sense that there was an overall strategic

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<sup>70</sup> One follow-up activity is a UNIFEM funded project at NUPI on promoting gender issues in E Africa and a 'lessons learned' project in 2008-09.

view regarding what was commissioned and why, and the extent of the influence of the outcomes on the drivers of the conflict is small.

While capacity building and track II negotiation work have proven to have a significant influence, the provision of factual information on little known issues, and conceptually innovative work, have not yielded such impact.

The Sudan case illustrates the role of ‘pragmatic flexibility’ at the core of the ‘Norwegian model’ and highlights the potential danger it entails for the kind of long-term, strategic funding of research which then Minister Johnson recommended. The shortage of young researchers, importance of local partners, the time-lag and low dissemination of research, the lack of dialogue with the MFA, point to the need for a more strategic approach to R&D to serve the interests of the people of Sudan.

### 3.2 Palestine

**In Palestine the conflict drivers are multiple and a large number are outside the sphere of national Norwegian influence.**

The evaluation has concentrated the analysis on the Israel-Palestine conflict with some consideration of the ramifications of the work in Jordan, rather than extending it to the other highly dynamic conflicts in the Near and Middle East. This is to preserve the coherence of a single case study, even though a large part of the most recent work of the four institutes has spread beyond Palestine. The period of the conflict taken into account is that of the evaluation: 2002-2007.

The conflict analysis workshop conducted in Ramallah on 18 February (attended by six persons) provided the following key issues as drivers of peace and conflict<sup>71</sup>, listed in order of importance:

- The election that brought Hamas to power
- The disintegration of the Palestinian Authority’s governance
- The deterioration in the living conditions of the Palestinians
- The boycott of Hamas by the international interlocutors
- The increasing intensity on the control of movements through the checkpoints, ie. the physical effects of the Israeli occupation
- The withholding of tax revenue collected by the Palestinian Authority by Israel

These do not present particular surprises, but can be traced back to the methodology which served to generate them, and as such are considered to have sufficient legitimacy for the subsequent analysis. The mapping also pointed to an underlying structural factor playing into these issues: the primary importance of the international context, intruding in all of these drivers as a multiplier. This is treated in the last part of this section, from the vantage point of the Norwegian MFA.

The election of Hamas, the number and intensity of controls of public routes, and the withholding of tax revenue by the Israeli authorities, which are identified as the first, fourth and sixth most important drivers for peace and conflict in the time period, are assessed by the team as being outside the sphere of influence of the institutes, and are not analysed here.

The activities reviewed by this evaluation were essentially three: the Fafo Institute for Applied International Studies Living Conditions Surveys and opinion surveys (begun in 1993), support from CMI given to Muwatin and to Palestinian research networks through and around Muwatin (begun in 1993), and Fafo support to the Jordanian Department of Statistics (since 1996). The review was based on interviews held in Oslo, Amman, Behtlehem and Ramallah in the West Bank, plus a review of the documentation generated.

The evaluation noted that some of the projects which had been presented for funding had not been approved by the MFA, such as one working on the popular definitions of governance and the state in Palestine (presented by Fafo with the Palestinian Department of Statistics). The local partners professed not to know the reason for these projects not being selected for funding. There is no visible reason for the rejection of the governance project as the

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<sup>71</sup> Please see section on methodologies

disintegration of governance and the state identity are clearly central to the current phase of the conflict.

**Whereas capacity development has been a waning priority for the institutes, information and conceptual contributions remain exceptionally good. Track II contacts are of decreasing importance in the polarised environment.**

There has been a strong focus on the professionalisation of staff in the Departments of Statistics in Palestine but more particularly in Jordan, with a focus on staff supervision, data entry, professional ethics and political independence by Fafo. This focus has however been decreasing over time, as the Fafo office in Bethlehem increasingly constitutes and runs its own teams of field researchers on a project by project basis. Similarly in terms of long-term capacity outcomes the Jordanian Department of Statistics is affected by staff turnover, paradoxically caused by the attractiveness of personnel trained by Fafo to Gulf State administrations.

Two of the Norwegian institutes have also carried out capacity building by helping partners to become more reliable beneficiaries for international grant funding, as well as for the development of local ownership of the research agenda. The evaluation found that three partners in particular (the Palestinian and Jordanian Departments of Statistics, and Muwatin, the Palestinian research institute) saw their own skills base, the support to office rent, and the development of a library, to be key to attract future funding. Indeed, from the point of view of respondents in the region, the most significant outcome of the support received from the institutes in Norway has been the contacts that this has guaranteed to the broader international research agenda. In the case of Muwatin, the interviewees declared that this had given them access to networks of a high intellectual level, as well as to develop the regional profile of Muwatin.

Developing and strengthening the Norwegian knowledge base in the Middle East has been a long running purpose of R&D, in the wake of the considerable role played by the different research institutes (particularly Fafo and CMI). It should be pointed out however that the MFA respondents themselves did not consider this as the most significant desired outcome at this point in time. This emphasis on knowledge institutions rather reflects the aims of the institutes to respond to a growing expansion in project load.<sup>72</sup>

There is a long tradition in all four institutes of the provision of highly relevant country notes, of research on population movements, dynamics, and studies of issues and actors in the Middle East (such as analysis of armed movements and the effects of closure on the Palestinian populations). There is also a body of research which, even though it is not linked to Norwegian funding, uses the research supported in the past to highlight related issues. An example of this would be the Quarterly Bulletin of Social Statistics issued by the Jordanian Department of Statistics, which relies on Fafo Living Conditions Surveys to generate rich knowledge on the rapid transitions of Jordanian society.<sup>73</sup>

A more important recent example has been the extensive press coverage gained by Fafo while developing a systematic methodology to understand the scope of flight by Iraqis to Jordan and Syria. In the case of the former, this has allowed for the emergence of a good academic debate, the testing of various approaches in conjunction with the Jordanian government, and the documentation of a sensitive issue in the international area. It has also served as a test of the ability of the Department of Statistics to carry out independent fact-based research on issues for which it is difficult to obtain political endorsement.

Agenda setting has long been the privileged ground of Norwegian researchers, inspiring new policy initiatives, and new contributions to the re-framing of Norwegian and international policy vis à vis the Middle East. Of particular note, in the period 2002-2007, is the advocacy of engagement with Hamas (of which the Norwegian Ministry of Foreign Affairs was an early advocate), and the highlighting of the little known plight of Iraqi refugees in Jordan, and less successfully, in Syria. While there is not direct evidence of a causal link, the existence of considerable research on this issue, the extent of dissemination, and the long lasting nature of the position, point to a very possible contribution.

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<sup>72</sup> Fafo AIS 'Strategic Plan for Fafo AIS 2007-2008', page 6.

<sup>73</sup> 'Department of Statistics 'Social Trends in Jordan', Amman, May 2007.

Lesson learning and sharing of experience is a core activity for many of the research activities and seminars supported by Norwegian institutes. This leads for example to the creation of discussion fora in Ramallah in the case of Muwatin,<sup>74</sup> and lobbying the Palestinian Parliament on legal issues.

Norway can be said to have developed its particular model of conflict resolution in the Middle East. This was achieved through the work of personnel tied to the research institutes (although not only the four evaluated here), and the use of low profile policy circles. This has, however, considerably diminished since 2002, as marked by the ending of the People to People project funded by the MFA, and more broadly the deterioration of the negotiating base for the two-state solution or a bi-national state. The evaluation team was not made aware of any contacts where the institutes would be supporting the MFA in negotiations since 2003.

Similarly the direct and indirect contributions made in the past to peace processes through, for example, fostering dialogue processes via the dissemination of academic and policy research, has not had a significant profile at the four institutes in the evaluation period. Indeed, during the period under review, one of the few pieces of funding in relation Norwegian involvement in the Middle East peace process has been the RCN funded SIP on “The Missing Piece: 2003-2006”. Based at PRIO and headed by Hilde Henriksen Waage, this collaborative project builds on her previous critical engagement with the ‘Norwegian model’ and the Oslo in 2001 and 2004. While cited by some within the MFA as an example of its willingness to support research critical of Norway’s engagement, researchers themselves are doubtful about how durable its impact has been as they see similar patterns in play in Norwegian involvement in other conflicts, such as Sri Lanka.

Although there is considerable evidence of the strengthening of networks (which is treated in the outcome on capacity building), the current political polarisation, travel restrictions, and the disengagement of Norwegian diplomats, has reduced this outcome to a historical fact.

**The influence of Norwegian R&D in relation to the desintegration of the Palestinian Authority’s governance is as relevant as conditions allow, of limited extent, but of valuable duration thanks to the use of local partners.**

The development of professional capacity to collect socio-economic information and to analyse it, is an important element in supporting the policy formulation of the Palestinian Authority, although this is done indirectly by supporting public debate.

Muwatin’s location in Ramallah also makes support to this institute relevant to the Authority’s administration. This is however weakened by the political and geographical fragmentation of the country, and the difficulty of communication and physical movement in the Palestinian areas.

Fafo’s image of being able to collect reliable qualitative and quantitative information relating to the Iraqi crisis has strengthened the credibility of the organisation and of information generated on the Palestinian situation. This gives the work of Fafo an added if indirect relevance to the issue of governance.

In the area of governance the influence of Fafo and CMI is very limited, as the target audience of the research and the groups benefiting from capacity building are not particularly located in Palestine or the Palestinian Authority.

The influence is, in the case of Muwatin, limited to the political class who are the Parliamentarians based in Ramallah. The conceptual shifts which have been advocated by Norwegian researchers touch on Hamas, and this is predominantly focused on the international audience. The Palestinian Department of Statistics has not been able to mobilise recent support through Fafo, and the Living Conditions Surveys and opinion polls are mostly geared at the same international audience. While the research is widely published and read in the English language, it remains the domain of specialists.

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74 See in particular the Draft document ‘The Muwatin CMI Cooperation: A Review’ by Fafo, 2007.

The long lasting presence of the institutes has allowed them to develop close contacts and a large information base on the Palestinian crisis. These all four outcomes have existed well beyond the evaluation period, and even if some of them have waned (in particular the development of Track II outcomes), all have exercised their influence for a long period.

**The deterioration of Living Conditions is addressed in a relevant and extensive manner in the local context, and of good duration.**

The solid qualitative and quantitative research carried out by Fafo has informed the work of numerous donors to Palestine, and highlighted the significant economic impact of the security and political crisis in Gaza and the West Bank. While the work of the other institutes has focused on political and social aspects, Fafo has been the main source of independent research, and even triggered a number of imitative initiatives leading to the creation of other Palestinian research organisations.

While they are widely disseminated and read, the actual use of the Living Conditions Surveys in the international and national efforts to alleviate the declining standards of the Palestinians is difficult to identify. The capacity building and the contacts with international organisations (such as recent requests from UNHCR for information that would assist it in programming its refugee assistance) would warrant a good connection to policy making, but the evaluation was not able to find policy decisions that would relate the surveys to actual programming decisions.

There has been a recent effort to convert the statistics into newspaper articles and policy briefings<sup>75</sup> with wide public diffusion. Fafo and the other research institutes have also multiplied the numbers of workshops and briefings (such as breakfast meetings) which the MFA has attended. However interviews in the institutes and with MFA personnel show a limited degree of satisfaction with these activities, partly due to the prevalence of institutional interests in foreign policy and a reluctance to face criticism, and partly due to the absence of policy relevance of the research.

The many years over which the briefings have been produced mean that the influence they have exercised has spanned different generations of political leaders and diplomats. Here, as in the other issue areas, Norwegian research would score highly for continuity of content and authors, long lasting contacts, and long range monitoring of the issues.

The presence of a Fafo local office in Bethlehem is an added element of duration, touching in an exceptional way on local sustainability. The office is able to tap into funding sources other than Norwegian.

**The boycott of Hamas is appropriately identified as a key issue in Palestine, but has had a surprisingly limited audience.**

There has been no issue which has received a more forceful and coherent alignment of positions among Norwegian researchers as the need for an international engagement with Hamas. This has run directly counter to the policies pursued from a number of quarters, and would deal directly with the boycott, identified as one of the key drivers.

However apart from the outcome of conceptual shifts identified by the evaluation, few other outcomes pursued by the four research institutes have had direct relevance to the issue of the boycott of Hamas. The capacities formed, the large information base, and the Track II outcomes do not relate to the political negotiations with the leadership of Hamas, although the institutes can claim that their work affords them channels of communication to Hamas.

The material produced by CMI (for example the book 'Where Now for Palestine?' to which CMI supported researchers contributed) and by Fafo is widely published. CMI privately admits that it does not do enough to publicise its own research and that of its partners, yet it has a strong profile amongst those interviewed in Norway and internationally. The Fafo material on the deterioration of living conditions in Palestinian territories, even if less alarmist than some other sources, is also widely quoted. However this influence remains oddly

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<sup>75</sup> One could cite for example articles by Fafo staff based in Bethlehem in Arabic and in English, such as 'Early Elections is a National Necessity and a Political Demand' and 'Against Ramallah'



restricted within the sphere of Palestinian public opinion. The draft report of the Fafo evaluation of Muwatin mentions that the organisation cannot be described as a significant lobbyist or agent of change based on interviews with some respondents.

The Norwegian researchers' emphasis given to engagement with Hamas has not percolated into policy decisions. Norwegian diplomats have mentioned that for them the issue is not the lack of a well articulated position, or of additional information on the situation on the ground, but rather that the policy decisions are crowded by other factors not related to the crisis in Palestine, and it is these factors that determine that Hamas remains isolated.

Here the time period plays to the strengths of the Norwegian institutes. The period 1994-2006 (during which Hamas shot to prominence) and 2006-2007 (during which most research has been carried out on religious political movements), coincides with a full research agenda, and multiple meetings with the MFA and with locally implanted Norwegian research.

**The influence on international policy-making in the Middle East, one of the drivers of the conflict, is surprisingly limited when compared to the volume of Norwegian aid funding, and points to a weak link to the MFA.**

External observers have remarked on the 'autism' faced by the executive bodies of international powers<sup>76</sup> when dealing with Palestine, and this phenomenon has also clearly affected the impact achieved by Norwegian research institutes.

This conflict, possibly more than any other (with the possible exception of Northern Ireland), has been characterised by considerable intensity of research, and low uncertainty as regards the broader forces and consequences of conflict prevention and peace-building objectives. Yet the high quantity of data has not led to better policy making.

The MFA respondents point out that this is in part due to the higher supply of research than there is demand for it, indicating that the research may not be covering the areas which would be of concern. The evaluation would see this as non-alignment to MFA objectives. This would consist in research and development capacity inside the region (which only one institute has), current research based on field work as opposed to desk based work, and more rapid debriefings based on oral presentations rather than lengthy academic papers.

The real issue of the limited impact of R&D on Norwegian policy making is however the limited amount of R&D when compared to the roughly NOK 700 million per year which the MFA spends on the region. The real bulk of CPPB work is carried out by research organisations outside Norway (International Peace Academy, World Bank), or by UN agencies and Norwegian NGOs.<sup>77</sup> When queried, diplomats are hard put to cite more than two institutes that have done work in the last few years on the Palestinian question.

R&D in Palestine must deal with the perception within the MFA of an issue with over-provision of research findings, as well as with countervailing forces which mean that some of its findings and normative implications are limited. At the same time here too we note the significant focus on capacity building in relation to individual conflict drivers, with renewed emphasis given to local capacities (albeit in a very adverse environment) and local dissemination of information.

However when compared to the past profile of the Norwegian Model in the area, particularly as regards Track II work, the current significance of impact is limited. This does not so much reflect a deliberate policy for R&D of a shift to something new, but rather of past work going on with an absence of strong connections with the MFA.

### 3.3 Training for Peace

**The TFP programme is a good example of the capacity building role that the institutes can play in civilian aspects of conflict prevention, leading to regional knowledge bases**

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<sup>76</sup> Institut de Relations Internationales et Stratégiques '2008 l'Année Stratégique', Dalloz, 2008.

<sup>77</sup> A recent Norad document states that in the period 1999 – 2005 Norway allocated 606 million NOKs to the Palestinian Territories through 39 Norwegian NGOs. Some organisations worked exclusively on funds provided either by the MFA. Close to a half of the funds (289 million NOK) went to NNGOs that were involved in both humanitarian aid/relief work and long-term development assistance. The capacity of the NNGOs ranged from small foundations with volunteer staff to large professional NGOs with a Norwegian representation in the country.

**and networks of personnel. The research component has remained small but is influential.**

Training for Peace (TFP) is a good example of Norway playing to its comparative strengths, identifying and filling a particular gap/niche in the CPPB market and doing so in a manner that would have immediate benefits for peace support operations, long-term benefits for Africa as a whole, as it would address a number of generally agreed issues pertaining to peace in Africa:

- The need for an appropriate mechanism for the internationalisation of conflicts, introducing rule of law and disinterested impartiality
- The absence of a cadre of trained personnel with a common planning and communication framework
- The absence of a web of contacts for Norway across Africa, particularly as those who have gone through the programme move into higher positions of authority and responsibility.

This project has been included in the evaluation as it illustrates the “development” role of the research institutes, since its main objective is capacity building, as well as the mixed benefits of a long term mechanism of funding.

The Training for Peace (TFP) programme arose from the confluence of a number of events and recognition of these issues. There were the dramatic failures of the international responses to Somalia and Angola, as well as Liberia, and the crisis of confidence in peacekeeping missions in the aftermath of the genocide and subsequent massacres in Rwanda and Congo from 1994 until today.

As it became clear that the peacekeeping component of peace-building would entail significant civilian functions, and that non-military personnel would play an increasingly important and high profile role in such operations, there was an obvious need to provide training to the personnel who would fill such roles. The UN Secretary General’s 1995 report on improving conflict prevention and peacekeeping in Africa provided a further impetus and rationale for the project.

The Norwegian government built on its long-standing profile in southern Africa, while NUPI took on the lead role for the project not only coordinating and organising the logistics for the training component but playing a key role in the strategic planning of the training activities. From the very start, it was recognised that this could not be ‘imposed’ from outside and that the programme would need ‘local ownership’ via southern African partners.

The TFP therefore has had a significant cooperative and collaborative element, with the participation originally of two, now three African partners. The original two partners were the African Centre for the Constructive Resolution of Disputes (ACCORD) and the Institute for Security Studies (ISS), both based in South Africa. The third, starting in 2005, is the Kofi Annan Centre for International Peacekeeping.

The TFP was originally established as an international training and research programme focusing on the eleven countries of the Southern Africa Development Community (SADC). As the original 1995 programme document makes clear, the ‘main objective will be to contribute to on-going processes of building up stand-by capacities of qualified and readily available personnel for peace operations’. The revised programme document for the second phase of the programme from 2000-2005 (produced after and in response to the 1999/2000 evaluation) produced a shift both in where and how it was located and funded. It was now located within the realm of ‘contributing to human security’ with the intention of ‘establishing a self-sustaining, multi-functional peacekeeping and peace-building capacity in the region, with training as the core activity’.

In the early years of the programme it was the training component which came to dominate. It was evident that the core of the programme would be capacity building: educating and training *civilian personnel* about peacekeeping operations. For a considerable period of time, TFP was the only such module in the training of the civilian component of peace operations. It is still by far the largest and most sustained effort in this area with its civilian peacekeeping and peace-building course.



In looking at the TFP programme through the lens of influence, it is evident that the programme has had a considerable degree of success. This is the view that is also to be found in the two external evaluations of the TFP that took place in 1999/2000 and again in 2004. The main conclusion of both reports was that the programme was achieving most of its planned objectives and had been highly successful, while pointing to some structural and mandate related challenges.

There are two areas in which TFP has achieved significant outcomes: training, particularly in relation to the development of a stand-by capacity with a particular focus on support to the Africa Standing Force (AFS); and the creation of a new knowledge base with implications for policy development.

Capacity building has focused on three different groups: civilians, civilian police and military personnel. From the late 1990s, the programme included civilians and providing training on civil-military coordination and conflict management. In the third phase of its funding, it extended from a primarily SADC focus to a wider pan-sub-Sahara Africa focus. A very significant proportion of those trained have gone on to serve in missions. In 2004, TFP also extended its training to pre-deployment and in-mission training.

From the late 1990s the programme also developed training programmes for civilian police. These have focused on international humanitarian law and human rights, as well as HIV/AIDS and combating violence against women and children, profiling and inculcating a set of values regarding the rule of law that might be marginalised in a more technically oriented programme. The UN DPKO particularly values the programme as it is useful in identifying senior officers who could serve in UN missions and an initial careful selection process has ensured a high ratio of training-to-deployment.

The third component of its training has focused on military personnel. The TFP partner, ACCORD, has provided specialised training on negotiation and mediation techniques for peacekeepers, as components of training programme by DPKO and the South African National War College.

A key issue that arose in the earlier evaluations of the TFP was that it had maintained no roster of who had been through its programme – which meant that these individuals were sometimes a lost asset as their expertise and services could not be called upon quickly to contribute to either emergency or long-standing operations. In 2002/2003 a roster was established with the Southern Africa Civilian Standby Roster for Humanitarian Relief and Peacekeeping Missions (SAFDEM), confirming that individuals are qualified to be on the roster. In addition the AU has developed its own stand-by force (ASF). As a result of this, the decision was made to extend the TFP programme to other regions in addition to southern Africa.

The programme has clearly contributed to the development of both ISS and ACCORD, in the case of the former, helping it to reposition itself in a post-apartheid world, and in shifting their relationship from one of competition to one of collaboration and cooperation, as well as with a range of other research institutes and NGOs. There has been a beneficial impact on the SADC countries capacity to participate in peacekeeping operations, as well as their ability to make contributions to and play a role in ongoing African-wide and international debates regarding peace support operations. It has developed and introduced innovative training methodologies and has served to develop collaborative and cooperative links between the governmental, inter-governmental and non-governmental sectors.

Within the Norwegian context, an assessment of capacity building would be more mixed. Within the Norwegian armed and police forces, there has been development and consolidation of the expertise of its personnel in the areas of civil-military cooperation which fully qualified them for international deployments. However, because of the particular role that NUPI has played in the TFP programme – largely that of coordinator and administrator and acting as a channel of communication between the MFA/Norad and African partners – there was only limited capacity development taking place within it. There was no significant development of an institutional research programme or profile within NUPI, and that which did develop existed at the level of key individuals and was susceptible to collapse with their departure.

Tangible contributions would link back to its capacity building and the extent to which this has strengthened the ability African and international organisations to contribute to peace support operations which themselves are often an important contribution to the negotiation or implementation of peace agreements.

Less tangible benefits consist in the network of individuals, now numbering in the thousands, who have been through the training programme. As an ‘alumni’ group, they represent a potential asset – in line with the Norwegian model – that can be tapped into for the purposes of mobilising CPPB processes and activities.

As envisaged in the original programme planning, TFP was also meant to have a *research component*. The lead on this has been taken largely by the ISS, though in the second phase funds were also earmarked to support research by NUPI. The programme and those associated with it have produced hundreds of publications, ranging from project reports to policy briefs, to training manuals and academic articles and monographs.

The most recent is the volume, *Unintended Consequences of Peacekeeping* edited by Cedric de Coning and Ramesh Takhur which has received considerable attention.<sup>78</sup> The publications from the programme have served to stimulate debate, to bring ideas and concepts such as ‘human security’ and human rights into the sphere of peacekeeping, provide detailed analysis of the successes and failures of peace operations in Africa, and directly and indirectly contributed to the ideas that came to the fore in the Brahimi Report and in the ‘Responsibility to Protect’.

In addition, TFP also organises policy seminars on issues related to peacekeeping in Africa, helping to create a continent-wide cadre of individuals who have developed a common understanding of various aspects of peacekeeping and peace-building, as well as keeping African issues firmly on the international peacekeeping agenda.

In the area of information and conceptual outcomes, the TFP has also had a noticeable degree of success. The partner organisations, and the ISS in particular, have a solid track record of producing a variety of valuable and informative publications which are widely used within a training context. It is also evident that the more academic publications have an international standing both in the form of journal articles and edited as well as single author monographs. In addition, via the websites of the partner organisation, there is a very good dissemination of the outputs of the programme.

These have also made a genuine contribution to ongoing policy debates in the area of peace support operations and peace-building. The work has also figured in debates within national governments as well as in African regional organisations. Its most significant contribution is in the development of the AU framework document on civilian contributions to the AU standby force and peacekeeping operations. It also made significant contributions to the development and formulation of Norwegian policy in this area, particularly the central role of a civilian component to peace support operations.

**The influence exercised by TFP is based on its relevance to African peace-keeping, although the extent of the influence played by the trainees is not evident for lack of monitoring. The duration of the influence is quite different in terms of whether one speaks of the Norwegian institute (where it is small and where it is not linked to a clearly defined MFA policy) or local partners (where there is good sustainability thanks to long range funding).**

The programme was and remains highly relevant to the effort at developing a cadre for peace-keeping in Africa. There is a solid fit between the issues identified (the lack of capacity and the associated values and norms that need to underpin such a capacity) and the objectives of the programme. The programme has been capable of adapting itself to the changing nature of peace operations as well as contributing to and fostering some of those changes through its training and research activities. As the number of such operations has increased over time, and with it the civilian component in those operations, and as Africa has moved to develop its

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<sup>78</sup> The other major initiative is the current project on DDR headed by Dr Chris Alden of the LSE.

standby capacity in this arena, the relevance and significance of an ongoing training programme for the civilian element of peace operations has increased.

TFP has played a contributing role in the provision of trained personnel adhering to values concerning the rule of law, helping to foster both attitudinal and institutional change. The interface between these personnel and Norwegian institutions and researchers has however remained more limited, and this should be considered a lesser achievement.

Extent is evaluated in terms of both depth and breadth. In the early phases of programme there may well be a trade-off between the breadth and depth of impact, with none more important than the other. The number of individuals who have been through the programme includes thousands who have gone through one or more of its training workshops, an effect multiplied by the number of publications it has produced.

The depth of the learning would require indicators which are not provided by the reports, such as the level of the personnel trained, the percentage which are then deployed and redeployed on missions, and the decision to shift the focus of training to personnel who were actively engaged in operations or from countries that had committed themselves to providing personnel.

Some indications can however be found in the development of more specialised, targeted training programme, some of which include 'graduates' of previous training courses, as well as issues such as humanitarian law, HIV/AIDS and gender issues. A further indicator of depth is the value placed on the programme by UN Department for Peace-Keeping Operations and the African Union. An additional indicator is the degree to which its training methodology and content is being picked up and used by others.

In terms of funding cycles the programme has clearly benefited from the long-term commitments to funding made by the MFA/Norad. The essentially five year timeframes provide a space within which projects can be consolidated as well as creating room for innovation.

A paradox, however, is that this funding mechanism has a potential downside for NUPI's long-term capacity as the very substantial funds committed to the TFP have passed *through* rather than *into* NUPI. While it has been able to cover some core and project costs, it is evident that these did not cover actual costs. The shift to NUPI's role as a 'partner' rather than 'coordinator' in the project creates the opportunity for NUPI to contribute more substantively to the project, but the long-term consequences of the funding mechanisms means that in terms of personnel it is not well placed at the moment to take advantage of this.

There are also concerns about the loss of 'institutional memory' within NUPI as key individuals associated with the programme have moved on. Moreover, it is clear that the MFA staff have not been able to devote the time and energy necessary to ensure a smooth running of the programme. Nor does it have the substantive expertise to be able to provide strategic direction to the research agenda. A revised strategy document for the programme from 2010 onwards has yet to be put in place.

The duration of impact is closely connected to the sustainability of the project, particularly were Norway to withdraw or downgrade its funding for the programme. The 2004 evaluation noted that there were several structural issues that could cut both ways in this area.

One was the issue of NUPI's own role in the programme. It noted that it played a largely coordinating, administrative and communication role. Up through 2005, it played an important role in assessing, revising and filtering project proposals from the partner organisations and in doing so was an important conduit of information, keeping all the parties in the 'information loop'. Subsequently, NUPI's role was both downgraded as it coordinating and administrative role was removed and it was made a 'partner' organisation on par with ISS, ACCORD and KAICPK.

A consequence of this is that the previous communication network has not been sustained by the MFA/Norad and has largely broken down with negative consequences for the cohesiveness and common purpose of the programme.

A related problem identified is that the African partner organisations do not work exclusively with TFP. Each has its own identity, mission, and programme activities of which TFP is just one part. This has had implications for cooperation and coordination. While a meaningful partnership is now in place, there are evident pressures on the partner organisations and it is now clear how much emphasis would be given to maintaining their profiles in this area were it not for Norwegian support. This relates directly to the issue contained in the original mandate of developing a 'self-sustaining capacity' and the need to continue working at putting in place an effective and function roster of trained personnel.

While there has been some progress towards this, particularly with the establishment of the AU standby force, sustainability is still low, and largely in the hands of African governments.

A third problem is that further expansion is likely to be constrained by the lack of serious partner organisations of a similar standing and ability to ISS and ACCORD. To that extent, there are even some doubts about the Annan Centre which is yet to carve out a niche for itself within the programme or to develop local ownership as it is largely staffed by non-African internationals.

This assessment would tend to give a good score to the performance of the programme, were it not for the lack of a clear policy on the part of the MFA to continue it, or give it a new policy underpinning – which may lead to a loss of many of the achievements made so far. The change in role played by NUPI was not the result of a deliberate policy change on the part of the funder, and this has weakened the performance, and a drain of expertise within NUPI. This is in spite of the existence of a mechanism for long-term funding.

### 3.4 Sri Lanka

#### **In spite of a prominent role in the negotiations, the MFA has not called on the four institutes to provide research and development in relation to the conflict.**

Since 1999 Norway has been actively involved in the peace process in Sri Lanka and has played a central role as facilitator in helping to find a negotiated solution to the conflict between the Sri Lankan government and the separatist movement the Liberation Tigers of Tamil Eelam (LTTE).

The evaluation has considered this crisis not so much from the point of view of its own dynamics, but rather of the role of R&D to enable the MFA to position itself well in the negotiations, and especially to do so on the basis of relevant, extensive and long lasting information, capacity and track II outcomes. The testing of the Norwegian R&D contribution is based in great part on published research on this subject, as the evaluation was not able to make a country visit for this nevertheless important case study.

The armed conflict in Sri Lanka has strong identity dimensions, with successive constitutional changes leading to complex issues of accommodation of different communities, with autonomy and statehood playing a central role, while social practices remain fraught.

These complex issues lasted beyond the period after the cease fire in 2002 came into effect, which has been war torn Sri Lanka's first and substantial cease-fire. This was abrogated at the end of 2007 in what is widely seen as the failure of internationally brokered negotiations. While the cease-fire agreement is widely recognized as having been made possible in great part thanks to Norwegian mediation and facilitation, throughout has Norway played a crucial role behind the scene, and in shuttle diplomacy between groups in the two parties. Yet the evaluation has found that little CPPB research was carried out by the four institutes evaluated on behalf of the MFA. Over the five year period under review the MFA commissioned a total of three pieces of research from the four institutes.<sup>79</sup>

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<sup>79</sup> During this period there were pieces of research commissioned from Norwegian researchers at other institutes and universities. And, via the PRU, there was considerable research on Sri Lanka commissioned outside of Norway, including from researchers in Sri Lanka. At no point does there appear to have been any concerted effort at encouraging or developing collaborative CPPB research projects on Sri Lanka between any of the four Norwegian institutes and the non-Norwegian institutes receiving MFA funding.

The first project was an extensive literature review on research on Sri Lanka carried out by Wenche Hauge (PRIO) in 2003. Her research pointed to some serious knowledge gaps in research. Most of the academic literature (1998-2002) in Norway as well as internationally has been concerned with the causes, dynamics and consequences of the armed conflict in the country. There has been little attention to explore the role of facilitators. She also points to the need to explore the role of religion in conflict. Although there is an extended focus on religion in general and Buddhism in particular, research directed to understanding the role of religion in conflict and hence also the religion in the peace process is lacking.

In 2005 Hauge was funded by the MFA to undertake a seven months comparative study on the Sri Lankan peace process. The overall aim of the project was to study how the lessons from two peace processes – Guatemala, in which Norway was heavily involved, and in the Bangladeshi Chittagong Hill Tracts, in which Norway did not have a role – could be brought to bear on the peace process in Sri Lanka.

All three conflicts are particularly long lasting, and the fault lines have clear ethnic dimensions. The ethnic groups are located in particular regions of the country. The study resulted in three related discussion papers addressing questions and lessons learned related to *the role of civil society in the negotiation process, the struggle for self determination* and last *early planning for DDR and political participation in Sri Lanka*. According to Hauge it was the third discussion paper that spurred the most interest in the MFA.

The only other piece of MFA commissioned research on Sri Lanka at any of the four institutes during the period under review was carried out at PRIO. This was Iselin Frydenlund's research on the Sangha, their relationship to the peace process and their broadly negative, bordering on hostile attitude towards Norway's role in the peace process.

Frydenlund's research notes that the Buddhists monks have voiced considerable hostility towards the Norwegian-facilitated peace process as they fear that any political solution would ultimately result in the division of the island into two separate states. She argues that they constitute a particularly powerful voice in promoting Sinhala ideology which has ready access to the media and political parties. Indeed, she argues that theirs is a 'political' view. She also highlights the deep suspicion of Norway's role within the Buddhist monks, with the monks overwhelmingly seeing Norway as being pro-Tamil.

Frydenlund's research goes on to argue that the monks do not represent a monolithic body and that there were important monks voicing their support for the peace process. She goes on to identify four ways in which the religious actors could be brought into a constructive dialogue about Sri Lanka's future: (1) while it is important that the minority supporting the peace process continue to be supported and empowered, it was perhaps more important for Norway to open up a direct dialogue with those who are critical of the process and Norway's role within it as they will play an important role in communicating acceptance of a politically negotiated solution; (2) to go out of its way to counter the impression that it has a hidden Christian agenda by building up networks with Buddhist actors and drawing in and working in tandem with Asian states, such as Japan and Thailand, in support of the peace process; (3) to be seen to address Buddhist fears and concerns, for example in pushing for access to Buddhist historical sites in the north and east; and (4) drawing into the process public figures who are of good 'Buddhist standing' who could be advocates of the peace process in alignment with traditional Buddhist values of nonviolence and compassion.

**The influence of the research has been minimal on the initiatives of the MFA, although it was highly relevant in terms of identification of stakeholders. The MFA used other sources to support its decision making.**

According to Bose (2007) the Norwegian third party role was long viewed by the principal actors as more or less benign, an advantage that was also its major weakness. When the peace process hit difficulties, observers report that the Norwegians appeared to lack the information to create new coalitions to extricate the process and to move on. This meant that they ultimately were not able to reverse the unwillingness of the parties to seek peace. However, in the late 1990s, few external stakeholders, with the possible ephemeral exception of Germany and Switzerland, could boast sufficient commitment and third party credentials to play this role. It is also extremely difficult for outside observers to define to what degree a better



understanding of the dynamics of the conflict would have allowed the Ministry of Foreign Affairs to influence the willingness of parties.

It is unclear whether or how any of these recommendations were taken up by the Norwegian government in its continued role as a facilitator in the process. Based on subsequent press coverage, if it did attempt to act on any of these, it did so without any noticeable success.

As regards the four institutes under evaluation, the outcomes achieved seem relatively isolated, and small in relation to the research and development work carried out by others. The difficulty of assessing the impact of these relatively few pieces of commissioned research are part of a wider pattern with regard to the use of Norwegian based CPPB research in Sri Lanka. Hauge's literature review could have formed the basis for a research agenda in Norway in order to establish a resource base for the Norwegian facilitators to tap into. The evaluation team can find no evidence that such an attempt has been made.

In several of our interviews it has been noted that the Sri Lanka third party team did not relate to the existing Norwegian research resources at all, but rather called on other research sources that were not covered by the scope of the present evaluation (these were mostly foreign researchers). In December 2007 there was a debate in one of Norway's largest Newspapers, *Aftenposten*, including researchers in Norway as well as Sri Lanka (who are still to publish some critical articles on Norway's role). The researchers, although not agreeing on what constitutes good research on the Sri Lankan conflict, argued that despite Norway's deep involvement in Sri Lanka, the MFA has commissioned insufficient research on Sri Lanka.

The MFA argues that its lack of openness to the Norwegian public and research community is due to the vulnerability of being a neutral mediator in the conflict, and, more crucially, that the better quality information used in this mediation came from outside the four institutes. Research on Sri Lanka has, therefore, it is argued, been outsourced: constitutional reform and the role of Disarmament Demobilisation and Reintegration in peace process (King's College, London); on federalism (Delhi); dealing with armed rebels (Sri Lanka); as well as a study of the role of NGOs in peace processes. The Special Envoy to Sri Lanka pointed out that these inputs have proven very useful to the Sri Lankan team. It was argued that it was particularly useful that it was *not* Norwegian produced research, enabling the facilitation team to use it as outside, authoritative views.

It may be that the pieces of research commissioned helped to frame the agenda for the research commissioned by the non-Norwegian institutes, but there is little evidence to support this. Nor did they trigger any capacity building effort on the part of the MFA to develop such a research base within Norwegian institutes. And, in the absence of appropriate signals from the MFA, there were no sustained initiatives on the part of the four institutes to do so.

### **3.5 UN Security Council Resolution 1325**

#### **Women and gender are important issues in conflicts internationally, and a policy priority of the MFA.**

In October 2000, the UN Security Council adopted resolution 1325 (SCR 1325). In today's conflicts the civilian population is the object of widespread and systematic attacks. Women and children constitute a majority of the civilian population and are therefore particularly affected. At the same time women and girls are participating as combatants, either voluntarily or involuntarily.

Despite the fact that women's experiences in conflict situations are marginalised, and their role as contributors to conflict resolution overlooked, this evaluation has opted to analyse the influence of R&D on gender as a "node" in many of the contemporary conflicts.

Issues of gender in development and peace rank high on Norway's agenda for international engagements. Norway played an active role in the adoption of UNSC resolution 1325 on women peace and security which calls for participation of women on all levels in all phases of the peace process. This policy, and the priority it is accorded in Norwegian foreign policy, provides a valuable case study on the way in which it leads to change in R&D.

The implementation of the UN Resolution 1325 is in many ways illustrative of the Norwegian Model in practice. It is aligned to the UN agenda, and there is considerable collaboration across research institutions, across the research and NGO community and the MFA.

In January and February 2006 the draft of the *Norwegian Government's action Plan for the Implementation of UN Security Council Resolution 1325* was developed by researchers at PRIO in cooperation with MFA desk officers, with the researchers at PRIO engaging in the majority of background research, organizing of meetings with relevant ministries and ministers and providing drafts of the text. This was a joint ministerial policy declaration drawn up by the Ministry of Foreign Affairs, Ministry of Defense, Ministry of Justice and the Police as well as the Ministry of Children and Equality. The action plan was to strengthen, coordinate and systematize Norwegian efforts to promote international peace, security and democracy. The main aim is to increase participation and representation of women in local and international peace-building processes, the recruitment of women to peace operations run by international organizations (UN, NATO EU and the OSCE), and efforts to safeguard women's rights to protection in conflict situations should also be intensified.

The Government's Action plan was launched on 8 March 2006. Before this event there had been research activity at NUPI, PRIO and Fafo in responding to the UN resolution 1325. Some of these projects were commissioned by the MFA directly (Karamé 2001, 2002, 2006) and some were funded under already existing research programmes at the Institutes (Gender and Peace-building in Africa), a NUPI report under the Training for Peace Programme and Tønnesen at CMI: *Gendered Citizenship in Sudan* financed by the Norwegian Ministry of Foreign Affairs through two CMI research programmes: *Peace-building in Sudan: Micro Macro Issues* and *Religious Dialogue and Peace-building in Sudan*.

**The influence of the institutes on the formulation of the Norwegian position, the creation of knowledge and the establishment of networks has been well phased and relevant to the process of formulation and implementation of the Resolution.**

Training, in the process of implementing the UNSC 1325, is limited. There is only one project in which this has been stated as a particular objective. This was provided by a link to NUPI's Training for Peace programme and its cooperative and collaborative element with two South African partners.

In 2004 TFP issued a report (Karamé 2004) discussing gender mainstreaming, the challenges of gender mainstreaming in its generic peacekeeping and peace-building training courses. The programme ran a special training-for-trainers courses, of which its Policing Violence Against Women and Children course for SADC police officers, is an example.

Research carried out under the TFP umbrella feeds directly back into the programme through the development and utilization of TFP training manuals, readers/handbooks and related training courses. TFP staff contributed extensively to a special issue of international peacekeeping on gender and peace keeping in 2001 as well as training handbooks and manuals, utilised by potential peacekeepers and other in Africa and elsewhere (Karamé 2004).

The most prominent of the activities of the institutes related to the implementation of the UNSC resolution, has been to host a series of workshops and seminars with participation from researchers as well as implementing parties. FAFO and NUPI have taken the lead in working together with the NGOs in order to maximise the impact of such interventions. Within the NGO community there is a strongly held view that the degree to which researchers and NGOs are able to join forces has a direct bearing on the extent of their political impact. The seminars have had widespread press coverage and resulted in a series of reports informing researchers, policy makers, NGOs as well as the general public. The activities has also fostered a network called Forum Norge 1325 serving in many ways as a watchdog for the Governments policy and practice in the implementation of 1325.

The first published report by Karamé in 2001 was based on a learning seminar led by NUPI and hosted by Fafo AIS. The purpose of the Forum was to develop understanding of gender and decision-making in post-conflict transition and identify relevant recommendations for practitioners on how to integrate women in the Peace-building process. The Forum gathered



more than 40 participants from international organizations, governments, NGOs, universities and research institutes.

The Forum was funded by the governments of Norway, Canada and Switzerland. It focused upon women's agency in post-conflict transition, and concluded that gender sensitivity is an added value and offers additional resources to every development. Gender sensitivity was there defined as recognition of women's agency and knowledge as well as women's specific needs in security issues. Women's organizations, it was posited, represent a resource in peace-processes – in the host society as well as among international personnel: police military and human assistance.

The most significant outcome of the research and development of the UNSC resolution 1325 has been conceptual. The great majority of the reports and conference proceedings has been aimed at influencing and/or facilitating the formulation of Norwegian Peace-building policies. The project *Women in Armed Conflict and Peace building: implementing the UN Security Council resolution 1325* was established in January 2006 at PRIO with support from the Norwegian Ministry of Foreign Affairs. As noted above, the project group played a significant role in drafting *The Norwegian Governments action Plan for the Implementation of UN Security Council Resolution 1325*. In addition, the programme Women in armed Conflict and Peace-building was to undertake research on issues related to women peace and security, as well as build up a capacity for research and policy input in Norway on 1325-related issues.<sup>80</sup>

The research community contributed early on, however, to frame the research agenda. *Gendering Human Security* (2001) was an MFA initiated project supported prior to UNSC res. 1325, undertaken by Kari Karamè. The project had a significant impact on Norwegian policy and attitude on the issue, and on how it represented its views within the UN. It also had major implications for how Norwegian NGOs was to keep up a gender dimension in their security efforts.

There were other examples of innovative research spinning off from the core policy. In January 2002 an international experts' seminar was held in Oslo to define best practices to improve the security of refugee and displaced women (Karamè 2002). It was initiated and funded by the MFA, and the seminar was organized by NUPI in co-operation with PRIO and the Norwegian Refugee Council.

The seminar addressed the fact that despite the dramatic change in the levels of attention devoted to gender in humanitarian response. It observed that five main impediments remain: 1) the gap between policies adopted at headquarters and their implementation in the field, 2) the continued failure to address the need of uprooted populations who remained internally displaced. 3) the continued inability of those who suffer from gender based persecution to obtain asylum for this reason, 4) the failure of gender programme to address the attitudes and the situation of men and 5) the lack of long-term commitment from the international community to improve the above mentioned impediments.

The seminar developed a set of recommendations to be presented to international fora defining best practices in the field. A brochure containing the summary and the recommendations was made available to the meeting in the United Nations on March 8th 2002.

In 2006 Karamè did a study for the MFA, this time questioning to what degree the UN resolution 1325 had been *implemented* in various aspects of the Norwegian Peace efforts. This work ran parallel to the arranging of two conferences with women from Sudan in 2006, also in co-operation with the Ministry of Foreign Affairs. Sri Lanka and Sudan were chosen as case studies. Her report points to the lack of attention given to gender in peace-building although she acknowledge that Norwegian actors do strive to reach a better balance amongst their own staff. It remains a fact that on the local level women are still marginalized during peace negotiations.

Track Two outcomes have been unintended outcome of the activities rather than an initial objective of the projects. A project initiated jointly by the Sudan and the Global desks of the MFA had as its intention to bring together a group of Sudanese women from the north and the

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80 In January 2008, the title of the project was changed to 'Gender, Conflict and Peacebuilding Research at Prío'.

south to discuss the gender aspects of the conflict, the peace process and developing peace process with a view to achieving more representative forms of governance. The focus of the conference as well as the participants at the conference links closely the outcomes of capacity building and Track Two.

Although it started prior to the signing of the CPA, the meeting in Oslo did not take place until after the signing of the CPA but before the Oslo Donor Conference. The 'women's rights and leadership in Post Conflict Sudan' was a conference co-organised by UNIFEM, the MFA and NUPI. It was held one day prior to the Donor Conference and gathered fifty women both from the North and South of Sudan some of whom had never been outside Sudan before.

The main aim was to promote issues to improve women's equal rights and participation in post conflict Sudan. The conference succeeded in preparing a common statement to be presented to the Donors Conference.

Respondents have argued that gender has widened the understanding of peace and peace-building in Norway's foreign policy. It can be traced back to the Policy papers and speeches made by ministers, as well as practice in places such as Sri Lanka and Sudan. The MFA reports that it has found the research outcome useful and it is clearly implemented in peace-building policies as well as in the actual Norwegian engagement in peace processes.

**The significance of the Norwegian influence is more reduced as one moves towards implementation and country cases. However a strong community of knowledge has been generated, and communication with the MFA has been strong.**

Yet its relevance is made vulnerable by the lack of ongoing conceptual and theoretical work on how gender is to be implemented in the peace process in specific locations of conflict. This was brought to the fore by a Norad representative who stated that the gender perspective that provides the background for the many reports on gender in peace-building has become "old fashioned" and not fitted to the ongoing peace processes. While it was relevant for the more general policy work it has not been relevant for implementation of the resolution on the ground.

Tønnessen's work on gendered citizenship in Sudan is viewed as an exception. It has been an important contribution to the ongoing work in Sudan. It is relevant in that it locates the issues of gender, participation and governance in the particular case of Sudan. Tønnessen's work is comparative study of the competing perceptions of women's equal rights within the traditional law and Shari'a among southern and northern elites, respectively in Khartoum. In the traditional family laws women's civil rights are in the hands of traditional judges who distribute rights and duties within the family unit base on oral not written law. This leaves no use for reinterpreting it or using the state to challenge it. Both northern and southern women opt to maintain the current legal system, but they simultaneously advocate changing the Islamic and traditional law from within to make them more gender-equitable. Therefore both northern and southern women opt to maintain the current legal system (Shari'a), but they simultaneously advocate changing both the Islamic and traditional law from within to make them more gender-equitable (Tønnessen 2007). Tønnessen's perspectives on Shari'a and gender in Sudan, have the potential to be very significant for the policies and programmes of the international community working in Sudan.

Karamè herself concludes in her report to the MFA in 2006 that there is indeed need for a better understanding of how the use of gender perspective is a strategy to peace-building both among the local actors and the population as well as among the personnel involved in the humanitarian, development and peace missions. (p.40) The evaluators can not see that this has initiated a series of new research projects.

The research on gender has provided some insights on the gender dimension of the peacebuilding processes – for example PRIOs research on the gendered aspects of DDR processes in Colombia and Cambodia – and highlighted as well as projected these issues for Norwegian policy makers, implementing NGOs, specific countries and regions (notably Sudan, Sri Lanka and Sub Saharan Africa) as well the international community involved in the peace processes. In many ways it is a good case of how the Norwegian Model, when implemented can form close collaboration between NGOs, research institutions and regional

and international organizations. However successful in shaping Norwegian policy it is a rather limited group of researchers working on gender in peace-building and it has yet to become a general issue in peace-building efforts. It is still to a large extent a policy issue that has yet to be implemented in actual situations on the ground.

The effect of these R&D activities is clear on the policy level. It is evident that the conceptual work has influenced Norwegian Policy makers as well as UN organization. The active role of Norwegian policy makers in adopting the UNSC resolution, the formulation of the Norwegian action plan to this end, and ongoing related research activities to help the process, bear witness to a long term engagement to this cause. It has also been noted that a few Norwegian NGOs have been quite instrumental in their effort of implementing the UNSC resolution on the ground. In Norway the activities has also fostered a network "Forum Norge 1325" that apart from bringing together research institutions and NGOs is intended to serve as a watchdog for the governments policy and practice in the implementation of 1325.

Throughout the implementation process there appears to be a good communication between the researchers and significant partners in MFA. The research topics have had clear policy relevance and the result is seen to have significant policy impact as well as some lesser impact in the day to day practice of the NGOs working on the ground.

## 4 Conclusion and Recommendations

### 4.1 Strengths and Weaknesses

Norwegian research and development within the realm of CPPB since 2002 has achieved a high degree of maturity, providing a unique and recognisable additional resource for the MFA, with evidence of a sustainable and diverse funding regime, strong international connections, and the ability to generate areas of new expertise and innovative research.

The research and development outcomes achieved by the institutes are:

1. the development of research capacity (in Norway and among non-Norwegian partner institutions),
2. the provision of factual background information to the MFA and partners,
3. conceptual developments that lead to a re-framing of policy, including critical analysis and learning oriented evaluation,
4. networks and contacts that can be used for less formal (so-called Track II) negotiations.

Generated by a comparatively small community of researchers and diplomats, it has managed to avoid any visible conflicts of interest in its funding mechanisms, or the creation of a community of professionals living off the rent of increased funding and interest in the Norwegian model.<sup>81</sup> It is in fact a competitive research environment, producing important conceptual shifts, such as in the area of gender or in the engagement of political Islamic groups. It provides the MFA with a ready pool of senior analysts to complement its information collection and support conferences and networks of useful contacts on the ground.

The evaluation finds that since 2002 there has been a shift in the focus of research funding from support for research in the socio-economic (developmental) field, to support for research on political, security and reconciliation topics, and to multilateral intervention. The limited level of funding on development-related CPPB research activities is more than matched by the increased levels of funding for the new agenda.

Out of 305 research projects in the area over the 2002-2007 period among the four institutes, 76 addressed political issues, while 69 addressed security related topics. In financial terms, 27% of the funding was for security related work (where work on landmines and unexploded ordnance occupied a significant place), 23% on justice and reconciliation, and only 18% on socio-economic issues. The remaining 32% was divided between research on political, conceptual and international organisations. This illustrates the increasing need for the research institutes to cover an expanding CPPB agenda that cuts across traditional diplomatic, humanitarian and development boundaries.

CMI dominates the field for political and conceptual research, NUPI in security issues, Fafo in socio-economic issues, while PRIO has maintained a balance, with a recent emphasis on the conceptual aspects.

Most significantly the MFA's Peace and Reconciliation Unit has increased the level of short term applied research funding to three of the four institutes.<sup>82</sup> Long term funding largely remains the purview of the Research Council of Norway. In light of the increasingly globalised nature of CPPB research, a significant amount of CPPB research funding also goes to non-Norwegian institutions – including for certain cases such as Sri Lanka, Burundi or Haïti where Norway has gained a high profile.

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<sup>81</sup> For contrary views on the relationship between the government and the research institutes in the development, formulation and implementation of Norwegian foreign policy, see the various article by Øyvind Østerud in *Aftenposten* and *Nytt Norsk Tidsskrift* and Terje Tvedt's monograph on the 'Norwegian Model'.

<sup>82</sup> The exception is CMI which to date has had limited success in accessing PRU funding.

Moreover, over the period 2002-2007 there has been an important shift of emphasis, in that research capacity is now treated as an important and singular asset of the Norwegian model. This shift has a varied effect on how the Ministry relates to the institutes.

An earlier evaluation report<sup>83</sup> had spoken of a 'strategic deficit' in conflict prevention and peace-building. The R&D commissioned in the period under review has, in terms of its outcomes, become focused on the delivery of information in a rapid and applied manner. It has not generated this strategic focus. Researchers themselves often do not recognize their work as falling within the category of conflict prevention and peace-building. Characteristically, this evaluation stumbled on the very different meanings used, which affects the interaction with the MFA.

One consequence of the emerging approach to R&D is characterized as 'use of the researcher, rather than the research'<sup>84</sup>. It is the merits of the specialists available, the needs of the situation, and the preferences of the MFA, that determine the outcomes. Many respondents in the MFA refer to the superior value of short briefings, workshops and contacts, with the constraints of time and resources leading to a neglect of deeper, long term research and conceptual innovation. Instrumental objectives have acquired a primacy over conceptual ones for the MFA.

A second consequence, and one welcomed by the institutes, is a proliferation of funding mechanisms. The downside of this is the existence of highly differentiated selection criteria for research, and a low emphasis given to capitalising on previous research and to lesson learning. Many respondents report a lack of transparency in funding decisions, and limited collaboration and co-operation among the different stakeholders. The allocation in the Research Council of Norway in CPPB is very recent and spread over many years and has consequently not yet yielded outcomes.

A third consequence of this shift is the recognition that there is now an 'international market' in CPPB research<sup>85</sup>. The Ministry of Foreign Affairs makes recourse to this R&D capacity by assessing the comparative advantage of Norwegian research in relation to resources abroad. This entails an internationalised research and policy environment in which the four institutes compete for both funding and the generation of knowledge-based insights, ideas and practices.

The changes in funding streams have produced uneven impact. It has allowed some of the institutes and senior researchers to combine long term academic research with short term consultancy; policy briefs with peer reviewed research. The practical focus has improved the standards of research, enhancing its international standing. In others, the limited access to and success in gaining long term funding has necessitated recourse, particularly among junior researchers, to short-term, largely consultancy base projects. The institutes have in turn developed individual profiles and core bodies of expertise.

The result can be described as the development of four adaptations on the part of each of the four institutions:

- CMI: an emphasis on maintaining a 'critical voice' in CPPB policy debates and reliance on funding from the RCN;
- Fafo: emphasis on its role in providing solid, reliable, empirical evidence, but increasingly dependent on the MFA;
- NUPI: reliance on a few high profile, high revenue programme while trying to develop a more balanced CPPB profile, but struggling to establish overall coherence;
- PRIO: pursuit of conceptual innovation, as a basis for academic and financial independence.

This institutional capacity is able to operate effectively when a strong direction is provided from the political level, and partnerships are struck with personnel within the institutes.

It has not been possible to do a cost benefit analysis, nor to do comparative analysis between institutions. This is due to the fact that the institutes use the funding from the Ministry and Research Council to complement what is at times ongoing research, or to fund projects which

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83 'Norwegian Peace-building Policies: Lessons Learnt and Challenges Ahead', Evaluation Report 2/2004, Wenche Hauge, commissioned by the Evaluation Department of the MFA.

84 Interview with Mr Asbjørn Løvbræk, Norad.

85 Interview with Jon Hanssen-Bauer



do not fall entirely within the scope of CPPB. They also occasionally use different names than the ones used by the funding source. The projects themselves operate with widely differing ends in diverse settings, which means that the outcomes cannot be compared.

However the fragmentation into research specialisms, the absence of a clear conceptual framework on CPPB, and a research agenda increasingly influenced by the short-term less predictable needs of the MFA, means that there is central difficulty to maintain focus for CPPB research. The slow nature of the long term research commissioned by the Research Council of Norway means that the dialogue there remains limited, and the difficulty to find interlocutors on research content do not bode well for future developments in the current configuration.

This lack of focus may not appear to be an issue from the point of view of the institutes. They perceive it as favourable to the flexibility inherent in the Norwegian model. However, it does not serve fully the long-term interest of this research field, or more specifically the peace-building work of the MFA.

Apart from an increased competitiveness in commissioning for the institutes (especially relevant in the growth of a single international market for research), there could be greater efficiency from the point of view of the MFA, as the current configuration is not entirely conducive to the targeted use of resources to support the impact of foreign policy – the ultimate rationale for the funding provided.

Increasing funding has been combined with greater divergence of aims among funding windows. By not reframing and sharpening the outcomes in terms of transparently defined contributions to specific countries, or of cultivating Norwegian and foreign capacities, the MFA has contributed to the isolation of research initiatives.

The lack of definition of the nature of CPPB research, and the tension between long-term and short-term approaches, has an indirect impact on the ability of the research community in Norway to develop a consistent research stream on CPPB, and to generate a sustainable CPPB research capacity.

This leads the MFA to be increasingly reliant on CPPB research carried out by non-Norwegian institutes and researchers. It impedes the development of organic links to research in conflict affected countries. In the cases observed here, in Sudan, Palestine, Sri Lanka, and in Training for Peace and gender policies, R&D institutes are better able to achieve impact when working with local partners.

The evaluation hence finds that there is a tension between the stated aim of building Norwegian research capacity in support of CPPB, and the expansion of the agenda, which tends to emphasise very different types of research and becomes primarily focused on the dialogue between the MFA and the individual institutes rather than on the conflict and peace dynamics around the world.

The issue is not so much the role of different funding bodies which serve their role appropriately, even if too much in isolation, but rather the lack of recognition of CPPB as the central figure of the Norwegian involvement in peace and reconciliation, and an unclear meaning to what this model entails.

This is a time when conflict situations in a globalised world involve wider forms of influence from non-state actors and private economic interests (and growing importance given to lateral inter-connections through multiple facets of interaction) and when micro-level issues may come to generate strategic effects. This coincides with increased pressures of time and on the attention on MFA officials, due to the nature of foreign policy work in Norway, and the roles which the diplomatic corps and foreign policy actors are often asked to play.

In relation to the complexity of conflict, R&D is clearly an important tool which deserves the status it is given in Norway. The diversification and expansion of the research field into political and security sectors promise to introduce a new dimension to the contributions of the institutes, and a sensitive role in terms of transparency and understanding of local situations.

There is clear reluctance, on the part of the institutes as well as on the part of the MFA, to develop a framework policy either for R&D or for CPPB. The RCN has itself not sought to understand CPPB as a unified focus of research. Instead many respondents have identified the non-determination, informality and flexibility of the existing arrangements as an asset. Some have even said that eliminating this room for manoeuvre would be counterproductive for R&D, with possible loss of competition or independence.

The evaluation concludes that there is more than one way forward. This evaluation points to an opportunity for the parties to discuss the options and reach a clear decision about the long range focus. The current approach is informally structured and runs the risk of being non-strategic as volumes increase. It serves *ad hoc* and important interests, but does not build an interactive corpus of learning and limits the extent of policy influence. In relation to the complexities of conflict and CPPB this may be a disadvantage.

## 4.2 Recommended Adjustments

Four broad themes on change arise regarding the current status of CPPB research and development in relation to instrumental and conceptual objectives of the MFA, but also in relation to the research capacity of the institutes, and the interest of beneficiary populations in terms of the prevention of future conflict:

- We note significant competence and quality but also a limited capacity for dialogue and the harmonisation of different approaches, accompanied by increases in research funding;
- CPPB is becoming an established field of research and the Norwegian model is proposed as a viable international profile for Norwegian foreign policy, unifying in a single coherent scheme a wide variety of actors;
- R&D in CPPB is now an international endeavour, but remains surprisingly oriented to the Norwegian scene in terms of its debates and adjudication of interests;
- Reflecting the lack of consensus on objectives, CPPB research remains evaluated in a variety of ways, and in many cases is not seen as a unified field.

Research is actively supported by the Ministry of Foreign Affairs and by Norad, leading to high quality literature and expertise. However, the capacity for harmonisation and mutual dialogue between the Ministry and research institutes has decreased while funding has increased. Peace-building research is not unified in its focus, and capacities are not cultivated, especially those of research partners abroad which have proved critical in ensuring influence. This unique blend of diplomatic initiative and quality research would gain from the establishment of a coordination regime.

The MFA should in essence create a **broad regime** for the MFA, RCN and for those institutes interested in CPPB, materialised in meetings and defined documentation, in which short-term priorities of R&D would be better supplemented by the commissioning bodies (including objectives formulated in terms of outcomes, selection criteria, and possible synergies with non-Norwegian institutions). The intent should be for the MFA to strategically build up and sustain the CPPB research environment in Norway, in Europe and in developing partner countries in a manner that combines flexibility and long term planning.

More specifically, three developments should take place:

1. *The MFA* should **publish explicit objectives in terms of outcomes** which Norwegian conflict prevention and Peace-building requires, with greater emphasis on capacity building in Norway and abroad, and priorities in the type of country or thematic factual information needed (two of the current key outcomes of research and development identified by this evaluation). This prioritization of areas that the MFA wants covered in research projects could be officially published (without being linked to calls for proposals) and aligned to the list of countries in which Norway wishes to invest resources, be they developing countries or not. This would provide researchers with medium to long term areas of interest, thematic priorities, and indications on the necessary timing of outputs, and to a certain extent contribute to the greater 'arm's length' distance between researcher and user, advocated by the above mentioned evaluation on development research in Norway<sup>86</sup>.

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<sup>86</sup> "Norwegian Development Research – An Evaluation", 2007.



2. Since research is funded by the MFA and concerns international relations and country situations, the research programmes and projects of the institutes should systematically design and implement strategies of **national capacity building** with suitably qualified partners in other countries, which would increase the extent and duration of Norwegian R&D influence internationally. This should become more of an R&D policy priority, facilitated in certain cases with funding by Norwegian embassies,<sup>87</sup> and lead to something like an actor-focused policy in CPPB, aligned to conflict analyses and to the value foreign researchers place on having access to internationally recognised forums of debate and review. While not wishing to transform the research institutes into the training arms of Norwegian ODA, the institutes should seek to further develop strategic research partnerships with southern researchers and research institutes so as to build research capacity and generate alternative perspectives/knowledge on CPPB issues and countries where Norway seeks to play a role.
3. The Ministry of Foreign Affairs and especially Norad should develop a transparent **knowledge management framework** commissioning and funding R&D specifically for CPPB. This would allow individual researchers and research institutes to plan long-term and to build research capacity that is tailored to meet the needs of the future. In dialogue with the research institutes, this would include the development of theoretical schemes, events and seminars, and an evaluation framework tied to the emerging OECD Guidelines, to guide the work of researchers in assessing the quality of their work. As part of this the research institutes should develop more collaborative, genuinely strategic research programmes that take advantage of their respective areas of expertise and competence in developing conceptual, thematic and country specific research outputs. This would contribute to the ability of researchers to maintain a long-term focus, marking a recognition that capacity building represents the bottleneck in Norwegian research<sup>88</sup>. In support of this knowledge management framework, Norad should consider moving beyond merely technical oversight of research projects to developing some capacity to assess the substantive content of research and steer it towards appropriate and relevant users within the Norwegian foreign policy machinery.

This coordination would act as a nexus of information, dialogue and ideas, but without creating constraints on either side. It would not entail additional policies, or establishment of problematic institutions, but would promote an enhanced synergy between the research and policy components of Norwegian efforts in support of conflict prevention and peacebuilding.

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<sup>87</sup> There are interesting examples of this already happening in India

<sup>88</sup> *Ibid*

# Annex 1: Evaluation Terms of Reference

## 1 Background, purpose and scope

Conflict Prevention and Peace-building (CPPB) research has long traditions in Norway. Researchers play an important role in the so called “Norwegian model” which stresses the importance of knowledge and networks of researchers and NGOs as instruments for conflict resolution. Norwegian researchers and research institutions have also, on several occasions, played key roles as initiators and facilitators of Norwegian involvement in peace processes.

The Ministry of Foreign Affairs (MFA) is an important source of direct and indirect funding for research, dissemination and networking activities of the Norwegian research institutions working on CPPB issues. Direct support has been in the form of R&D (Research and Development) commissioned by MFA, and at present this is being routed through MFA’s Section for Peace and Reconciliation under its grant scheme established in 2005 with a budget of NOK 20 million (NOK 30 million in 2006). Indirect support on the other hand has been through Norad, which is currently financing the Norwegian Research Council (NFR), “Poverty and Peace” research program.

There are numerous theoretical frameworks and/or models that can be used to understand the rationale behind MFA’s support to knowledge creation and dissemination activities. One explanation can be made in terms of the utility of the research outputs for MFA and society at large. Caplan<sup>89</sup> distinguishes between two main categories of knowledge utilisation: *Instrumental* use – decision-making based on empirical knowledge or data – and *conceptual* use – i.e. the archival aspect where information is acquired and organised into coherent theoretical schemes which influences policy makers, and brings about gradual shifts in their awareness and reorientation of their basic perspectives. Applying this approach, firstly, the R&D activities financed by the Ministry should have instrumental or operational relevance; i.e. it should be applicable to real problems and situations confronting the policy makers. Secondly, the R&D activities should be of conceptual relevance; which would imply that it results in strengthening of Norwegian knowledge base on CPPB issues which can eventually be expected to inform public debate, and provide deeper understanding of the issues, thereby helping the Ministry and its partners in CPPB activities in the long-term. Given the multidimensional nature of CPPB activities, efficiency and effectiveness considerations would call for close collaboration between Norwegian research institutions and researchers, and their cooperation with leading counterparts both in North and South for achieving the instrumental and conceptual objectives in this context.

The **main objective** of this evaluation is to assess to what *degree* and in what *manner* the R&D activities being supported by MFA have/are resulting in outputs and outcomes, that promote *instrumental* and *conceptual* utility objectives underlying MFA funding of CPPB research activities; and in case there are shortcomings, how can these be rectified.

Of interest is not only, *what* outputs are being produced but also *how* these outputs are resulting in outcomes and influencing public policy formation and implementation. Included herein is the assessment of the influence of the outputs on MFAs *operational decision making*, and its deeper understanding of the issues and *organizational learning* that has improved, or can eventually be expected to improve, its practice in the long-run. Assessment of the influence of the MFA funding on competence development at the research institutions is of particular importance. A *comparative analysis* of the performance of the alternative research organisation model, and direct and indirect channels of funding will be undertaken where relevant. *Recommendations* to rectify shortcomings, when identified, will be an important part of this analysis.

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89 Caplan, Nathan. “The Two-Communities Theory and Knowledge Utilization”. *American Behavioral Scientist*, 22 (3): 459-470 1979

The main users of the findings of the evaluations will be MFA and its partners, and the beneficiary institutions.

In this context, Ministry of Foreign Affairs *MFA* refers to its political leadership, its officials, the Norwegian Embassies and Norwegian Agency for Development Cooperation Norad. The *Partners* include MFA's allies and mediators in its international CPPB activities, and the Norwegian Research Council. The *beneficiary institutions* covers the research institutions receiving direct or indirect funding from MFA.

The evaluation will serve **three main purposes**:

- At the project level, it will provide inputs that would help MFA, and the beneficiary institutions to design research, and associated dissemination and networking activities that directly conform with the objectives of MFA's funding programs.
- At the program level, it will provide lessons to assess the performance of different research organisation models, and funding channels for attainment of the instrumental and conceptual-use objectives of MFA's program.
- At the organisational level, it will provide lessons that can feed into MFA's decision making processes, in order to make sure that its funding initiatives perform in line with the underlying intentions and achieve their objectives.

This evaluation will focus on MFA supported CPPB research, dissemination and networking activities at four beneficiary institutions, namely CMI, NUPI, PRIO, and FAFO; the four major recipients of Ministry's funding. It will cover the period 2000 - 2007, with a special emphasis on the period after the establishment of the new grant scheme in 2005.

## 2 Approach and methodology

Conflict prevention and Peace-building are multidimensional processes that occur in open systems where many different actors are involved, and it is difficult to establish a causal linkage between CPPB research activities and their results. Linear, cause and effect thinking limits the understanding of such processes and it is difficult to isolate impacts of CPPB research activities from other factors influencing these processes.

One methodological alternative to understand the casual linkage between CPPB research inputs and their impacts is to think in terms of mapping process involving several different phases through which the evaluation object is progressively limited and assessed. The method is inspired by the so called "outcome mapping" method<sup>90</sup> where the main goal of evaluation is to focus on understanding *influence of outcomes* of the research activity on the behaviour of the users of research outputs. The basic premise is that although outcomes enhance the possibility of development impacts, the relationship is not necessarily one of direct cause and effect. Unlike a "top-down" approach looking at change in conditions and then establishing what parts of this change could be attributed to research activities, the outcome mapping method starts from the opposite end: It is a more modest approach working "outwards" or "upwards" from supported R&D efforts, and mapping different levels of behavioural influence.

Following this approach, the aim of the evaluation would be to map inputs, outputs, outcomes, and influence on the behaviour of the beneficiary institutions, and the user organizations with which the research outputs anticipate opportunities for influence and use.

Successful influence presumes that there is a common understanding between the beneficiary institutions and MFA with respect to the intentions and goals of the research programs, that the research project are explicit about the utility of the research activities with respect to the program goals and that the same is reflected in the choice and implementation of activities included in the projects. Thus the proposed evaluation is expected to cover following elements:

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90 Sarah Earl, Fred Carden, and Terry Smutyllo: *OUTCOME MAPPING Building Learning and Reflection into Development Programs*, 2001

1. Analysis of the *goals and intentions* of the MFA's support programs, and the beneficiary institutions, to examine the level of common understanding about the instrumental and conceptual-use of planned research, and the extent to which these goals have been operationalised in the R&D activities included in the supported projects. This analysis will include studies of project portfolios triangulated with semi-structured interviews with MFA personnel, beneficiary institutions and participating researchers.
2. Assessment of the *relevance* of the supported R&D outputs (journal articles, books, reports, seminars and research networks, etc.) for, the operational and organisational learning needs of MFA and its partners, and for research competence development on CPPB issues at the beneficiary institutions. This assessment should be based on semi-structured interviews with personnel at MFA and its partners, who are the immediate users of the research outputs, and the management and researchers at the beneficiary institutions. Interview data should also be triangulated with priorities stated in policy documents.
3. Assessment of the *provision* of outputs from supported R&D activities to MFA and its partners in the CPPB activities. Included herein is the assessment of availability, accessibility, adequacy, and timeliness of the outputs delivered from the R&D activity for MFA and its partners, and implications if any, for the integrity and independence of research outputs, both in relation to MFA, and the contemporary public debate on the issues. Routines and mechanisms at MFA and beneficiary institutions to make corrections in case deliverables are not inline with the plans should also be analysed. Important sources here will be information about the frequency, form and content of the outputs, triangulated with interviews with personnel at MFA, its partners and beneficiary institutions.
4. Assessment of the *utilisation* of the R&D outputs in the operations of MFA and its partners. Important sources here would be interviews with mediators, researchers and MFA personnel, as well as desk studies of research reports and case documents supplemented by other data such as relevant media citations of the researchers and their host institutions, user participation in seminars and networking activities, joint research work if any, and exchange of personnel between beneficiary institutions and users,
5. Assessment of *influence* of R&D activity and outputs on competence development on CPPB issues at the research institutions, and policy thinking and practice at MFA and its partners. Information about the current influence, or work-in-progress that is likely to have concrete influence on the Norwegian engagement in CPPB activities should be documented where relevant. This part of the evaluation should build on semi-structured interviews with beneficiary institutions and policy makers on different levels. Desk-studies of case files and policy documents could also be considered in order to detect influence on current or planned practice at MFA and its partners. This information should be supplemented by data related to scholarly publications and activities at the beneficiary institutions.
6. Analysis of the *sustainability*; the likelihood of continuity of the CPPB related R&D activity, in the absence of the MFA's support to the beneficiary institutions. Important objective here would be to assess factors such as the institutional commitment to CPPB research and the extent to which CPPB research is mainstreamed into the research priorities of the beneficiary institutions, "market" for commissioned CPPB research and implications for independence and integrity of research, and capacity development at the beneficiary institution. This part of the evaluation could build on an analysis of the project portfolios and interviews with management and researchers at the beneficiary institutions and MFA personnel.

### **3 Evaluation questions**

The overall question about the utility of R&D activities for development of Norwegian knowledge base, and policy making and participation in CPPB activities can be broken down into several aspects structured under following headings. A *comparative analysis* across funding modalities (direct and indirect channels), and research models (multidisciplinary, national and international cooperation) will be undertaken where relevant.

### **3.1 Intention**

*Evaluation question: What are the general and specific objectives of the projects evaluated and do they explicitly include a focus on instrumental and conceptual use of the proposed research?*

The evaluation should consider the following issues:

- consensus and common understanding between MFA and the beneficiary institutions as to the instrumental and conceptual-use of R&D activity funded by MFA;
- communication and cooperation between researchers and policymakers (planners, politicians and mediators) during project development;
- extent of operationalisation of instrumental and conceptual objectives of R&D in the activities included in the supported projects;
- the mechanisms through which projects intend to contribute to program objectives and the targeted policy level (institutional, national or international) ;
- extent the projects are multidisciplinary and coordinated across institutions, and related research programs.

### **3.2 Relevance**

*Evaluation question: Are the R&D efforts consistent with the needs and priorities of policy makers and the research institutions?*

The evaluation should consider the following issues:

- different types of R&D activities (research, seminars, scholarly publications, popular dissemination and participation in public debate, consulting etc.)
- different kinds of “policy makers” (political leadership, officials at MFA, mediators, co-operators in CPPB activities etc.)
- different types and extent of competence development at the beneficiary institutions

### **3.3 Provision**

*Evaluation question: What is the quality of provision of R&D outputs from the beneficiary institutions to MFA and its partners?*

The evaluation should consider the following issues:

- types of outputs that have been made available to the users (e.g. articles, reports, user seminars, workshops and popular dissemination of research);
- accessibility of the outputs to the MFA staff and their partners (e.g. executive summaries, language, in/house seminars at MFA, consultations) ;
- extent of coordination in dissemination activities among Norwegian research institutions working on CPPB activities;
- communication and cooperation between researchers and MFA and its partners during and after completion of the research process;
- ethical issues if any, with respect to independence and integrity of research and policy utility
- mechanisms practiced by the institutes to ensure quality of deliverables (peer reviews/ incentives for publications in refereed media and popular dissemination, publication open to public scrutiny, etc).
- routines and mechanisms at beneficiary institutions to make corrections in case deliverables are not inline with the plans, and practice with respect to use of these mechanisms.

### **3.4 Utilisation**

*Evaluation question: To what extent and in what way the R&D outputs have been utilised by the MFA and its partners engaged in CPPB activities?*

The evaluation should consider the following issues:

- extent of the participation of MFA and its partners in activities involving transfer of knowledge from the beneficiary institutions;
- the routines and mechanisms at MFA to make corrections in case deliverables are not inline with the plans and to what extent have these mechanisms been used by MFA in cases where there was divergence from plans;



- personal motivation and resources at the disposal of MFA personnel and their partners engaged in CPPB activities to utilise research outputs;
- use of research findings or perspectives of researchers in actual CPPB activities of MFA and its national and international partners (mediators, collaborators, stakeholders from the recipient countries)
- incentives and constraints influencing absorption capacity of the users.

### 3.5 Influence

*Evaluation question: To what extent and in what way have R&D outputs influenced competence development at the research institutions, and policy thinking of MFA and its partners engaged in CPPB activities?*

The evaluation should consider the following issues:

- levels and actors targeted for influence (e.g. individual, organisational, national – public debate. Political leadership, officials, NGOs, at national or international levels);
- channels of influence ( policy documents, advisory assignments, networks – formal or informal)
- influence of research results on public debate;
- influence on competence development at the beneficiary institutions; positive and/or negative impacts;
- extent of policy influence achieved (e.g. influence on policymaker thinking, agendas, declarations, networks, media citations);
- concrete influence on CPPB activities of the targeted users; positive and/or negative impacts;

### 3.6 Sustainability

*Evaluation question: What is the likelihood of the continuity of the CPPB related R&D activity independent of the direct or indirect support from MFA to the beneficiary institutions?*

The evaluation should consider the following issues:

- additionality of the MFA funding on CPPB research at the beneficiary institutions;
- CPPB staff (size, composition-own versus associated staff, gender, new recruitment);
- institutional commitment and mainstreaming of CPPB research, and integration with other related research programs, and institutions;
- Strategic initiatives for institutionalisation of CPPB research;
- “market” for commissioned CPPB research and development in non-MFA supported CPPB research, dissemination and networking activities;
- implications of “market driven” CPPB research, for independence and integrity of research, and long-term capacity development at the beneficiary institution.

### 3.7 Field Studies

Field studies to two countries where Norway and the beneficiary institutions have been involved in CPPB activities are envisaged for this evaluation. Choice of the countries will be made in consultation with the client during the inception phase of the evaluation.

## 4 Choice of the evaluation team

It is required that neither the consultants, nor any of the members of the evaluation team have any conflict of interest in undertaking this evaluation.

The main selection criteria will be the design and methods proposed, the experience and competence of the team and the team leader, the availability of team members, price and the quality assurance system. The evaluation team should cover the following competencies:

*General qualifications:*

- Experience as team leader for multi disciplinary teams (for the Team Leader).
- Experience as team member in multi disciplinary teams.
- Higher relevant academic degree.
- Fluent in English.



*Specific qualifications for all team members:*

- Methodological competence
- Evaluation experience
- Knowledge of peace and reconciliation issues

*Specific qualifications to be covered by at least one of the team members:*

- Research competence at the doctoral level
- Ability to read Norwegian

Details about the selection criteria are outlined in the invitation for tender.

## 5 Budget, Time plan, and Reporting

The project is **budgeted** with a maximum input of **25 person weeks**

*The **time-plan** for the project is as follows:*

ACTIVITY	DEADLINE
Announcement of the tender	4. July, 2007
Deadline for clarifications related to the tender documents	12:00 hours, 20 Aug 2007
Deadline for submission of tenders	12:00 hours, 24 Aug 2007
Validity of the tender	3 months from the date of submission
Opening of the tender	13:00 hours, 24 Aug 2007
Notification of the award decision	4 Sep. 2007
Contract signature	14 Sep. 2007
Inception report	Within 3 weeks after signing of the contract
Draft final report	19 Nov 2007
Final report	14 Dec 2007
Publication, distribution	Jan 2008
Presentation seminar	Jan 2008

During the course of the evaluation the consultant will participate and report work-in-progress at the meetings/workshops arranged by the Evaluation Department (EVAL), Norad.

Project reports and final dissemination of the results will be in accordance with the deadlines set in the time-plan for the project.

The **inception report** will be delivered in electronic form in accordance with the specified time schedule, and should include a detailed description of the methodological design, analytical approach, methods of investigation, indicators to be used, data collection, and data sources for the study. The inception report will be based on desk review of documents and relevant literature. It will be discussed with the team, and members of the project reference group, before approval by EVAL.

A **draft final report** will be delivered in electronic form in accordance with the specified deadline for feedback from EVAL, the reference group and other stakeholders involved. The feedback will include comments on facts, conclusions, recommendations and lessons learned. The final report should reflect these comments and acknowledge any substantial disagreements.

The **final evaluation report** is to be submitted to EVAL by the specified deadline. The final report shall be delivered both in electronic and paper form in accordance with EVAL's guidelines given in annex 1. It shall be an analytical report written in English not exceeding 40 pages (excluding annexes), detailing findings, conclusions and recommendations. The structure of the report should facilitate assessments of the key evaluation questions. Any limitations of methods and findings should be made explicit in the report. The report should also discuss possible lessons that can be drawn from the findings and reflect on possible adjustments to current practice and policies. Annexes should give more detailed information on the methods used in the evaluation (including questionnaires / interview guides).

**Publication and distribution** of the final report will be undertaken by EVAL. Consultant will participate in the **seminar for dissemination** of the final report of the project.

## **6 Evaluation principles, management and support**

The basic DAC-evaluation principles of independence of those responsible for the design, and utilisation of evaluators external to the donor and implementing organisations will be applied. Responsibility for the content and presentation of the findings of the evaluation rests with the evaluation team. The views and opinions expressed in the report will not necessarily correspond to the views of the Norwegian Government or the implementing organisations.

Three sets of roles are contained in the evaluation process: the Evaluation Management, the Evaluation Team, and the Evaluation Reference Group.

Role of the Evaluation Management:

The Evaluation Management will:

- Evaluate the tenders and select the evaluation team;
- Ensure quality throughout the evaluation process;
- Comment on and approve the draft version of Inception and Evaluation report, including choice of methodologies;
- Provide feedback to the Evaluation Team and the Reference Group;
- Ensure that relevant authorities are aware of the evaluation and fully involved and available to contribute to the evaluation;
- Chair meetings of the Reference Group;

Organise the presentation of the evaluation results, and assist with necessary follow-up of the evaluation.

Role of the Evaluation Team:

The evaluation is carried out through a contract with a research institution/consulting company. The evaluation team will be led by an experienced team leader. The evaluation team will:

- Carry out the evaluation as per ToR;
- Be responsible for the findings and conclusions of the evaluation;
- Report to the Evaluation Management, be in regular contact, coordinate mission timing and key events with the Management and seek its advice when needed;
- The Team Leader is responsible for the team's reports, and for the organisation of the work of the team;
- The Team Leader will participate in workshops and Reference Group meetings as required.

Role of the Evaluation Reference Group:

A reference group composed of individual resource persons, researchers, and representatives of the relevant users will be established by EVAL. The tasks of the members of the reference groups are to:

- Advise on factual and methodological issues and provide input to the draft evaluation approach (Inception Report);
- Provide comments to the draft versions of reports;
- Support the implementation and the follow-up of the evaluation.

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Willy Egset and Lena C Endersen, *Paying A Price: Coping with Closure in Jericho* (FAFO Report 368, 2001)

Yousif Takana, *The Politics of Local Boundaries and Conflict in Sudan: The South Darfur Case* Sudan Working Paper 2 (CMI: 2008)



## Annex 3: List of Persons Met by the Team

Affiliation	Name	Area
<b>CMI</b>		
	Are Knudsen	Sudan, Middle East
	Gunnar Sørnbø	Sudan, Middle East
	Arne Strand	Afghanistan
	Abdel Ghaffar Mohammed	Professor, Khartoum University
	Anne Sofie Roald	Researcher, Politics of Faith
	Ingrid Liv Tønnessen	Researcher, Sudan & Gender
	Ingrid Samset	Researcher, Peace, Conflict & State
<b>FAFO</b>		
	Jon Pedersen	FAFO director
	Mark Taylor	Deputy Managing Director
	Age Tiltnes	Researcher, Middle East
	Gro Hasselknippe	Researcher, Middle East
<b>NUPI</b>		
	Eli Stamnes	Training Civilian Crisis Management
	Helene Revhaug	Dept of Security & Conf Mngt; Head, TFP programme
	Kari Karame	Dept of Dev Studies; Sudan & ME - gender
	Kari Osland	Researcher on Sudan
	Andreas Vogt	Former director of TFP
	Henrik Thune (on secondment to MFA)	Dept of International Politics
<b>PRIO</b>		
	Stein Tonnesson	Director
	Damian Laws	Administrator
	Åshild Kolas	Head of Peace & Reconciliation Unit
	Lars Even Andersen	Controller
	Hanne Roislien	Researcher Middle East
	Endre Stiansen	Researcher Sudan
	Øystein Rolandsen	Researcher Sudan
	Are Hovdenak	Researcher Middle East
	Frida Ustvoll Nome	Researcher Middle East
	Wenche Hauge	Researcher Sri Lanka
	Kristian Harpviken	Researcher Afghanistan
	Kaja Borchgrevink	Researcher Afghanistan
	Hilde Henriksen Waage	Researcher Middle East
<b>Ministry of Foreign Affairs</b>		
	Henrik Thune	Adviser, Peace and Reconciliation Unit
	Bente Bingen	Senior Adviser, Peace and Reconciliation Unit
	Jon Hanssen-Bauer	Special Envoy/Ambassador Sri Lanka
	Kjersti Andersen	Assistant Director General
	Tor Gjerde	Desk officer, Palestine

Affiliation	Name	Area
	Ambassador Ragna Birk Lund	Special Ambassador on Children
	Ambassador Fritjof Johanssen	Norwegian Embassy, Khartoum
	Stein Erik Horjen	Norwegian Embassy, Khartoum
	Kjell Hodnebø	Special Representative for Sudan
	Grete Løchen	Deputy Representative, Office of Norway to the Palestinian Authority
	Guri Solberg	Office of Norway to the Palestinian Authority
	Anne Strand	Senior Adviser, Sudan Desk, Oslo
<b>Norad</b>		
	Balbir Singh	Senior Adviser, Evaluation Department
	Asbjørn Løvbræk	Gender & Democracy
	Stein Erik Horjen	Senior Adviser
	Randi Lotsberg	Adviser
	Henrik Thune (seconded from NUPI)	Technical Advisor
	Arve Ofstad	Special Adviser
	Carl Erik Schulz	Chair the Programme Board POVPEACE
	Live Torres	former Program co-ordinator POVPEACE
	Margot Skarpeteig,	Education and Research Department
<b>OTHER</b>	Hilde F Johnson	UNICEF (former Minister Norwegian Minister of Development)
	Dr Bruce Jones	Director, NYU Center on International Cooperation
	Prof Mats Berdal	Dept of War Studies, Kings College London
<b>PALESTINE</b>		
	Mai Jayusi	Muwatim, Ramallah
	Akram Alyssa	FAFO, Bethlehem
	Nabhan Khreich	Ex People-to-People, Ramallah
	Geroge Giacaman, Mai Jaiyusi, Akram Alyssa	At Muwatim offices, Ramallah
<b>SUDAN</b>		
	Gunnar Sørbø, Abdel Ghaffar Ahmed	Micro-Macro, Ahfad University
	Lona James Elia Samia Abd Alla Mohamed Ali Had Elzien M. E. S. Elabeid Naser El deen Alrahaima Kafi Tamer Mohamed Ahmed Wafaa Hassab Elrasoul Hashim Hisham Adam Ali	Micro-Macro, Ahfad University
	Abdel Basset Saeed	Micro-Macro, Khartoum
	Yusuf Takana	Micro-Macro, Khartoum
	Monzoul Assal	Micro-Macro, University of Khartoum
	Moussa Abdel	Micro-Macro, University of Khartoum
	Rasha Abdel Hafeez Suleiman Samah Hussein Azza Mustafa Babiker Zahir Musa Abdal Kareem	Micro-Macro Project, University of Khartoum
	Elfathi Al Siddiq	Undersecretary for the Ministry of International Cooperation

## Annex 4: Note on Methodology

### 1 Outline of the Two Main Methodologies

The ToR strongly recommended the use of the Canadian methodology of Outcome Mapping. Outcome Mapping is a methodology which focuses on networks of influence and actors, and has been widely promoted through seminars and the Outcome Mapping Community, to which the evaluation has subscribed. It is particularly apt in planning, self-evaluation, and the assessment of research programmes, especially for large, multi-faceted groups. It is useful for an emancipatory agenda in the sense that it focuses on the multidimensional nature of change, eschewing limited “cause-effect analysis”, to the benefit of a focus on partners.

However Outcome Mapping brings two specific challenges in relation to the study at hand:

- The first lies in the fact that Outcome Mapping is meant to be a three stage planning process (intentional design, outcome and performance monitoring, and evaluation) from programme inception onwards. Evaluation is difficult to reconstruct after the fact, when the activities to be evaluated have not taken Outcome Mapping into account. The design of Norwegian R&D in CPPB as we have reviewed it in the Inception phase is not directly structured or informed by an Outcome Mapping methodology.
- The second challenge lies in the need to relate Norwegian R&D to the effects of R&D outside the country, namely the issues to be addressed in conflicts, but also the objectives of Norwegian foreign policy. These issues and objectives are remotely linked to R&D in terms of behaviour change, meaning that the evaluation would risk remaining at the Norwegian level of analysis if it focused only on changes in behaviour as defined in outcome mapping.

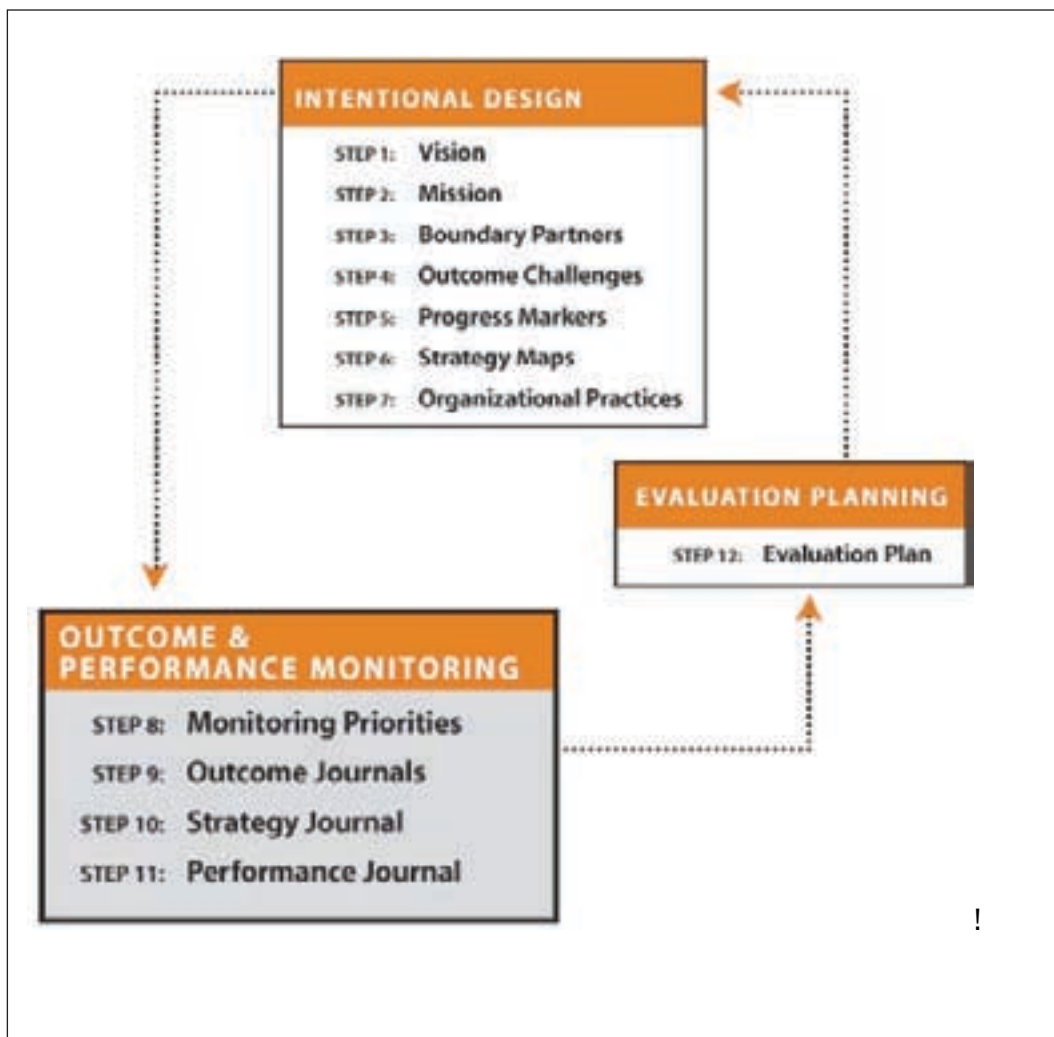
To overcome these two limitations of Outcome Mapping, and to capture the frequent occurrence of what we would call “unintentional design” (confluence of informal objectives and improvisation in funding systems and in conflict prevention), would have required more work than was possible in the time allocated. Instead the evaluation has applied another methodology, ‘significance mapping’.

The evaluation proposes to use the following definitions of key words, which are broadly aligned to the terminology of Outcome Mapping:

- **Output**: a product, usually a definable quantity (most easily monitored over time and space). This may in this case be a report, a conference, or the establishment of a stable relationship with key actors in a conflict.
- **Outcome**: the short or medium term effect of an output. These are changes in the behaviour, relationships, activities, and/or actions of a boundary partner that can be logically linked to a program (although they are not necessarily directly caused by it).
- **Impact**: the intended or unintended consequences of the outcome. The impact of an outcome can be verified in terms of the relevance of an outcome to an issue area (or priority sector, for example the police force in a conflict situation), the extent of the effect of this outcome on that issue (for example the numbers of police force personnel exposed to that influence) and finally the duration of that influence (less than a year, recurrent, many years, extending after the end of a programme, etc...).

## 2 Outcome Mapping Methodology

As noted above, Outcome Mapping is a relatively new approach to project design, monitoring and evaluation. The overall conceptual framework is presented in the diagram below.



Outcome Mapping relies on defining seven key elements listed above under Intentional Design. As a result of the limitations noted above and the need to ‘reconstruct’ the intentional design of Norwegian R&D in CPPB, this evaluation will focus on the first five elements.

Drawing on existing documentation and from interviews, the evaluation will spell out the vision (roughly equivalent to R&D and foreign policy objectives), the mission (roughly: the intervention strategy or programme theory), the boundary partners, the outcomes, and the progress markers.

These will then be linked to a document, which will be placed in appendix to the report, spelling out the performance priorities and constructing an outcome journal. Although Outcome Mapping methodology is more detailed in its scope, we will concentrate on the indicators of changes of behaviour which have indeed occurred.

An example of what this could potentially look like is described in the following hypothetical case:

**Outcome Challenge:** The program intends to see academic researchers that recognize the importance of, and are engaged in, the planning of conflict resolution activities in partnership with others in their region. These researchers have gained the trust of other political actors in the network and the recognition of government officials so that they can contribute

constructively to debates and decision-making processes. They are able to clearly plan and articulate a vision of how peace can be spread and goals that are feasible in their context and needs. They call upon external technical support and expertise as appropriate. They act as champions for model concepts in their institutions and motivate others in the partnership to continue their collaborative work.

<b>EXPECT TO SEE IN RESEARCH INSTITUTIONS</b>		<b>WHO?</b>
000 Degree of achievement	1. Reviewing and developing the state-of-art in the field of CPPB	Researchers
000	2. Articulating a vision for CPPB that is locally relevant	
000	3. Promoting the CPPB concepts and experiences with researchers to assure scientific quality.	
000	4. Contributing minimum human and financial resources necessary to get CPPB operational	
<b>LIKE TO SEE IN RESEARCH INSTITUTIONS:</b>		
000	5. Expanding the partnership to include all the main actors	
000	6. Calling upon external experts when necessary to provide information or meet technical needs	
000	7. Identifying opportunities for collaboration with other institutions and actors	
000	8. Producing and dissemination concrete examples of benefits arising from MF activities	
<b>LOVE TO SEE IN RESEARCH INSTITUTIONS:</b>		
000	9. Contributing to the state-of art in the field of CPPB.	
00	10. Contributing to national policy debates and policy formulation on CPPB	
000	12. Sharing lessons and experiences with other communities to encourage others	
000	13. Developing / undertaking new opportunities for training & extension	
000	14. Identifying opportunities for, and successfully obtaining, external funding	
000	15. Influencing national policy debates and policy formulation on CPPB	
<b>CONTRIBUTING FACTORS AND ACTORS:</b>		
The UN held conferences at which the network was showcased as an example of local partnership. Members wanted to go to one of these conferences with the formal agreement in place, and did so. The MFA Program Officer provided technical advice on the formulation of agreements based on examples from other networks worldwide.		
<b>SOURCES OF EVIDENCE:</b>		
Minutes of meetings discussing content of agreement Copy of agreement on file and on institute website at < <a href="http://www.xxx.no">http://www.xxx.no</a> >.		
<b>UNANTICIPATED CHANGE:</b>		
Here unintended effects are listed		

### Significance of Impact Methodology

This method has been developed by Channel Research in its evaluation work over the last few years. It has been peer-reviewed through four specialised seminars, at which two Norad personnel have recently assisted<sup>91</sup>. It focuses more particularly on the contribution of a programme to a CPPB situation than would Outcome Mapping.

91 INCORE Summer School, University of Ulster, June 2006 and 2007, La Converserie Seminar, September 2006 and 2007. Methodology applied for the evaluation of peace-building activities in Senegal (USAID), of the Northern Uganda Peace Initiative (USAID), of the Cross-Border Peace-Building Measures in Northern Ireland (EU), of the Collaborative for Development Action / Collaborative Learning Projects of Mary Anderson (Sida).

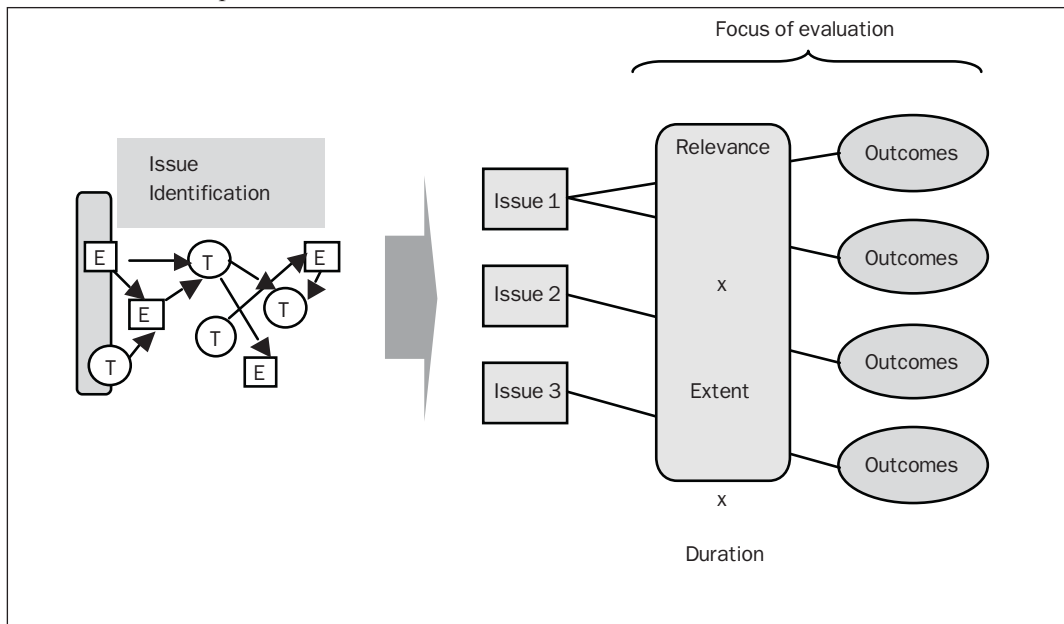
The significance mapping methodology entails three stages (see the schematic diagram below).

- In the first stage we will analyse the context in which a conflict prevention and peace-building initiative takes place, in terms of how the main events and trends, or policy objectives, interplay one upon the other.
- In the second stage we would then review the key outcomes delivered by the R&D programmes in this context (for example a given country).
- In the third and final stage we would assess the interplay or relationship between these “issues” or drivers of the situation, and the outcomes. We will seek to test the strength of this relationship by finding the evidence for relevance, extent and duration.

Assessing the relationship between issues and outcomes is not attributing performance, for example it is not to find that there is a cause-effect link between a research document and the success of a peace process. Rather, it is about assessing whether the Norwegian contribution has been significant or not. The criteria for assessment we propose are drawn from environmental impact assessment, and relate to the qualities of the relationship from outcome to issue: how focused is it? How broad or intense is this relation? How long does the influence last?

These three assessments, and the broader relation, are represented visually in the section below:

*Evaluation – concept overview*



As can be seen in the diagram, the issues (policy aims, or drivers of the conflict) are drawn from a general analysis of the CPPB situation, either from a pre-existing the evaluation, or done for this evaluation. This would be based on a methodology of conflict analysis which Channel has developed (see Appendix 2), or on existing authoritative conflict assessments. There is then a search for evidence on the manner in which the outcomes have affected the issues.

We will be particularly careful to recognise the fundamentally partnership driven approach of R&D in Norway in peace-building: the fact that achieving the outcome belongs very much to the partners as well as the funders.

We propose to examine this contribution by exploring three aspects that will allow us to verify the significance of the impact of MFA-funded R&D:

- **Relevance:** this is defined by DAC as the alignment of outcomes, needs and priorities. Under this definition, we will ask whether the outcomes achieved by partners are aligned to the priority issues in the conflict and peace dynamics, as well as the key issues in Norwegian foreign policy implementation.



- **Extent:** this relates in crude terms to the number of key actors covered, or the degree to which they have assimilated the research outcome. This could for example be the number of readers of research in a particular professional community, or the high quality appreciation of a small number of negotiators.
- **Duration:** this relates to the dimension of time, and timing, and is defined as the period over which the interaction of outcomes with key needs take place. We will ask how prolonged and synchronised an outcome's influence has been on an issue. Sustainability in this approach is directly related to duration, and is defined as the ability of outcomes to continue after the end of activities financed under a programme. We would explore whether there has been continued use of methodologies and concepts developed under MFA funded programmes independently of MFA. We would also explore the 'exportability'/transferability of operational and conceptual influences in places where MFA did not directly fund research or programming.

These tests of influence are for us constitutive of the notion of significance of outcome, and are open to independent verification. We will provide evidence along these broad areas of influence, using the evaluation questions detailed in section 3 of the ToR. They allow us to explain why, or why not, relevance was achieved, without entering into a description of the myriad individualised strategies of intervention used by personnel on the ground. They also allow us to use qualitative as well as quantitative evidence, so avoiding the trap of seeking only to 'measure' impact itself.

In assessing the influence and significance of outcomes, the evaluation will explore the following chain:

1. Inputs: amounts allocated to this case study, divided into types of outcomes? For example: how much was spent on programmes which contributed to the development of networks of trust in a given country? Who are the researchers, commissioners and beneficiaries of the research?
2. Output: what were the services and products which contributed to a given outcome? For example, what conferences, research projects, or visits contributed to the strength of ties to researchers in a given country?
3. Outcome: what are the consequences of the combined outputs in a given country? For example, what material evidence is there of a meaningful use of the relations between Norwegian academic personnel and personnel involved in research in a given country for track II diplomacy?
4. Significance of impact: what evidence is there of the relevance, extent and duration of the influence of an outcome on the key drivers of a conflict, or on the key Norwegian foreign policy priorities in a given country? For example: was track II diplomacy involving the right people, were the right persons exposed deeply interested in the initiative, and how long were they involved?

We would then draw a ranking that can be roughly interpreted as the multiplication of scores for the significance of the impact of the outcomes on the issue  $R(E+D)$ .

For example, if track II diplomacy was crucial because it involves bringing together key groups that would otherwise have no opportunity to meet it would be given a score of four out of four for relevance. If however the people involved were only on some occasions the key people, it would be given a score of two out of four for extent. If there were only three track II meetings, it would score one out of four. The result would be  $4 \times (2+1) = 12$ , out of a total possible of 32. This allows for a comparison between outcomes in a given country, and across case studies.

### 3 Identification of Outcomes and Selection of Case Studies

For institutes that straddle the academic and policy realms, there can be no strict boundary separating the two. Yet a focus upon the value that the institutes have to their funders is of great importance. They are or should be the prime users of the funded research, be it commissioned, as part of framework agreement and indirect research council grants allowing for more independent research. Institutes are well aware that they need to think strategically on how they can best reach their users with the most important information that they wish to convey. At the same time there is a concern that funders have no time to digest and use full-length reports. In order that research be of importance to the policy realm it needs not only to be relevant it need also to be used.

On the other hand, research and development activities that are entirely oriented to the Norwegian stakeholders and their partners abroad would risk betraying the fundamental objective of peace-building. They may become disconnected from the non-Norwegian world, and serving short term aims of a financial or institutional nature. For this reason the evaluation must also consider possible changes in the environment, mainly in countries which have benefited from Norwegian peace and reconciliation initiatives.

To date, the evaluation has been able to access a limited initial sample of relevant documentation and carried out some interviews with individuals in each of the four research institutes, the MFA and Norad. On the basis of these we would propose the following broad categories of outcomes:

### Capacity Outcomes

- Professionalism of diplomatic, negotiation and research personnel and specialists
- Capacity building of partners, development of local ownership of peace initiatives
- Developing and Strengthening Norwegian knowledge and research in CPPB

### Information Outcomes

- Country notes, research on particular conflicts identifying underlying causes, dynamics, issues and actors

### Conceptual Outcomes

- Agenda setting, inspiring new policy objectives, academic innovation in the form of new concepts or contribution to the re-framing of the field
- Lesson learning and sharing of experience

### Track 2 Outcomes

- Development of networks of contact outside official circles, intermediaries
- Direct and indirect contributions to peace processes through, for example, fostering dialogue processes via the dissemination of academic and policy research

We will follow these outcomes in the five case studies, from which we will extrapolate for the subject matter in general.

The case studies we propose are the following, based on having the critical number of institutes working on it:

1. An ongoing support to the peace process which will be visited in country (Sudan)
2. The aftermath of a peace initiative which we will visit in country (Palestine)
3. A peace process where Norway has played a key role but where little research has been commissioned to the institutes, on which we will do a desk study (Sri Lanka)
4. A thematic study (Training for Peace) on which we will do a desk study

For each of these case studies we would follow the outcomes along the chain described above.

We have reviewed the programmes funded by the different institutes, and have come up with the following table:

Country in which programmes have been long running	FAFO	NUPI	CMI	PRIO
Sudan		✓	✓	✓
Middle east	✓	✓	✓	✓
Afghanistan	✓		✓	✓
Haïti	✓			✓
Timor			✓	
Sri Lanka				✓
Cyprus				✓
Concepts and training for civilian crisis missions		✓		

Specific issues arose around attempts to track as precisely as possible the nature of the outputs in research, namely individual research projects:

- The project titles used by the database of the Ministry of Foreign Affairs are not the same as those of the institutes in their reporting, complicated by the fact that the financial calendar years are not the same in the institutes as in the database.
- The number of outputs per funding is difficult to define, even within the institutes, while a certain amount of double counting shows up in the single spreadsheet which only PRIO was able to provide.
- Many of the funding decisions in the Ministry are in fact complementary funding for larger projects, creating a misleading imbalance in the amounts dedicated to particular outcomes.

These points have precluded impact efficiency or cost/benefit analysis, which would have for example led to over-hasty conclusions such as that for example with less funding CMI has achieved a more significant impact than the other institutes.

Moreover, the outcomes are often hard to trace in standard academic assessments, as they take place in remote, sometimes unstable countries where there may be significant risks posed to individuals conducting research and publishing their findings. The success of any project, in particular the smaller short term grants, is to a large degree dependent upon how well it is integrated into an institute's project portfolio, into the work of the MFA, and even to a certain extent into that of the stakeholders of peace and conflict. The source, relevance, timing, and depth of dissemination of the work are at times more important than its breadth of dissemination or technical quality. The evaluation has chosen instead to rely on the analysis carried out on a comparative basis with other fields of development research by the Research Council of Norway.

How the different projects achieve general types of outcomes which then interact with the broader environment is then of critical importance in assessing the performance of research and development.

## Annex 5: Detail on Sudan Projects

### 1 Sudan: Background and Overview

Sudan has been mired in a number of complex, interlocking civil wars between the authorities in Khartoum and armed insurgencies, with the conflict between the centre and factions in the south the longest running. While there are different views about how far back to go in tracing the origins of the present conflicts, there is a consensus that the current situation is dominated by the post-89 Islamist government and the tensions between the North and South.

The ‘second civil war’ started in 1983 and formally ‘ended’ with the signing of the Comprehensive Peace Agreement in January 2005, resulting in an estimated 2 million dead and 4 million displaced individuals. While the conflict is often characterised in the media as either a religious one, between the Muslim north and the Christian south, or as an ethnic one between the Arab north and the Christian south, the key dynamic to this conflict (and arguably to the others) is the tension between the centre and the periphery.

The south, along with other regions of the country, has long been marginalised by the north. This was true in pre-colonial, colonial and post-colonial times. These tensions have been acutely exacerbated by questions surrounding the exploitation of and revenue distribution surrounding Sudan’s oil reserves, as well as the Islamist agenda of the Khartoum regime.

In the 1990s, negotiations to end the conflict between the North and the South resumed. Norwegian involvement started in 1993 with informal, exploratory talks between the government and the SPLM. A year later, IGAD became involved resulting in the signing of the Declaration of Principles. The talks then went on hold until 1997 when the Government of Sudan finally accepted the principles as the basis for negotiations.

Under the auspices of IGAD, and supported by a number of African and Western governments, including Norway, a process was put in place that was ‘owned by the Sudanese, but conducted with pressure and support from the international community’.<sup>92</sup> The first break through came with the signing of the Machakos Protocol in July 2002. This set out a set of basic agreed principles and resolved two key issues: the relationship between Islam and the state; and the right of the people of Southern Sudan to secede from the rest of the country via a referendum.

In the negotiation rounds after Machakos, the parties focused on a number of specific topics, moving sequentially through them as they agreed protocols on each. These protocols covered:

- security arrangements: with two separate armies to be maintain, but redeployed along with the creation of Joint Integrated Units (JIU) and process of demobilisation and disarmament to deal with ‘other armed groups’ such as the ‘White Armies’
- wealth sharing: entailing an agreement on the operations of a single central bank, a new currency and the sharing of oil revenues
- power sharing: the formation of a new Government of National Unity (GoNU) for the whole of Sudan dominated by political representation from the North but with representatives from the SPLM participating and a Government of Southern Sudan (GoSS) with some representation from the NCP
- the ‘Three Areas’: agreements on autonomy and power-sharing arrangements in southern Kordofan/Nuba, Blue Nile and Abyei regions

There was also a substantive agreement regarding a permanent ceasefire, as well as an agreement regarding the modalities of implementation.

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92 Op Cit.

The Comprehensive Peace Agreement (CPA) was signed by both parties on 9 January 2005 and included national elections in 2008 (subsequently deferred to 2009) and a referendum on secession in 2011. In the interim period the parties agreed to work to make unity ‘attractive’ to their respective populations.

The title of the agreement is something of a misnomer, as it was far from ‘comprehensive’, focusing almost exclusively on the North-South conflict. While it did address the ‘Three Areas’, the other regions and conflicts (and their associated parties) were left outside the negotiation process and the agreement.

This is often considered one of the major weaknesses of the CPA. However, it was a weakness that was recognised by the international mediators/facilitators at the time. Having looked at the academic literature on sequencing within peace processes,<sup>93</sup> there was a conscious decision made to treat the different conflicts within Sudan as ‘discrete’ and to focus on North-South issues. The plan was that once an agreement was reached on this, the most prominent of the many Sudanese conflicts, the momentum would carry over and it could then be ‘extended’ or used as a template as many of the principles, details and modalities set out in the CPA could be used to structure and frame agreements on the other conflicts. In many ways, the international community felt it was confronted with a choice between a narrowly drawn CPA or no agreement at all.

This larger plan came unstuck as the situation in Darfur unfolded. While Darfur was in ‘peripheral vision’ as the details of the CPA were being negotiated, it would be fair to say that the international community, including the Norwegians, were caught off guard by how quickly the situation in Darfur deteriorated and by the magnitude of the violence being perpetrated.

Fomented by a number of actors intent on both distracting from the CPA and undermining the likely success of its full implementation, the post-CPA room for manoeuvre rapidly disappeared. Paradoxically, this was underpinned and exacerbated by the international response to Darfur which shifted not only attention but resources away from the implementation of the CPA – with an estimated 70% of the aid committed at the Oslo Donor Conference to funding implementation of the CPA going to cover the costs of the humanitarian response in Darfur.

In the aftermath of the CPA, Norway hosted the international donor conference on Sudan in April 2005. At the time, then Development Minister Hilde Johnson argued that Sudan required ‘a new form of nation building based on sharing power and wealth between the centre and the regions’.<sup>94</sup> Drawing on the academic literature which highlighted the fragility of most peace agreements, Ms Johnson argued that the CPA would only succeed with substantial concrete support from the international community for ‘years to come’.

The Norwegians identified three challenges in the aftermath of the CPA:

- (1) making the agreement truly national by including other parties and forces into the constitutional process. This would entail South-South dialogue, involving militia groups, civil society groups, focusing on local reconciliation and acceptance of the agreement and using the CPA as a framework for solutions to other conflicts in Sudan.
- (2) swift implementation so that the ‘people on the ground experience the benefits of the agreement’ – and not just in socio-economic terms, but also in the political and security realms.
- (3) the GoNU and the GoSS taking responsibility for building peace in all parts of the country.

While the basic elements of the CPA have been adhered to, there have been considerable delays in its implementation of the agreement. Many analysts, however, argue that the problem lies much deeper. At heart there is a basic contradiction in the CPA: an agreement to work towards both ‘unity’ and a building up of the Government of South Sudan, in advance of secession. The North fears that following through on the CPA will lead to the dissolution of

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<sup>93</sup> In the course of interview, it was noted that a paper prepared by Gunnar Sorbo on ‘lessons’ from peace processes for Sudan was highly influential in structuring the Norwegian MFA’s approach to the wider negotiation process.

<sup>94</sup> HFJ speech, 15 March 2005

the state; the South is worried that implementation might demonstrate the benefits of a united Sudan and erode support for separation in the 2011 referendum. Given this fundamental tension, many doubt the commitment of the parties to making the agreement work.

## **2 Drivers of Conflict and Peace in Sudan<sup>95</sup>**

The situation in Sudan is characterised by interwoven causes - economic, resource-based, religious, cultural, and ethnic, as well as regional and international dimensions – with some being more important than others in different parts of the country at different points in time. All are underpinned politically by the state's crisis of legitimacy and its utility as a vehicle for special interests, especially economic, which drives elites to compete to control its institutions.

These dynamic have unfolded over time. As the various conflicts have continued, new grievances and sources of conflict have accumulated, making them difficult to resolve. As a consequence, argue Alex de Waal and Ameen Jan, Sudan is a 'gyroscope that is perpetually out of balance but without toppling over'.

Jan and de Waal argue that there are multiple, interconnecting factors at the national, sub-national, regional and international levels that drive instability and conflict in the country – but where also are located sources of stability.

The first of these is the historic concentration of power and resources at the centre resulting in marginalisation, poor governance and resentment in the peripheries. Yet while the regime has a strong grip, it is also fragile along a number of dimensions. There is factionalism and a lack of cohesion, with a continued struggle for control of the state. The lack of cohesion has meant that policy positions are hostage to the more militant blocs within the NCP whose control is increasingly reliant on the strength of the security apparatus. This limits the government's ability to work effectively with key domestic partners, including the SPLM.

The second is the contested nature of the Sudanese state and the lack of accountable structures of governance. Neither the Government of National Unity nor the Government of South Sudan have electoral mandates. Each is controlled by a narrow group of elites. In the South there is very limited experience of or reality of government. For over 20 years, international NGOs have provided the delivery of services which paradoxically has inhibited the growth of governance and administration structures essential to a post-CPA 'state-building' agenda in the South. Other areas of the country are characterised by weak regional governments, a breakdown in civil administration and fragmented political parties. This creates the conditions for 'retail politics' where the central elites are able to co-opt provincial elites in order to 'divide and rule' and prevent the emergence of organised opposition.

A third source of instability is the inequitable distribution of resources. The most prominent manifestation of this is the regime's inability/unwillingness to spread the benefits of oil revenues generated over the last five years. Nor has it used these resources to enhance the delivery of basic services in health and education.<sup>96</sup> The more profound element of this instability relates to the issue of access to land. While the importance of issues surrounding land disputes was recognised during the CPA negotiations, they were deemed so deeply problematic that they were set to one side for later resolution, rather than allow them to scupper the prospects for an agreement. Exacerbated by increasing pressures on natural resources due to environmental mismanagement and climate change, some would argue that land related conflicts represent the greatest source of instabilities.

The fourth major driver of conflict at the national/sub-national level is the militarisation of the conflicts in the periphery. The Khartoum regime and other factions have supported and mobilised local armed militias (also referred to as 'other armed groups') in the provinces to fight wars at arm's length. This has resulted in a process of 'rural militarisation' that is now beyond the centre's ability to control or reverse, with implications for the likely success of DDR initiatives and the successful professionalisation and integration of the armed forces.

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<sup>95</sup> Given the constraints on time, it was not possible to organise conflict mapping sessions in Sudan. The discussion that follows draws on a number of analytic pieces of the Sudan conflict as well as comments made during the course of the interviews carried out over the course of the evaluation. The drivers are consequently of a more narrative and general nature than for the related Palestine case study.

<sup>96</sup> The prominence of oil revenues in Sudan means it is also susceptible to 'Dutch disease' (ie fluctuations in commodity prices).



At the regional level, some neighbouring states are actively manipulating instabilities within Sudan. Chad has played a major role in supporting the rebel movements in Darfur, while Eritrea has sought to weaken the government in Khartoum by supporting rebel groups primarily to counter Ethiopia's influence in the region.

At the international level there are two, interconnected factors. The first is the international response to the crisis in Darfur, including a very bellicose stance by the US which has sought to politically and economically isolate the regime in Khartoum (while nonetheless sending mixed messages in seeking its cooperation in the 'war on terror') and reducing the space for constructive engagement with the more moderate elements of the regime. The second is the political and economic support (particularly but not exclusively in the oil sector) provided to the regime by China and to a less prominent extent by Malaysia and India.

The biggest conundrum the international community faces is how to deal with a regime in Khartoum that everyone would like to see brought to an end but which is consolidated and legitimated by each international agreement that is reached on Sudan.

The potential sources of stability are to be found at both the structural and actor level. In the national/sub-national arena the key factor is the economy. There is strong economic growth and macro stability, with oil revenues providing the potential for economic stability and prosperity if wealth sharing were carried out in a genuinely equitable manner. And as the economy grows and opens up, there will be incentives to cooperate.

A further source of stability lies in the continued development of elements of civil society in Khartoum, most notably in the expanded need for higher education. This will draw in marginalised people and creates a potential platform for societal level dialogues aimed at affecting attitudinal change at the community level. This has the potential to be reinforced by returning IDPs/refugees who bring with them a different outlook on life that is not conditioned by or revolves around militarization and violence. The reinvigoration of traditional conflict resolution mechanisms could also play a role.

At the regional, a number of states have a vested interest in a stable Sudan, including Egypt, Ethiopia and Uganda. At the international level, there is in principle the continued support for the implementation of the CPA on the part of the US, EU and UN – though this has been slower, less well coordinated and less well resourced than is necessary for success.

### **3 Overall Profile of Norwegian CPPB in Sudan**

Norway's involvement in Sudan is long-standing. Historically, there have always been two legs to Norway's role in Sudan. There are academic linkages revolving around a Bergen-Khartoum axis that goes back to the 1950s with a substantial Norwegian expertise being built up in the mid-1970s. There has also been a substantial Norwegian NGO presence in the country, predominantly in the South, since the 1970s.

Norway's active role in various peace initiatives in Sudan has been able to trade upon this profile, as well as its own lack of history as a colonial power, and its multilateral credentials. Both the academic and NGO profiles allowed Norway to play a facilitating role that it might otherwise not have had<sup>97</sup>.

In the current phase of Sudan's long history of internal conflict, Norway's substantive involvement dates from the late 1990s when it assumed the chair of the Sudan Committee of the IGAD Partners Forum. From 2001 onwards, Norway played an important role in providing support to the IGAD secretariat in Kenya.

From May 2002, Norway, participated as an observer in the IGAD sponsored talks. And, as along with the US, UK, Italy, the AU and UN participated in the 'rejuvenated' IGAD talks starting in May 2002. In this capacity, Norway made substantive contributions in the area of wealth sharing, contributed to the JAM process, was largely responsible for the innovative idea of establishing Multi-Donor Trust Funds, helped establish and fund the Joint Donor

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<sup>97</sup> Cf "Evaluation of Norwegian Humanitarian Assistance to Sudan", COWI, 1998.

Office. It has also contributed personnel and financial resources to the Joint Monitoring Committee (JMC) monitoring the ceasefire in the Nuba Mountains.

#### **4 The Micro-Macro Issue in Peace-Building**

It is worth examining the content of one of the most remarkable projects in the Sudan research portfolio to understand the mechanics of participation and the flexibility which are inherent to this work.

The roots of the Micro-Macro projects run deep at the institutional and personnel level – which intersect, overlap and reinforce each other. There is a long standing relationship between scholarship on Sudan based in Bergen (at the University and in CMI), with associated links to the University of Khartoum and the Afhad University for Women. In personnel terms, it is rooted in the professional and personal relationship of individual such as Gunnar Sorbo and Abdel Ghaffar. The relationship between CMI and PRIO seems more instrumental than strategic, with the PRIO component under-realised at the moment.

The impetus for the MMIPB project was twofold. On the one hand, it flowed from the previous consultancies and the academic research on why peace agreements failed ('spoilers', lack of coordinated international support) and an identification of the challenges Sudan faced in the implementation of the CPA – notably the need to recognise that the situation in the Sudan was more than the North-South conflicts, the consequent need to deal with other conflicts, issues and parties that were not included in or covered by the agreement; the need to deal with inequitable distribution of resources and the resulting underdevelopment and poverty; and most importantly, the need to deal with issues surrounding land. The other impetus was to support and build capacity within the Sudanese research sector so that this could play a role in the discussions with Sudan on the peace process. The need for such capacity building derived from the lack of resources for and the politicisation of the university sector in the 1989-2005 period.

The initial project document proposed a focus around two strands: the political economy of transition, including institutional and governance issues as envisaged by the CPA; and the role of third party engagement and issues of management and coordination of the peace process.

The project proposed to combine macro level studies with research in selected localities and states outside of Khartoum. This was part of a conscious strategy to shift the focus of analysis and programming from that narrow North-South focus that had characterised much of the international engagement with Sudan, including the Norwegian role in negotiating the CPA. It was also a conscious attempt to shift the discourse away from the emphasis on 'peacebuilding as statebuilding in fragile states' – which has become the assumed starting point for sustainable peace.

It was felt that this focus led to an under-representation of the issues of poverty and marginalisation for rural populations. There was, therefore, a real need to generate insights regarding the other conflicts in Sudan, the manner in which they were interlocking and the centrality of the contestation of the Sudanese state as the lynchpin in all of these. The initial focus would be on the 'Three Areas'.

The intention of the MMIPB project was to inform Norwegian policy by delineating these different contexts, study their interrelationships, which factors may be more determining than others. It argues that the different conflicts need to be explored at different levels of organisation: on the micro level by looking at processes affecting the formation of social identities and access to resources; on the regional level by looking at the scope for political leadership and mobilisation of groups forming vulnerable and unstable alliances; at the macro level by looking at state politics and the role of the state – how the central government is able to play on the differences between opposition groups through its central control of power and resources, as well as the regional and cross border dynamics role.

In subsequent discussions with Norad and within the project partners two important shifts in focus and areas of research took place. The first of these was an elevation of the priority to be given to capacity building. The programme came to entail a substantial component that focused on capacity building in the Sudanese academic sector, in the training and

development of its MA and PhD students conducting research related to peacebuilding within Sudan, and in supporting a younger generation of Norwegian scholars working on Sudan. The second shift was an increased emphasis on the centrality of land issues in understanding the different conflicts in Sudan. It was also agreed that the project would not attempt to be an 'integrated, comprehensive project' covering cover all aspects of the conflicts or the peacebuilding process. Instead, it would have a fairly open and fluid research agenda that would nevertheless cover a wide range of topics: land, IDPs, DDR, decentralisation, gender, role of civil society, economic development, poverty reduction, and the role of aid. The range is starting to be evident in the publications that the programme is now starting to generate.

The agreed 'analytic framework' for the MMIPB noted that it would balance:

- bona fide research: contributions to the growing comparative literature on peacebuilding making important theoretical and methodological contributions; a conscious break with the dominant focus on statebuilding and macro concerns;
- capacity building (primarily in Sudan): break the dominance of Western researchers through cooperative ventures with Sudanese researchers; contribute to academic capacity building in Sudan; bring Sudanese graduate students to Norway for research training. But also to extend CMI's network of contacts in southern Sudan which are not as strong as those it has in the North.
- policy oriented needs: the Sudanese researcher component would also assist the research feeding back into policy and decision making processes in Sudan, as well as the work of the Assessment and Evaluation Commission established by the CPA  
It would do so through the production of working papers, position papers, policy briefings, and private consultations.

In terms of activities carried out by the programme, these have included:

- fieldwork carried out by Norwegian and Sudanese researchers in various parts of the country
- publication by Abdel Ghaffa of *Sudan: The Roots and Dynamics of the Present Problems*. This book is in Arabic and targeted at Sudanese audiences. At the time of the evaluation the print run for this book has been impounded/confiscated by the Sudanese authorities.
- Publication of the first four working papers
- Completion of the first group of Masters students, including a three week period at CMI for several of the students. A second cohort was just starting during the period of the evaluation
- An academic writing course was held in Khartoum for both Sudanese students and staff on the project. The aim was to enhance the scholarly quality of writing and enhance prospects of publication in recognised journals. At the staff level, it was also intended to steer them back towards academic writing and publication and away from the more lucrative work on consultancies
- four workshops held in Khartoum presenting work in progress
- comparative paper on land issues, poverty and peacebuilding published by Sorbo and Strand with specific discussion of the policy implications of their analysis
- leveraging of programme outputs through use of DANIDA funding to help the competence building in research students
- meetings/briefings with MFA and Norad staff in Oslo and Khartoum
- public media contributions

Future outputs include further working papers, a special issue of the *Journal Review of African Political Economy* under discussion, a special issue of the *Journal of Eastern African Studies* and an edited volume on the 'Three Areas'.

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As noted earlier, the programme is open and adaptable and further changes in the work programme are likely as a consequence of both some Norwegian and Sudanese staff being over-committed with other projects, and because of resource constraints in the Sudanese university system (particularly lack of relevant books, journals) and a weak Sudanese research culture due to lack of institutional resources and the temptation for researchers to increase their of earnings via consultancy work for international agencies.

## Annex 6: Funding Per Institute Per Year by MFA/Norad Budget Codes

As discussed in the main text, there are considerable differences between funding streams for the four institutes. The tables below provide a detailed break down for each institute.

<b>CMI</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
Information, 1600 Total	4,162	-	-	-	-	-
HA-HR, 1637 Total	2,505,135	-	46,400	20,620	-	302,990
PRU, 1647 Total	-	1,310,150	771,028	835,970	-	746,500
SSR-DDR, FSU 1647 Total	-	-	-	-	-	-
Evaluation, 165 Total	625,860	909,478	77,000	-	137,774	196,115
<b>CMI TOTALS</b>	<b>3,135,157</b>	<b>2,219,628</b>	<b>894,428</b>	<b>855,590</b>	<b>137,774</b>	<b>1,245,605</b>

<b>FAFO</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
Information 1600 Total						
HA-HR 1637 Total	800,000	6,897,000	15,189,000	2,550,000	6,692,785	
PRU, 1647 Total		8,255,933	1,150,000	1,831,100	2,757,119	11,986,709
SSR-DDR, FSU 1647 Total				1,580,225	400,000	
Evaluation, 165 Total	131,000	226,223		485,240	1,596,938	75,000
<b>FAFO TOTALS</b>	<b>931,000</b>	<b>15,379,156</b>	<b>16,339,000</b>	<b>6,446,565</b>	<b>11,446,842</b>	<b>12,061,709</b>

<b>NUPI</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
Information 1600 Total	-	-	217,500	200,000	-	-
HA-HR 1637 Total	952,484	-	242,640	2,400,000	-	2,650,000
PRU, 1647 Total	181,877	2,000,000	2,268,945	778,000	1,498,579	2,938,000
SSR-DDR, FSU 1647 Total	-	10,000	-	1,557,423	6,824,193	8,930,702
Evaluation, 165 Total	1,069,423	3,259,719	3,249,703	3,065,600	1,713,500	1,366,071
<b>NUPI TOTALS</b>	<b>2,203,784</b>	<b>5,269,719</b>	<b>5,978,788</b>	<b>8,001,023</b>	<b>10,036,272</b>	<b>15,891,773</b>

<b>PRIO</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
Information 1600 Total	-	-	-	-	-	-
HA-HR 1637 Total	2,447,376	1,500,000	3,326,365	3,783,977	1,706,272	48,617
PRU, 1647 Total	1,000,000	1,833,380	1,000,000	3,351,440	9,396,075	7,962,945
SSR-DDR, FSU 1647 Total	-	595,234	-	-	2,233,000	2,300,000
Evaluation, 165 Total	1,241,196	1,365,707	389,782	185,460	992,310	568,818
<b>PRIO TOTALS</b>	<b>4,688,572</b>	<b>5,294,411</b>	<b>4,716,147</b>	<b>7,320,877</b>	<b>14,427,657</b>	<b>10,880,380</b>

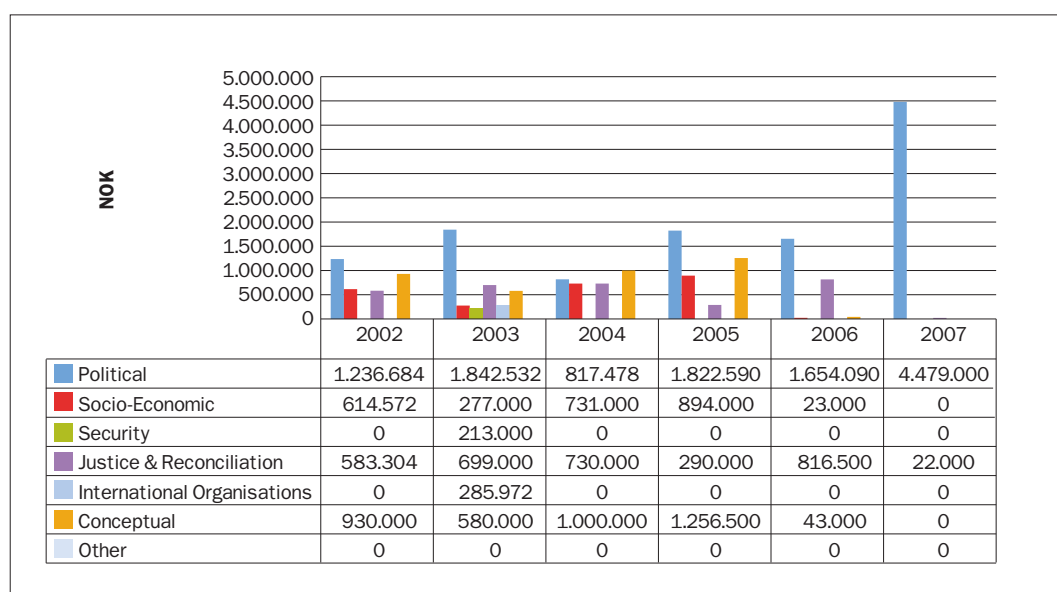
<b>Combined Institutions</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
Information 1600 Total	4,162	-	217,500	200,000	-	-
HA-HR 1637 Total	6,704,995	8,397,000	18,804,405	8,754,597	8,399,057	3,001,607
PRU, 1647 Total	1,181,877	13,399,463	5,189,973	6,796,510	13,651,773	23,634,154
SSR-DDR, FSU 1647 Total	-	605,234	-	3,137,648	9,447,193	11,237,702
Evaluation, 165 Total	3,067,479	5,761,217	3,716,485	3,736,300	4,440,522	2,204,004
<b>TOTALS</b>	<b>10,958,513</b>	<b>28,162,914</b>	<b>27,927,363</b>	<b>22,625,045</b>	<b>35,938,495</b>	<b>40,077,467</b>

## Annex 7: MFA and RCN Funding of CPPB Research Areas by Research Institution

### Ministry of Foreign Affairs

In follow up to the overview provided in the main report it is illuminating to look at the research funding profile for each of the four institutes for funding from the MFA

Table 3a: CMI Funding NOK Per Institute, Per PB Category and By Year

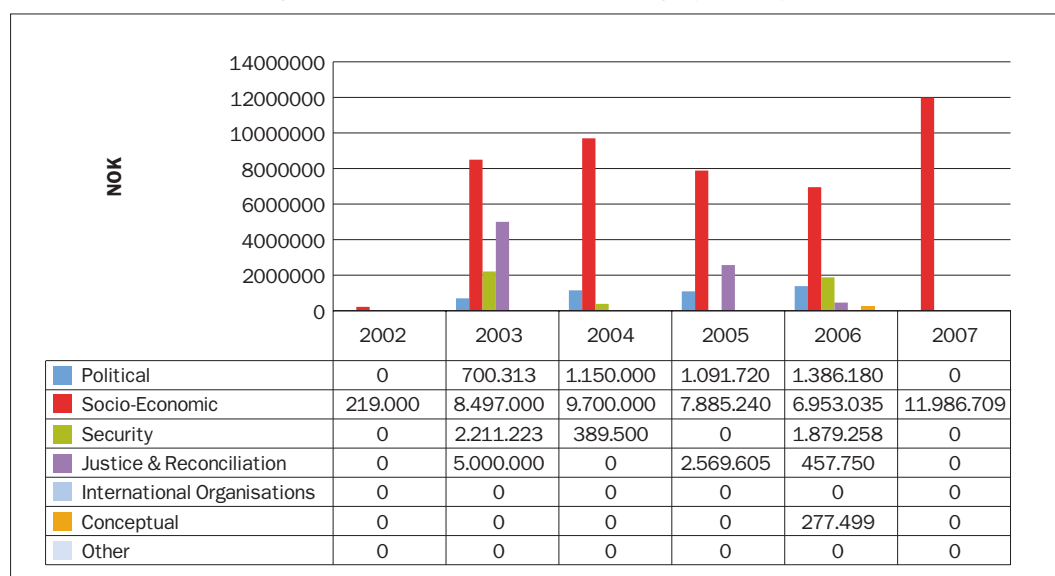


As noted above, a striking feature of CMI's profile is the dominance of research connected with the 'political' dimensions of CPPB. This is fairly constant over the period under review, with a sizeable increase in 2007 (as a consequence of funding for its work on monitoring the implementation of the CPA in Sudan). The core geographical concerns of this research are Afghanistan and Sudan – two areas where CMI has developed an international profile for the quality of the research it produces on these countries. Equally interesting is the almost non-existent profile in the 'security' component of CPPB research, along with minimal contribution in the area of 'international organisations' and the perhaps surprisingly relatively modest sums linked to the socio-economic' sector.

Interestingly, CMI has a relatively consistent profile in the area of justice and reconciliation, which is largely accounted for by projects on the Balkans and on the role of religious organisations in peace processes. CMI also has a significant profile in 'conceptual' research which resonates with its self-perception of offering a 'critical', non-Oslo voice to ongoing policy debates on Norwegian CPPB policies.

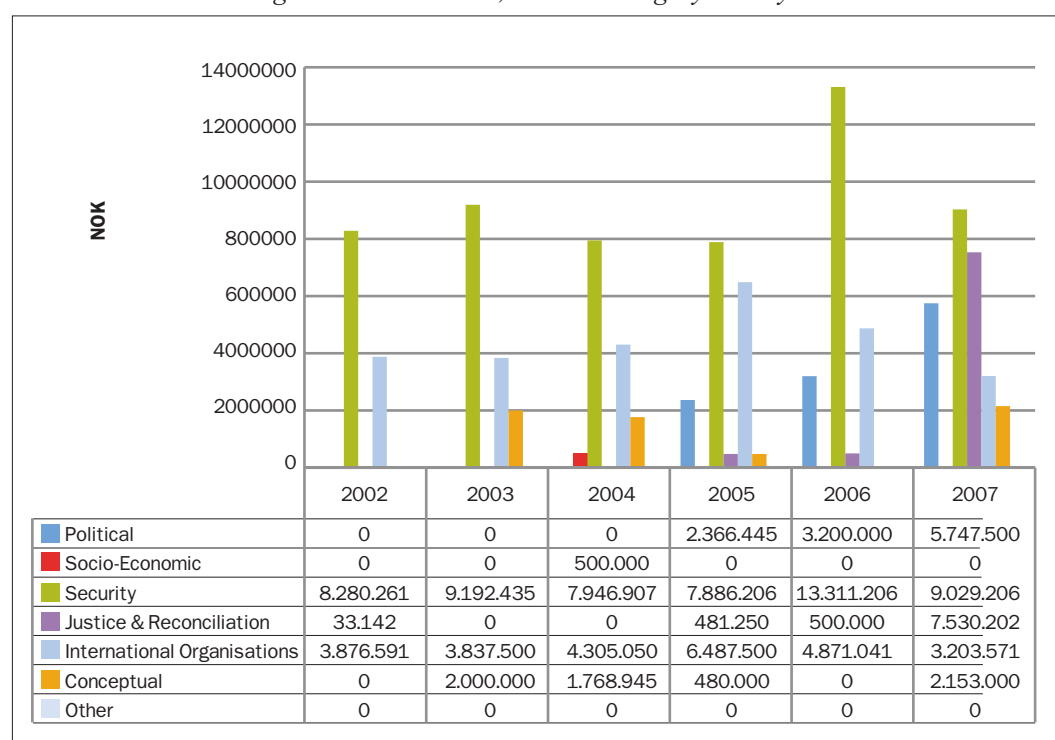


Table 3b: FAFO Funding NOK Per Institute, Per PB Category and By Year



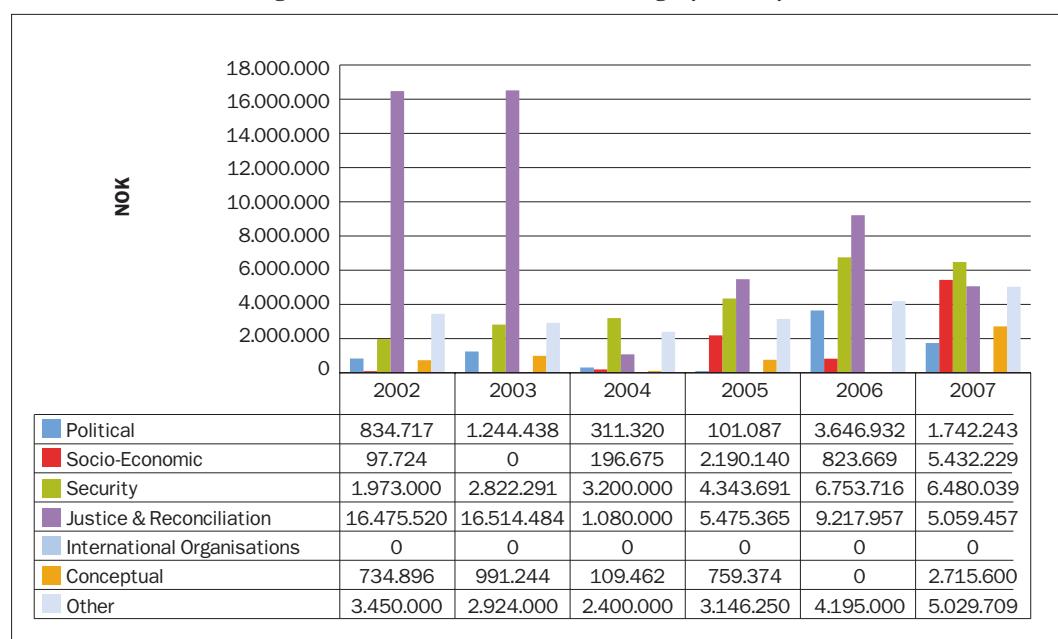
As noted above, FAFO has a decidedly narrow CPPB research profile. It has made little contribution at the ‘conceptual’ level. Its profile in the area of ‘justice and reconciliation’ is uneven and dominated by the now defunct ‘People-2-People’ programme in the Middle East. Its research in the security sector is largely focused on the area of humanitarian mine action, though it is also opening up a new area of expertise in DDR issues. It also has a modest profile in the ‘political’ sector. But little of this research coalesces around particular areas of conflicts and appears to be more a case of organising one-off pieces of research on particular conflict situations. The overwhelmingly dominant area of CPPB research is in the ‘socio-economic’ sector and this is largely accounted for by the living conditions surveys which FAFO has carried out in a number of countries – work which is highly regarded both at the methodological and substantive level, as this research has played an important role in Norway’s CPPB initiatives. In line with the ‘Norwegian model’ it provides a knowledge base and a network of contacts that provided a platform into particular country situations. In this context, it is important to note that its living conditions survey in Tibet was funded by the Peace and Reconciliation Unit rather than a regional desk, highlighting the importance of complementary sources.

Table 3c: NUPI Funding NOK Per Institute, Per PB Category and By Year



While not as focused as FAFO's CPPB profile, NUPI's also underscores that it has particular areas of strength when it comes to CPPB funded research. Two areas predominate and fit with NUPI's long-standing profile. The first is the 'security' sector which is itself dominated by the Training for Peace programme (which accounts for over NOK45 million of the total). NUPI also has a significant research profile in the area of DDR. The second main area of strength is research in support of the 'international organisations' component. Much of this is work related to the ongoing reform agenda at the UN and in particular support to the work of the Peacebuilding Commission. What is also interesting to note is the trajectory of research over the last three years which is connected with the changes in funding modalities after 2005. Here we see NUPI developing a more balanced CPPB research profile with projects in the 'political' and 'justice and reconciliation' sectors (with the latter having a substantial gender component). Much of this funding comes from the Peace and Reconciliation Unit. It is also worth noting that NUPI has a reasonable if uneven profile in contributing to the 'conceptual' element of CPPB research.

Table 3d: PRIO Funding NOK Per Institute, Per PB Category and By Year



Apart from a non-existent profile in the area of 'international organisations', PRIO has the most balanced CPPB research profile. This is the case across the different sectors but is less true when looking at the areas covered within each. The most varied is the research related to the 'political' dimensions which covers a fairly wide range of countries and issues while playing to particular strengths on Asia. In the 'socio-economic' sector there is a developing profile on gender issues. In the 'security' area the focus is on areas that have been prominent within Norway's CPPB policy agenda – mine action, small arms and child soldiers. The funding figures for 'justice and reconciliation' are slightly skewed by funding in the 2002-2003 period for dialogue processes in the Balkans. But in the post-2005 period there is significant funding on the role of religious dialogue, again with significant funding coming via the Peace and Reconciliation Unit. In the 'conceptual' area, PRIO's profile is manifest in three areas: its contributions to the Utstein process (and the associated development and articulation of Norway's strategic framework on peacebuilding), its critical analysis of the Oslo process, and most recently its critical interrogation of liberal peacebuilding.

### Research Council of Norway

In follow up to the overview provided in the main report it is illuminating to look at the research funding profile for each of the four institutes for funding from the Norwegian Research Council under the two main funding strands in the 2002-2007 time frame covered by the evaluation.

For the four CPPB related projects funded under the Globalisation and Marginalisation research programme, the distribution of funding is as follows:

*Development Paths in the South (UTISØR)*

	2002	2003	2004	2005	2006	2007	Totals
CMI	-	-	-	1,440,000	1,630,000	930,000	4,000,000
FAFO	-	-	-	-	-	-	-
NUPI	900,000	975,000	785,000	-	-	-	2,660,000
PRIO	741,370	537,800	314,400	-	-	-	1,436,570
Total	1,641,370	1,512,800	1,099,400	1,440,000	1,630,000	930,000	8,253,570

*Looking at the UTISØR funding in terms of CPPB areas, the distribution of funding is as follows:*

	CMI	FAFO	NUPI	PRIO
Political	-	-	-	-
Socio-Economic	-	-	-	1,436,570
Security	-	-	-	-
Justice & Reconciliation	4,000,000	-	-	-
International Organisations	-	-	-	-
Conceptual	-	-	2,660,000	157,000
Other	-	-	-	-

Several elements are worth highlighting. First is the absence of FAFO from any CPPB related funding under the 'Development Paths in the South' programme. Second is the lack of funding on security and political related areas. The predominant funding is in the area of justice and reconciliation and on conceptual CPPB research.

Turning to the first two years of funding under the Poverty and Peace Programme, the distribution of funds between the four research institutes is as follows:

*Poverty and Peace Funding: 2006-2007*

	2006	2007	Totals
CMI	1,262,700	2,347,750	3,610,450
FAFO	1,485,000		1,485,000
NUPI		2,130,700	2,130,700
PRIO		2,405,000	2,405,000
Totals	2,747,700	6,883,450	9,631,150

*The distribution of Peace and Poverty funding by CPPB research area for the initial two years of funding is as follows:*

	CMI	FAFO	NUPI	PRIO
Political				786,000
Socio-Economic		1,485,000		1,436,570
Security			2,136,700	
Justice & Reconciliation	1,264,500			
International Organisation				
Conceptual	2,345,950			1,619,000
Other				

As can be seen, the funding spread under the Poverty and Peace programme is more evenly distributed across the four institutes, with CMI still being the main beneficiary. There is also a more even spread across the CCPB research areas. Not surprisingly, given the Research

Council's remit to underwrite strategic research, funding for conceptual research has so far received significant levels of funding – and this is located in CMI and PRIO. It is also worth highlighting the funding for security related topics which was absent from the UTISØR funding stream.

## Annex 8: Profiles of the Different Research Needs and Utilisation within the MFA

As noted in the main report, any assessment of the relevance and utilisation of funded research on CPPB needs to take account of the different needs of a diverse range of consumers or beneficiaries of the research. What follows is a broad characterisation of the different research needs and levels within the MFA.

### Ministerial level

At the ministerial level, the relevance and utilisation of CPPB research exists at three levels. The first is the development and articulation of Norway's broad foreign policy objectives in the area of CPPB. In the period under review, the most notable example in this area is the Utstein process and the contribution it made to the conceptual and substantive detail of the 2004 Strategic Framework document, *Peacebuilding – a Development Perspective*. Indeed, the framework document was explicitly characterised as Norway's response to the final Utstein report's claim that there was a 'strategic deficit' amongst the member countries. In reality, the two developed in parallel, in a complementary manner.

What is not clear is how deeply this was informed by research carried out by the four institutes. While there was a direct input from PRIO both in the production of the Norwegian national paper and the final report, and from CMI in its research on the challenges of peacebuilding, the other institutes only played indirect or marginal roles at best, conditioning the climate of debate rather than making a direct contribution. In this instance, the role of the four institutes coincides with and seems to reinforce the division of labour through which they are viewed by the MFA as a whole, with FAFO and NUPI playing a limited role in the conceptual aspects or underpinnings of Norwegian CPPB policy.<sup>98</sup>

The second area of relevance and utilisation is in the provision of background insightful information and knowledge about a particular conflict situation, peace process or thematic issue. Here the modality of engagement is likely to be recourse to a particular desk within the MFA seeking a particular piece of background research or a policy brief which they in turn may commission from researchers at the institutes. The other modality would be recourse to a direct one-to-one briefing. The frequency with which this occurred varied, based on the intensity and profile of a particular country situation, but it was evident that ministers would 'pick the brains' of relevant researcher – albeit usually at the most senior level. As is true at all levels within the MFA, the day-to-day pressures constrain the ability to tap into the existing knowledge basis.

The third, and perhaps more important, level at which the CPPB research capacity of the four institutes is used is one which, paradoxically, minimises the importance of research as research and relates to the 'Norwegian model'. Here the relevance of the research funding is not in the research that is produced but in the networks of contacts that such research activities put in place.<sup>99</sup> It is in 'using the researcher rather than the research' to quote a Norad staff member.

As a result of the nature of the close relationship and crossover between different elites in developing societies, these research networks provide a means of access to political, religious and social groups that can be tapped into, if and when Norway decides to play a role in a peacebuilding

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<sup>98</sup> . With the change of government in 2005, there has been a subtle shift in emphasis though not a fundamental break with the approach set out in the 2004 White Paper. In ministerial speeches this has been characterised as a 'policy of engagement'. This emphasises Norway's use of 'soft power' to promote dialogue processes, support to UN-led multilateral institutions and the rule of law, and an emphasis on gender issues and implementation of UNSCR 1325. Recent ministerial speeches have also noted that Norway's peace policy is characterised by 'broad political agreement' and is 'consistent and stable through changes of government'. While these subtle shifts in emphasis have no doubt been informed by the research funded by the MFA it is not possible to trace these back to particular pieces of commissioned research at any one of the four institutes.

<sup>99</sup> The nature of this network of researchers, NGOs and government officials has led Osterud and Tvedt to argue that it produce a lack of a critical voice within the Norwegian model.

process.<sup>100</sup> The relevance and importance of the research is that the networks it creates and enables can be used politically by the Norwegian government as a means of intervening into a conflict situation or in support of a peace process, while also creating a knowledge base to call on, to provide detailed support to its initiatives (though we conclude that it makes less effective use of the latter component once it has actually tapped into the networks as will be seen in the following section).

A variation on this theme is the use of research conferences, workshops and seminars as a means for developing contacts, or as a means of tacitly carrying out dialogue processes that would be difficult politically to put in place.

### **Embassies**

It is worth noting that the embassies themselves have limited budgets with which they can fund research on CPPB. Yet they are significant consumers and beneficiaries of the research funded by other parts of the Norwegian foreign policy system and also help to steer and structure research agendas through their annual activity plans for development cooperation.

As was the case at the ministerial level, there are multiple points of engagement with CPPB research. The first relates to the provision of detailed background information and deep analysis regarding a particular country situation. More often than not, this will be done in-house by embassy staff who may draw on existing research by the institute staff, research by other Norwegian and non-Norwegian bodies.

Very rarely does the need for background information result in a directly commissioned piece of research from a researcher at one of the institutes. It may take the form of participation by a researcher in a conference, workshop or dialogue process in country (for example on human rights issues, or gender issues). It may, however, entail support for and input into the agenda of a research project funded by other parts of the MFA (country desks or the PRU) or Norad.

The CMI-Afhad research project on the micro-macro dimensions of peacebuilding in Sudan is a good example. The individual research outputs in the form of working papers provides deep, detailed, nuanced insights into various aspects of the different conflicts in Sudan and in turn provide a platform for insights into the implications for the implementation of the CPA in the course of face-to-face briefings. In this case, however, there is an element of tension between the research needs and agenda of the academic researchers whose subtle, nuanced analysis of the complexities entailed in the various conflicts in Sudan does not readily translate into the policy prescriptions and recommendations that the embassy in Khartoum may have expected with regard to the implementation and monitoring of the CPA. However, this is compensated for in direct face-to-face briefings where the connections between the research and the CPA implementation process are more readily drawn out.

A second area relates to research that provides more direct input into policy making at the country level. This, again, draws on the detailed knowledge base that may be available within an institute or with an individual researcher. The extent to which this takes place is unclear. Based on the anecdotal evidence it would seem to be largely conditioned by the individuals involved and the nature or pattern of any relationship they have rather than taking place on a systematic basis. Interviews carried out in Sri Lanka by one team member in the framework of another evaluation would point to substantial divergence of views on the usefulness of some commissioned research in forming a policy, although this was not linked to one of the four research institutes.

The third point of contact is at the operational level, and the use of researchers as resource persons in a CPPB context. Such a role for and use of researchers is made possible by Norway's rather unique willingness to grant diplomatic status to individuals on a temporary basis. Here there is a direct use of the detailed knowledge an individual researcher may have on a country or a particular set of issues, and having them use this in a direct capacity as a participant in CPPB activities. The researcher may be offered up as an 'independent' analyst available to all sides in a negotiation process or may be co-opted into the Norwegian negotiating team.

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<sup>100</sup>This is powerfully reinforced, if not actually superseded by the same role being played by the extensive network of contacts developed by Norwegian humanitarian and development NGOs, such as NCA and NPA. Arguably, in the context of the Norwegian model, these are more important in establishing networks. And, as a consequence of the 'international market' in CPPB research but also the provision of development assistance and humanitarian aid, Norway is able to tap into the networks of non-Norwegian research institutes, researchers and NGOs in much the same way. To a certain degree this incorporates non-Norwegian actors into the Norwegian model.



A prominent example of this is the use of a PRIO staff member in the CPA and later Abuja negotiations in Sudan. At one level, this clearly creates questions about where the line is drawn in constituting research. At another level, it is clear from the interviews conducted for the evaluation that the research expertise of the individual was part of what constituted their credibility in dealing with the various parties in the negotiations.

As was the case with the senior ministerial level, the embassies are also interested in mobilising and tapping into the network of contacts that are enabled by a research project. The convening of an academic conference or workshop can provide a convenient cover for engineering a contact with those who might otherwise be reluctant about engagement with Norway, or to facilitate contact or unofficial dialogue between conflicting parties who would otherwise refuse to meet or speak with each other. It provides the embassy with access to local knowledge and perspectives on a conflict situation or CPPB process that can then be fed into and possibly re-orient Norwegian policy.

Finally, the research may have relevance in support of ‘capacity building’ in beneficiary countries. Via the research projects put in place, the four institutes will enable a whole range of capacity building strategies and activities, from developing and institutionalising indigenous research capacity to training on research methodologies, to enhancing the capacity to carry independent, critical research in often highly controlled or hostile environments. This, again, is an example of ‘using the researcher more than the research’.

### **Individual country desks**

For individual country desks there are also multiple points of engagement with CPPB research. The first and most obvious relates to drawing on the researchers or research institutes’ detailed knowledge and expertise regarding a particular country or region or issue. This may take the form of a commissioned piece of research, such as the FAFO living conditions surveys. More often than not, researchers feel that this work is not properly read or absorbed by the desk or policy makers. It is often digested via direct briefings on either a one-to-one basis or in the context of a workshop or seminar.

At the conceptual and policy level, such work may be used to promote critical dialogues on particular policies or initiatives. A good example of this is the PRIO research project on the ‘Missing Peace’ with its highly critical account of the Oslo process.

A second point of contact is in the form of consultancies which evaluate the working of particular programme or projects in a country and which may provide recommendations regarding changes to or continuation of the project. All four of the institutes have engaged in this type of research. In the case of CMI and PRIO, they are seen as a ‘top up’ activity and there is a conscious effort to move both institutes away from (but not eliminate) such work in moving towards more long-term funded research programme. In the case of FAFO and NUPI they are heavily reliant on such funded work and to some extent are caught on a self-perpetuating treadmill that locks them into an over-reliance on consultancy work at the expense of building up a long-term research capacity.

The third point of contact, and possibly least credible under the rubric of research, is the use of the institutes by the MFA to convene and arrange a roundtable, meeting or conference. While these activities show up on the books as ‘research’ they are little more than the provision of administrative and secretarial support in organising and hosting a meeting but with very little input into the substantive content of the agenda of the meeting. Again, though all are susceptible to this (CMI least so as it lacks the geographical proximity to Oslo), FAFO and NUPI are particularly vulnerable and reliant on this stream of income. The needs at the desk level highlight the problematic nature of demarcating ‘research on CPPB’ as some of these needs are operational bordering on secretarial.

### **Thematic Units**

The point of contact with CPPB research for the thematic units, such as the Department for Security Policy or for Humanitarian Affairs or UN are more broadly based than those of country desks (though they may intersect with these) and may be more closely resemble those at the ministerial level. As is the case with other components of the MFA, there most obvious connection to CPPB research is at the level of a detailed knowledge base regarding particular thematic areas as part of developing and implementing Norwegian policy – for example on humanitarian mine action

or gender. The thematic departments may also support research that is more conceptual in orientation, for example, exploring the relationships between development aid and conflict or the role of resource scarcity or environmental degradation and conflict in order to inform policy debates and developments.

An additional point of contact is at the operational level in the form of training and capacity building programme. Here the exemplar would be the Training for Peace programme which is managed by NUPI.

### **The Peace and Reconciliation Unit (PRU)**

The PRU is an anomalous entity within the MFA in that it is both a thematic desk as well as the body responsible for oversight of Norway's CPPB activities in countries in which Norway is directly involved such as Sri Lanka, Haïti, and the Philippines. And it has direct control over a substantial stream of CPPB research funding. As such it has a diverse range of contact points with CPPB research.

In its responsibilities for oversight of Sri Lanka, its point of contact with CPPB research is much the same as any other country desk. What is perhaps surprising in the case of Sri Lanka is how little recourse there has been to CPPB research by the four institutes.<sup>101</sup> This is largely explained by the lack of significant research capacity and expertise on Sri Lanka within the four institutes. Rather than build up such a capacity (which would entail a time frame at odds with more immediate operational needs), the PRU makes extensive recourse to non-Norwegian research available in the 'international market' in CPPB research – in the case of Sri Lanka making use of both localised and international researchers and institute.

However, the PRU does this in the context of what could be characterised as an 'international market' in CPPB research. This means that in meeting its CPPB research needs, the PRU will look to Norwegian and non-Norwegian institutes assessing the comparative advantage of each in an effort to identify the best and most relevant research. If Norwegian institutions and researchers have a comparative advantage in a particular area, then the PRU will turn to them. When they lack relevant expertise or comparative advantage the PRU will turn to non-Norwegian institutions and researchers.

Interestingly, and to a certain degree still in line with the Norwegian model, there is still the tendency to 'use the researcher rather than the research'<sup>102</sup> even in the case of non-Norwegian research capacity.

### **Norad**

Norad's relation to CPPB research is at arms' length, as it is often not directly an implementer of the findings of the research that it funds. Technically its role is to provide administrative and financial oversight of project. But depending on the individual desk officer, it can play an important role in the dissemination of research. In the case studies we have reviewed this has been very limited.

Again, in line with the 'Norwegian model' and the need to play to Norway's comparative advantage as a small power with relatively little 'baggage', the relevance of CPPB research to Norad is twofold. The first is in developing a deep understanding of the societal dynamics at play in a particular country that can be drawn on by various parts of Norway's foreign policy and development assistance governmental machinery in developing and implementing its CPPB policies. The second is in developing and maintaining a standing research capacity and its associated networks so that it can be drawn on as and when needed.

From Norad's point of view, the latter is a feature of the CMI-Afhad University project on peacebuilding in Sudan that is more important than the individual pieces of research that the project has produced. Again, an element of 'using the researcher rather than the research' is evident.

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<sup>101</sup>There is some work commissioned carried out by the University of Oslo.

<sup>102</sup>Interview with Mr Asbjorn Lovbraek



## EVALUATION REPORTS

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