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# Progress Report by the Director

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## INTRODUCTION AND HIGHLIGHTS

1. This report presents the Institute's activities for the period January through December 2013, including research, consultative and advisory work, and communications and outreach activities. It is supplemented by an Administrative and Financial Report.

2. During the current reporting period UNRISD celebrated its 50<sup>th</sup> anniversary: such a significant landmark provides an opportunity to both celebrate and reflect critically on the past, while looking to the future. Several activities during the past year served to deepen this process of reflection and analysis. These included, first, our own work internally to build a historical timeline of UNRISD research, and to compile three volumes of "classic" UNRISD publications.

3. Second, preliminary results from an ongoing evaluation of UNRISD research and impact commissioned by DFID, in conjunction with Sida, attest to the value attached to UNRISD's research by a wide range of United Nations, academic and civil society stakeholders. Covering principally the 2008–2013 period, the evaluation focuses largely on the impact and "value for money" of UNRISD research. The evaluation team, commissioned through a competitive tender, has consulted with numerous UNRISD research partners, users and other stakeholders. A report should be finalized for discussion in March 2014.

4. Third, the inclusion of UNRISD in a proposed merger of UN research and training institutions, and libraries, into a single Secretariat body, highlighted fundamental questions about the role of and value placed on research across the UN system, as well as the important contribution made by autonomous research institutes such as UNRISD. Throughout 2013 a significant amount of time, of UNRISD staff and Board members, was devoted to engaging with and responding to this reform process referred to as "Change Implementation". The initial proposal for consolidation (discussed at the 2013 Board meeting) met with resistance from the autonomous research institutions and their Boards, as well as from some member states. In response, the proposal was modified to a looser arrangement of coordination and networking. This proposal was published as General Assembly document A/68/485 on 26 September 2013, and scheduled for presentation to the Fifth Committee of the General Assembly by the end of 2013. The presentations were, however, postponed and no further information was available at the end of the reporting period.

5. These activities remind us that the vision of the founders of UNRISD 50 years ago, including Gunnar Myrdal and Jan Tinbergen, who sought to create a space for independent research on pressing contemporary social development issues, remains vitally relevant today. A meeting convened by UNRISD in New York, coinciding with the 51<sup>st</sup> session of the Commission for Social Development in February, brought together a number of leading thinkers who have played key roles within the UN system (including Richard Jolly, José Antonio Ocampo and Sakiko Fukuda-Parr among others). The workshop was a strong reminder of the contribution research and ideas have played in shaping the norms and values that underpin the work of the United Nations and in informing and influencing practice. It highlighted the conditions necessary for generating research that is both critical and relevant to policy, but noted with concern the shrinking space available for such research within

the system today. UNRISD and its Board insisted that such concerns be taken seriously in the proposed reform of research and training institutions. Feedback and support from numerous stakeholders—in academia and civil society as well as across the United Nations—in response to the reform process and as part of the ongoing evaluation have reaffirmed the important role of UNRISD in providing such a space.

6. Our 50<sup>th</sup> anniversary year was also one of internal consolidation, following many adjustments undertaken over the previous three years. The benefits of a new communications strategy have become increasingly apparent in the quality and visibility of outputs and an expanding range of events and social media activities. The updated and rebranded UNRISD website was launched. These achievements have occurred with a significantly reduced staff. The heavy demands of reporting to a larger number of project donors, together with increasingly time-intensive fundraising efforts, have also been effectively met, while the quality of support arrangements has enabled the continued generation of high-quality research within tight human resource and financial constraints. The achievements of UNRISD during the past year, reflected in this report, are the product of the outstanding commitment, efficiency and teamwork of a very small group of researchers, communications experts and administrative staff.

7. Significant progress was made during 2013 in realizing the 2010–2014 research agenda of the Institute, with ongoing and new research and activities across four programme areas: *Social Policy for Inclusive Development*; *Gender*; *Politics and Institutional Dynamics of Social Development* and *Social Dimensions of Sustainable Development*. A number of highlights are mentioned here, reflecting the innovative and critical nature of UNRISD research.

8. First, continuing our work on *Social Dimensions of Sustainable Development* launched in the run-up to Rio+20 in 2012, UNRISD convened a major event on *Social and Solidarity Economy* (SSE) in collaboration with the ILO and UN-NGLS. The rise of alternative forms of economic organizing and management of common pool resources, underpinned by principles such as solidarity, distributional equity or environmental sustainability, has been particularly notable following the global financial crisis. This conference was the largest event ever held on SSE within the UN system. It attracted global attention from civil society activists and academics, as well as government policy makers, and enabled UNRISD to significantly expand its research network in this field. Furthermore, it created a demand within the UN system for the establishment of an Inter-Agency Task Force on SSE, which is currently led by UNRISD.

9. Second, within the programme on *Politics and Institutional Dynamics of Social Development*, research on the *Politics of Domestic Resource Mobilization*, focusing on the political economy and institutional arrangements for revenue mobilization and allocation for social provision, has entered its fieldwork phase. This research also includes work in countries dependent on extractive industries. Preliminary outputs are attracting significant attention to an issue which will necessarily be central to any discussions of financing a post-2015 development agenda in a context of declining aid budgets.

10. Third, under the programme *Social Policy for Inclusive Development* a number of projects which are drawing to a close form the basis for the launch of a major initiative on *New Directions in Social Policy*. Building on the project *Towards Universal*

*Social Security in Emerging Economies*, new research in a number of middle and lower income economies will move beyond an assessment of specific programmes and their impacts to explore the political economy and drivers of social policy change. The project will explore how such countries are developing welfare policies to meet the complex challenges of the 21<sup>st</sup> century; whether we are seeing the creation of new social contracts or welfare systems more suitable to developing economies; and how lessons from such initiatives can be transferred. With funding from Sida, this programme will be launched with a workshop in April 2014.

11. Fourth, under the *Gender* programme, new research got under way in three countries in Asia, supported by the Ford Foundation, on the project *When and Why Do States Respond to Women's Claims?*. This project was UNRISD's response to findings from its earlier research on *Political and Social Economy of Care*, which raised the question of why some issues, such as care, are persistently neglected in policy and advocacy agendas. UNRISD staff continued to respond to numerous invitations to present work or participate in discussions on the care economy, while several major research institutes and international NGOs are now undertaking research programmes building explicitly on the earlier UNRISD research.

12. Across the research programmes, innovations can be seen in communicating about research at earlier phases of projects, with a growing number of short outputs such as project and event briefs and think pieces. Opportunities for researchers worldwide to feed their ideas into the UNRISD research agenda have expanded markedly with a growing number of short viewpoints published on the website. The year continued to see a number of academic publications, including 27 articles and chapters in peer reviewed journals and edited volumes. Seven edited volumes are in the pipeline, forthcoming in 2014.

13. Reflecting the high demand for research findings and other contributions from UNRISD, research staff have engaged in substantive ways with an increasing number of UN organizations and processes. Joint studies were undertaken with or commissioned by UN-ESCAP, UNDP China and UNICEF's East Asia and Pacific Regional Office; there was increased participation in activities with UN-DESA, a joint conference with ILO and UN-NGLS, and other activities involving WHO, OHCHR and UNESCO among others. Fifteen agencies and programmes joined the Inter-Agency Task Force on SSE, which was established during the reporting period on the initiative of UNRISD, ILO, UNDP and UN-NGLS. UNRISD staff also selectively engaged in advisory work, conferences and other activities with non-UN international bodies, civil society organizations, member states and academia, but are unable to respond to numerous requests given limited human and financial resources.

14. During 2013 UNRISD continued to attract an outstanding group of junior and senior scholars and other visitors: as visiting fellows, as speakers at seminars, as participants in workshops or project activities, and as interns and junior professional staff supporting both research and communications activities. The quality and commitment of this extended group of UNRISD staff and visitors is itself a reflection on the credibility of the institution and its work, and has been essential for maintaining quality, visibility, productivity and innovation during a period of reduced resources.

15. Other noteworthy achievements of the reporting period include the renewal of funding from Switzerland to UNRISD; the acceptance by Germany of an application for a Junior Professional Officer (JPO) for UNRISD in 2014; and the signing of a Memorandum of Understanding with the Chinese Academy of Social Sciences (CASS) as a basis to explore joint activities and funding.

16. The funding situation entering 2014 is slightly improved over that of a year ago. In part this reflects the continued reduction of expenditures in 2013 (a reduction of almost 50 per cent since 2008). It is also due to an increase in funds for research activities starting in 2014. Estimated expenditures in 2014 should exceed USD 4 million for the first time since 2008—an increase of 25 per cent over the 2013 level, with an expansion in particular of research staff and activities. Nonetheless, UNRISD's financial situation remains precarious due to declining levels of institutional or non-earmarked funding, and greater reliance on project funds.

17. During the current reporting period donors providing institutional support were Finland (Ministry of Social Affairs and Health), Sweden (Swedish International Development Cooperation Agency / Sida) and Switzerland (Federal Department of Foreign Affairs). UNRISD gratefully acknowledges funding from all the donors mentioned in this report.

18. The membership of the UNRISD Board changed following the 2012 session. The terms ended of Yesim Arat (Turkey), Peter Evans (United States), Rosalind Eyben (United Kingdom), Annika Sundén (Sweden) and Zenebeworke Tadesse (Ethiopia). The appointments of Jimí Adésinà (Nigeria), Asef Bayat (United States), David Hulme (United Kingdom), Joakim Palme (Sweden) and Onalenna Selolwane (Botswana) were confirmed by ECOSOC with four-year terms beginning in July 2013. UNRISD would like to acknowledge the exceptional contributions of outgoing members and thank them for their dedicated service to the Institute.

19. The Board has been a major source of support for the UNRISD Director and staff during the past year. This is visible in members' collaborative efforts to raise funds and enhance the visibility of UNRISD research, but most particularly in relation to the UN reform process. The UNRISD Board provided a particularly clear message to those managing the Change Implementation process that the autonomy of the Institute is integral to its ability to produce high-quality, critical and relevant research and thus to fulfil its mandate. UNRISD also appreciates the support received from a number of member states in this process.

20. Overall, there is reason to be optimistic that responses to financial and other reform challenges of recent years have positioned UNRISD to move into a period of renewed expansion, while acknowledging that we cannot be complacent about the progress made. The external environment, not only in terms of funding but also in relation to the kind of research which UNRISD undertakes, remains challenging. But we enter 2014 with ambitions to expand the core research programmes. A donor/stakeholder meeting is planned for mid-2014, aiming to strengthen commitment to UNRISD's financial security and engage in consultations about its future research agenda and institutional strategy.



# PROGRAMME OF RESEARCH: SOCIAL DEVELOPMENT IN AN UNCERTAIN WORLD

21. In 2013, UNRISD carried out research on a range of projects in four programmatic areas: Social Policy for Inclusive Development; Politics and Institutional Dynamics of Social Development; Social Dimensions of Sustainable Development; and Gender and Development. Research across all projects addresses two central questions articulated in the 2010–2014 Research Agenda: How can social policies contribute to inclusive and sustainable development? What political and institutional arrangements foster transformative social change and equitable welfare outcomes? Research activities and findings provide a basis for active engagement in various processes, within and outside the UN system, including those shaping the post-2015 development agenda.

## Social Policies for Inclusive Development

22. The Institute's work on *Social Policies for Inclusive Development* in 2013 saw the progression and conclusion of projects that examine the role of social policy within diverse development contexts. Ongoing research examines challenges and innovative policy responses among a number of emerging economies striving to provide universal social security, with particular focus on the fields of health and income security. Findings emphasize the importance of institutional complementarities in scaling up and overcoming the fragmentation of social transfers and service provision. The period also saw the initiation of a new project on *New Directions in Social Policy: Alternatives from and for the Global South*.

23. The project *Making International Development Cooperation Effective: Lessons from the Korean Experience*, (see Research Wrap-Up, paragraphs 63–83 in the 2012 Progress Report), saw the completion of the final edited volumes. The synthesis volume will be published with Palgrave Macmillan in the UNRISD series, *Social Policy in a Development Context*, in 2014, and by KOICA in Korean. Alice Amsden's paper for the project, *Securing the Home Market: A New Approach to Korean Development*, was published posthumously in May 2013 as an UNRISD Research Paper.

24. Increased research collaboration with other UN agencies and national governments was a feature of the social policy research programme in 2013. Papers commissioned by UNDP China and UN-ESCAP, as well as close engagement with member states such as Finland, demonstrate the relevance of UNRISD research on social policy to the UN system and national governments. Such processes contribute to a wider dialogue in the UN system and among member states about social security and welfare in times of austerity and crisis, also feeding into the formulation of a post-2015 development agenda.

## *Towards Universal Social Security in Emerging Economies*

### Background and context

25. Initiated in 2012, the project examines the efforts of selected countries—Brazil, China, Ecuador, India, Indonesia, Russian Federation, South Africa, Thailand and Venezuela—to move towards universal provision of social security with a focus on health care and income support programmes. The research aims to contribute to a better understanding of the diverse political, social, economic and institutional arrangements that enhance the availability, affordability and accessibility of social security schemes.

26. The project will draw policy lessons for lower income countries aspiring to move towards universal social security while giving sufficient attention to local contexts and the historical foundations of local institutions. The analysis and interim research findings are a key input shaping the agenda of the Second World Conference on the Development of Universal Social Security Systems, which is being convened by the government of Brazil and civil society partners in 2014. The background, context, and objectives of the project are described in detail in paragraphs 26–35 of the 2012 Progress Report.

### Commissioned papers

27. Of the 14 commissioned papers, 11 were submitted by November 2013, with the remaining three due in early 2014. The following papers were received in 2013.

- Julia Buxton (Bradford University, UK) – *Social Policy in Venezuela: Bucking Neo-Liberalism or Unsustainable Clientelism?*
- Linda Cook (Brown University, USA) – *Constraints on Universal Health Care in the Russian Federation: Inequality, Informality and the Failures of Mandatory Medical Insurance*
- Ben Fine (Professor of Economics, SOAS) – *Neoliberalism and its Impact on Social Security: Ideology, Policies and Practice*
- Susanne MacGregor (London School of Hygiene and Tropical Medicine, UK) – *Neoliberalism: Social Policy Consequences and Emerging Alternatives*
- Sebastian Mantilla (Latin American Center for Political Studies, Ecuador) – *Constraints on Universal Social Security in Ecuador*
- Ana D’Avila Viana (Professor, Department of Preventive Medicine, University of São Paulo) and Hudson Pacifico da Silva (Professor, School of Applied Sciences, University of Campinas) – *Universalization in Brazilian Health Policy: The Impact of the SUS on Political, Economic and Social Institutions*
- Marcus André Barreto Campelo de Melo (Federal University of Pernambuco, Brazil) – *Institutional and Political Drivers of Social Security Universalization in Brazil*
- Santosh Mehrotra (General Institute of Applied Manpower Research, Planning Commission, Government of India) – *The Fragmented Social Protection “System” in India: Five Key Rights, But Two Missing*
- Rebecca Surender (Oxford University, UK) and Robert Van Nierkerk (Rhodes University, South Africa) – *The Drivers of Universal Health Care in South Africa: Role of Ideas, Actors and Institutions*

- Asep Suryahadi and Athia Yumna (SMERU Research Institute, Indonesia) – *Social Security Reform in Indonesia: Current Process and Challenges*
- Prapaporn Tivayanond (Lecturer, Faculty of Social Administration, Thammasat University) and Piya Hanvoravongchai (Department of Preventive and Social Medicine, Chulalongkorn University) – *The Impacts of Universalization: Case Study on Thailand Social Protection and Universal Health Coverage* (This replaces the paper originally commissioned to Supon Limwattananon and Viroj Tangcharoensathien.)
- Shufang Zhang (UNRISD) and William Hsiao (Harvard University, USA) – *China’s Health Care Financing Schemes: Evolution, Challenges and Beyond*

28. The following papers are expected in early 2014.

- Michael Samson (Economic Policy Research Institute, South Africa) – *Methods of Measuring the Impacts of Social Policy in Political, Economic and Social Dimensions*
- Joakim Palme (Professor of Political Science, Uppsala University) – *Universal Social Security in the Northern Welfare States* (This replaces the paper originally commissioned to Thandika Mkandawire.)
- Thitinan Pongsudhirak (Chulalongkorn University, Thailand) and Phornchanok Souvannaseng (London School of Economics, UK) – *The Politics of Thailand’s Universal Health Care: Origins, Dynamics and Implications*

### Initial findings

29. Initial findings from the commissioned papers can be organized in two categories: (i) theories, contexts and concepts of universalization of social security; and (ii) case studies on progress towards universal social security schemes, in particular universal health care.

#### ***Theories, contexts, and concepts***

30. Ben Fine highlights the diversity of developed and developing countries’ welfare states in their responses to the varied impacts of financialization in the neoliberal era. Pointing out the shortfalls of many approaches to social policy research, including the welfare regime approach which obscures geographic and sectoral distinctions, he suggests an approach that focuses on the unique set of actors, processes and institutions of welfare provision in the public sector. He calls these “public sector systems of provision” (PSSOPs) that fall within a broad institutional context, and which can be used to understand the dynamics of welfare state response to financialization.

31. Susanne MacGregor explains that conditions beyond the state shape and constrain options for policies for universal social security in emerging economies, including a history of colonialism, economic dependency in the international economy, and degrees of political dependency in the international polity. Despite this, many emerging economies are striving toward provision of a social optimum rather than securing only the social minimum. Engaged in the processes of universalization of social policy approaches, many emerging economies are confronting these unique challenges and constraints in ways that differ from European welfare states during their postwar formation.

*Country case studies*

32. Ana D'Avila Viana and Hudson Pacifico da Silva explain the creation and growth over the last 25 years of the **Brazilian Unified Health System (SUS)**. Pointing out challenges to ensuring the principles of universality in the form of securing stable and sufficient funding, and the construction of regulatory policies and strategies to provide greater equity, they explain what dimensions of the health system and outcomes the SUS has improved. These include expanded primary health services, increased access and affordability of health care, and improved health service delivery. This has led to some improved health indicators despite a changing climate for the role of the state in Brazil.

33. The second Brazil paper, by Marcus Campelo de Melo, explains the emergence and expansion of the Unified Health System (SUS) as a response to the **Movimento Sanitarista** protests. Its success was made possible mainly through the expansion of non-contributory benefits to reduce regressive elements of the contributory system. This expansion is the outcome of (i) political incentives arising from electoral competition; (ii) SUS's fiscal sustainability that was the product of a massive increase in resources in the form of social contributions partly earmarked for social security and health care; and (iii) institutional capacity to run a complex decentralized system.

34. Linda Cook's paper demonstrates that since 2010 **Russia** has been recovering from a period of decline in many key health indicators caused in large part by a poorly designed health system and a decrease in state spending. She focuses on the relationship between inequality, informality and inefficiency in health system development in Russia. Prior to 2010, the Russian health system reinforced inequality through informal out-of-pocket payments, and consequently undermined efficient health resource allocation. Strengthened government control over the health sector after 2010, including recentralization of the health system at the federal level, has contributed to improving the health system, health outcomes and health equity.

35. Shufang Zhang and William Hsiao explain the transition of the **Chinese health system** towards universal coverage. China began to change its health policy in the early 1980s to include private participation in funding and health care delivery. However, Chinese universal health care is still in transition, establishing a new drugs purchasing and distribution system, developing a nationwide electronic information system, and training primary care physicians. The authors identify inefficiency and inequality as major obstacles to universalism, and suggest that the government should extend an adequate supply of quality services and drugs to under-served villages. To do so, complicated and sophisticated human resource policies must be designed and implemented.

36. Rebecca Surender and Robert Van Niekerk highlight the constraints and challenges of the **South African plan** for tax-funded universal national health insurance that was announced in 2012. Apartheid caused significant disparities in the health system, and the superior staff and services of private providers, which cover only about 16 per cent of the total population, has led to the need for significant transformation of the health system. The authors emphasize the importance of normative debates, and the tension between central and province-level government and stakeholders involved in health care system management, in the drive for universalization. Seeking to do away with the current two-tiered system of public and private sector provision, and to untangle health care from the market

through framing access to adequate and appropriate care as a social right of citizenship, national health insurance represents a fundamental transformation of the health system, and significant political will toward the principles of and objectives of universality and social solidarity in South Africa.

37. Sebastián Mantilla traces the expansion of social programmes targeted to the poorest households and the building of new institutions to integrate contributory and non-contributory programmes starting in 2007 under the Correa government in **Ecuador**. The government's move toward universal social security has been fraught with challenges related to high levels of inequality along rural/urban and ethnic lines, and the search for a sustainable financing structure that can withstand the aging demographic structure. The author argues that the move toward universal social security will involve greater integration with institutions beyond those of social security and increased government capacity to implement and enforce policy.

38. Prapaporn Tivayanand and Piya Hanvoravongchai adopt and elaborate on Sen's "comprehensive outcomes" approach in looking at the **Thai health system**. Through this lens, they examine the impact of the 30 Baht Universal Health Coverage Scheme with a focus on the impact on the health system as a whole, including providers, other health insurance schemes, and other public sector systems of provision. The changes in norms and institutional sophistication which the 30 Bhat UHC brought about contributed to enhancing the efficiency of health providers and the quality of other health insurance schemes, such as the Civil Servant Medical Benefit Scheme, and the country's Social Security Scheme (SSS) for private-sector employees. The authors highlight the intensive investment in the health system since the 1970s, uninterrupted even during the Asian Financial Crisis of the late 1990s. This investment was one of the major factors that laid the foundations for health system reform in 2001.

39. Santosh Mehrotra's paper on the **Indian case** demonstrates that through civil society mobilization and political support, India is moving towards a rights-based approach in access to education, food and employment. However, both social insurance and the health system are lagging behind in a rights-based framework. The health system and social insurance are characterized by fragmentation and little coverage. The government health system for the poor does not sufficiently protect against financial risk and does not cover the costs of hospital consultations. Lack of physical infrastructure and human resources hamper the achievement of quality health care for the poor. Health services are profoundly lacking in rural areas, and more staff and paramedics are needed overall. Proper drug procurement and emphasis on preventive public health like sanitation and nutrition are also needed to fulfil the commitment to universal health care as a right.

40. Julia Buxton's paper asserts that attempts in **Venezuela** under Chávez to implement an integrative model of universal social security were significant given the scale of the inherited social, economic and institutional crisis characterized by inequitable patterns of oil rent distribution, corruption, clientelism and institutional dysfunction. Though many of these issues remain, the Venezuelan case persists as an alternative to market-based social protection schemes and presents valuable lessons for addressing political sources of social inequality as well as obstacles to improved health and social development by vested interests.

41. The SMERU Research Institute paper focuses on the importance of political will in universalizing social security. Although the right to social security in

**Indonesia** is enshrined in the constitution, implementation has remained a significant challenge. Most recently, a law enacted in 2011 creates two social security implementing agencies: the BPJS Health, which will operate from January 2014, and BPJS Employment, set to operate in July 2015. The two agencies will be responsible for the universal provision of social security. It remains to be seen what the results and challenges will be after implementation, but the Indonesian example highlights the importance of political will in the implementation of universal schemes.

42. *This project is coordinated by Ilcheong Yi. In 2013, assistance was provided by Elizabeth Koechlein (research analyst), Rewa El-Oubari, Sarah Parker, Subhash Ghimire and Luis Hernán Vargas Faulbaum (research interns).*

43. *The General Institute of Applied Manpower Research, Planning Commission, Government of India; SMERU Research Institute, Indonesia; and the Economic Policy Research Institute, South Africa, are collaborating partners on this project.*

44. *Funding for this project is provided by the Ministry of Health / Hospital do Coração, Brazil, with additional support from UNRISD institutional funds.*

## ***New Directions in Social Policy: Alternatives from and for the Global South***

### **Background and context**

45. During 2013 work was initiated on the project *New Directions in Social Policy: Alternatives from and for the Global South*. This project starts from the premise that, notwithstanding persistent economic uncertainty and social crisis in many parts of the world, remarkable changes are taking place, particularly in some emerging and developing economies, in the nature and scope of social and economic policies designed to achieve better social outcomes. Social policy and programme innovations in the South have commanded widespread attention from the international community and some, such as conditional cash transfers, are being widely studied, evaluated and replicated. From a comparative social policy and political economy perspective, however, a number of critical questions about these policy developments remain poorly understood.

### **Research objectives and questions**

46. The project aims to analyse policies and programmes within their wider institutional and political contexts in selected emerging/developing economies. Research will focus on how countries contend with new contexts and risks, including global recession and austerity, environmental challenges or crisis, aging populations, changing public-private sector relations, and the rise of new social and political movements. Specific aims of this project are:

- To assess whether we are seeing the development of alternative approaches, systems or even welfare “regimes” in selected emerging economies that can assist low-income countries in defining and pursuing their development paths—both in terms of content and process of social policies, and in terms of how lessons are being shared in a changing development context.
- To provide improved analytical and methodological frameworks and tools for understanding the development of social policies and welfare systems in emerging/developing economies and for assessing the

impacts of policies and programmes; in doing so, it should contribute to theoretical understandings of the political economy of welfare and the emergence of new social welfare systems and social contracts in lower income settings.

- To provide evidence that will contribute to the elaboration of global development and policy priorities and how they can be met in a context where the international community is striving to redefine a set of consensus development goals beyond 2015.

47. Ultimately the research should contribute to policy debates on viable alternative approaches or policies that can assist low-income countries in defining and pursuing socially equitable and sustainable development paths, thus also contributing to implementation of new global development priorities beyond 2015.

### Progress and activities

48. During the current reporting period a number of activities, presentations and seminars were carried out and fundraising efforts were pursued, leading to a grant from the Swedish International Development Cooperation Agency (Sida) for an initial phase of research. Preparations were under way for an inaugural workshop with invited experts, to be held in Geneva on 7–8 April 2014.

49. On 6 February 2013, Sarah Cook presented the project at a side event of 51<sup>st</sup> session of the Commission for Social Development in New York, co-organized by UNRISD and the Permanent Mission of Finland to the United Nations. The Ministry for Social Affairs and Health, Ministry for Foreign Affairs and National Institute for Health and Welfare of Finland collaborated with UNRISD in convening a Global Social Policy Forum on 4–5 November, with the theme *New Directions for Social Policy: Towards Socially Sustainable Development*. Other presentations by Sarah Cook included a presentation at the SPA/DSA workshop, University of Bath, United Kingdom, in April; a seminar for Sida staff, Stockholm, in April; and a keynote address at the ACFID Conference on Development Futures in Sydney, in November.

50. *The project is coordinated by Ilcheong Yi and Sarah Cook. In 2013, assistance was provided by Esuna Dugarova and Elizabeth Koechlein (research analysts), and Luis Hernán Vargas Faulbaum (research intern).*

51. *The project proposal was developed with support from UNRISD institutional funds. In November 2013, the Swedish International Development Cooperation Agency (Sida) pledged funding for the first year of the project.*

### Health in All Policies

#### Background and context

52. In the context of institutional funding received from the Finnish Ministry of Social Affairs and Health, UNRISD contributed to a publication for the *Eighth Global Conference on Health Promotion* which took place in June 2013 (for additional background, see paragraphs 115–121 of the 2012 Progress Report). This conference, convened by the Government of Finland in collaboration with the World Health Organization, was a priority activity of the Finnish government in its promotion of the concept of “Health in All Policies” (HiAP).

### Progress, activities and outputs

53. The edited volume *Health in All Policies: Seizing Opportunities, Implementing Policies* was produced in collaboration with the Ministry of Social Affairs and Health, and the National Institute for Health and Welfare, both of Finland, and the European Observatory on Health Systems and Policies. Sarah Cook, supported by Shufang Zhang, was a member of the editorial team and also co-authored a chapter with Shufang Zhang and Ilcheong Yi titled “Health and Development: Challenges and Pathways to HiAP in Low-Income Countries”. Together with the Finnish Mission in Geneva, UNRISD co-organized a launch of the volume during the 66<sup>th</sup> World Health Assembly in May, and a special event to promote the publication was held at the *Eighth Global Conference on Health Promotion* in Helsinki in June. Ilcheong Yi was invited to speak on the topic at the Global Public Health Forum in Taipei in November.

54. The volume is in the process of translation into Chinese, Spanish and Persian; selected chapters are being translated into Finnish.

55. *This activity was undertaken by Sarah Cook, Shufang Zhang and Ilcheong Yi.*

56. *Support for this activity came from the contribution of the Government of Finland (Ministry of Social Affairs and Health).*

### Linking Social Protection and Human Rights

#### Background and context

57. This activity aims to provide insights into the benefits of mainstreaming a human rights approach to social protection, as well as the global, regional and local complexities and challenges of doing so. By creating an online repository of knowledge and information that can be used by policy makers, human rights advocates and development practitioners, the activity aims to raise the visibility of the human rights approach to social protection. The current debates and discussions shaping the post-2015 development agenda make this a timely exploration and analysis.

58. Social protection policies and programmes for poverty reduction and development have gained broad political support in recent years. Development actors and human rights advocates acknowledge that human rights play an essential role in combating poverty and likewise broadly agree that there are synergies between the human rights and development agendas. States, by virtue of an extensive array of international and domestic legal instruments, are required to ensure that human rights guide the design, implementation, monitoring and evaluation of all public policies, and UN agencies have also committed to mainstreaming human rights throughout the UN system (as, for example, in the UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation and Programming, 2003).

59. UN member states have recognized that respect for and promotion and protection of human rights are integral to working effectively towards the achievement of the MDGs (see, for example, the outcome document of the 2010 MDG Summit, *Keeping the Promise*) and that human rights must be at the core of a new global development agenda (as, for example, in the High-Level Meeting of the



General Assembly held on 25 September 2013). Global political support for the idea of government-funded minimum social protection floors crystallized in 2009, when the heads of UN agencies launched the One-UN Social Protection Floor Initiative. ILO Recommendation 202 on social protection floors (2012) also features a human rights perspective.

60. Greater awareness of existing analytical work in the area of social protection and human rights, legal cases where human rights arguments have been used to introduce, expand or protect social security systems, and improving the understanding of the rights-based approach to social protection are all critical to equitable, inclusive and sustainable development.

### Objectives and beneficiaries

61. This activity aims to provide key stakeholders with access to state-of-the-art analysis and evidence on the linkages between social protection and human rights. It aims to raise the visibility of existing knowledge by identifying, and bringing together in a user-friendly online repository, selected documents that critically examine the rationale, implications and effects of a rights-based approach to social protection. It will include key analytical publications and legal texts, as well as short commissioned commentaries or “think pieces”.

62. The specific objectives are as follows:

- through library and internet searches, identify existing research-based and analytical materials on the linkages between social protection and human rights; produce a literature review on the subject and compile key documents;
- identify legal cases where human rights arguments have been successfully used to introduce, expand or protect social security systems, and compile key documents;
- develop a small network of experts (bearing in mind geographical and gender representation) who are working on issues at the interface between social protection and human rights, and invite them to contribute commentaries or “think pieces” on provocative or controversial questions;
- raise the visibility and awareness of the linkages between social protection and human rights by making the compiled documents and commentaries available via [www.unrisd.org](http://www.unrisd.org).

63. Policy makers, civil society advocates, researchers and development practitioners will benefit from the documents brought together in the repository and the related commentaries. The work of UN member states and of UN agencies related to human rights and social protection will also benefit, as will regional and national courts, as well as human rights activists, lawyers and economists.

### Progress and outputs

64. The activity is being undertaken from October 2013 through January 2014. The material collected during this limited period of time will then be posted (or linked to) on [www.unrisd.org](http://www.unrisd.org). Should additional resources be secured, the activity could be continued, with the information repository populated with new documents as they become available, and additional contributions solicited.

65. UNRISD hosted Magdalena Sepúlveda, UN Special Rapporteur on Extreme Poverty and Human Rights, as a visiting research fellow in 2013. This activity has been carried out, under her initiative and supervision, by research interns Ryan Higgitt and Sudheesh Ramapurath and UNRISD's Communications and Outreach Unit.

66. *This activity is being carried out with support from UNRISD institutional funds.*

## *Strengthening Social Protection*

### Background and context

67. UNRISD was approached by the United Nations Economic and Social Commission for Asia and the Pacific (UN-ESCAP) in 2013 to prepare a report based on commissioned country case studies on expanding social protection as a contribution to the UN-ESCAP project *Strengthening Social Protection*. The objectives of the project include the documentation of national-level initiatives and innovations in social security schemes for the purposes of advancing knowledge and sharing experiences, making this request for collaboration highly relevant to UNRISD's own research agenda.

68. Based on case studies in six Asian countries—China, India, Indonesia, the Philippines, Thailand and Viet Nam—the synthesis report examines the design and implementation of social protection programmes with a focus on three major challenges for extending coverage in developing countries: (i) informality, and access of informal workers and their families to social protection and services; (ii) scaling up cash transfers as a major social policy response to overcome poverty; and (iii) the inclusion of migrant workers in social protection schemes.

### Progress and outputs

69. The report identifies and explains various institutional configurations for social protection and how they impact each other. It asks how the case countries tried to overcome inefficiencies in social protection, and how complementarity of institutions both old and new can maximize synergies for social protection. The synthesis report, drawing on UNRISD's 2010 flagship report *Combating Poverty and Inequality*, highlights the importance of supply-side investment in social service provision, the complementary relationship between cash transfers and labour market policies, and coordination and harmonization among social protection schemes, administrative units, and macro- and meso-level policies. Key findings include the following.

- The two different social protection approaches of **India and Thailand** have produced significantly different policy impacts in terms of protection of informal workers. The Indian system can be characterized as a fragmented system. Weak information and registration systems as well as a lack of investment in social service infrastructure exacerbate the problems of fragmentation. Thailand's universal health coverage demonstrates the clear advantage of universal social protection schemes in contexts where informal workers are abundant. Investment in the infrastructure of health care delivery in both urban and rural areas prior to the launch of 30 Bhat Universal Health Coverage Scheme is highlighted as a successful example.

- A residence-based registration system which restricts the portability of the entitlement to social protection schemes, in particular health care, is a major obstacle to expanding social service coverage to migrant workers, as seen in the **Chinese and Vietnamese cases**.
- Political will is needed to improve social protection for the poor, but elections can be a source of adverse selection in target areas or groups, as shown through the examination of cash transfer programmes in the **Philippines and Indonesia**. Various types of inclusion and exclusion errors have been identified, indicating the problems associated with targeting. Targeted cash transfers do not significantly contribute to the achievement of universal social protection unless they successfully elevate the incomes of the poor sufficiently to sustain relatively equal incorporation into employment, productive activities and growth processes. Complementary arrangements are also needed, particularly labour market policies and skills training. The absence of attention to secondary schooling in both Indonesia and the Philippines is another missing link in building complementary institutional arrangements for social protection.
- Successful **integration of internal migrants** in national social protection systems requires improved coordination and harmonization between different institutions, in particular between national and sub-national administrative and financial governance systems, labour markets, and productive development strategies.

70. Given that the project is a part of UN-ESCAP's initiative to establish policy tools for social protection, the synthesis report also emphasizes the context-specific factors—such as systems of production, and socio-cultural and political institutions—which must be taken into account when seeking to extract and apply policy lessons from one place to another. It highlights that individual social protection programmes should be considered within the broader development context; and that the sustainability of these countries' social and economic development is dependent upon complementarity in existing institutions.

71. *This activity was carried out by Ilcheong Yi and Katja Hujo (research coordinators). In 2013 assistance was provided by Harald Braumann and Elizabeth Koechlein (research analysts).*

72. *Funding was provided by UN-ESCAP.*

### ***Strategies for Integrated, Coordinated and Equitable Social Protection: Experiences of Japan, the Republic of Korea and Taiwan***

#### **Background and context**

73. In the context of a study on *Strategies to Promote an Integrated, Coordinated and Equitable Social Welfare System in China*, which will provide recommendations to the Chinese government, the UNDP office in China approached UNRISD to prepare a section on the development of welfare systems in East Asia. The UNRISD contribution looks at how Japan, the Republic of Korea and Taiwan have worked to overcome fragmentation in their social protection systems, and the lessons their experiences might provide for China.

74. It focuses in particular on how they dealt with fragmentation in state provision of welfare benefits and social services in the areas of primary health and medical insurance, compulsory education, and social assistance and basic pension programmes.

### Progress and activities

75. The paper focuses on three types of fragmentation: (i) the fragmentation of authority between the central, regional, and local government levels, i.e. vertical fragmentation; (ii) the degree of coordination between plural actors on the same government level, particularly in delivering specific benefits or services, i.e. horizontal fragmentation; and (iii) functional fragmentation such as inter-sectoral division.

76. Relevant lessons are, first, that the historical legacies of the systems of welfare provision established under Japanese imperialism have had a significant influence on post-war welfare institutions. Second, the institutions, actors and processes of rapid industrialization have significantly affected the shape of welfare institutions. Third, poverty was considered an “economic structural problem” to be solved through private employment rather than public assistance, and social policy was understood as both a short-term strategy to legitimize political power and a pre-emptive measure to contain the problems of industrialization. Fourth, although Japan, the Republic of Korea and Taiwan have all struggled with increasing inequality over the last two decades, they have performed well in terms of reduction of poverty and inequality in various social and economic spheres, such as wage and income, education, and health until the 1990s.

77. With regard to the issue of fragmentation, the developmental trajectories of health and pension schemes of these three cases show various pathways involving diverse actors, institutional arrangements and processes to reduce the costs of fragmentation. Although Japan still has fragmented systems of health and pension schemes, company-based or local government-based insurance funds are dealing with both schemes and aim at enhancing the level of inter-scheme coordination. The Republic of Korea, beginning with fragmented health schemes, achieved single payer schemes through the strong state’s role in coordinating different insurance societies.

78. *This activity was carried out by Ilcheong Yi. In 2013 assistance was provided by Elizabeth Koechlein (research analyst) and Luis Hernán Vargas Faulbaum (research intern).*

79. *Funding was provided by UNDP China.*

## *Migration and Health in China*

### Background and context

80. This project was initiated in 2011, in collaboration with Sun Yat-sen University, Guangzhou, China. The background, project objectives and activities during 2011–2012 were presented in the 2012 Progress Report (paragraphs 102–111). This year’s report focuses on the final phase of the project and a summary of key findings and outputs.

81. The links between migration and health are complex and under-researched, both internationally as well as in the context of large countries facing massive internal movements of population. China's size, and the scale and pace of population mobility and urbanization, provide an important case for understanding this complexity and its policy implications.

82. Under this project, a set of papers being produced by a network of approximately 70 Chinese and international scholars, across the fields of epidemiology and public health, migration, public and social policy, are collectively deepening knowledge of the issue in the Chinese context as well as expanding understanding of global concerns. The full list of commissioned papers and commentaries appears in paragraph 111 of the 2012 Progress Report.

### Progress, activities and research findings

83. Two papers were published in 2013 as online UNRISD Working Papers.

- Joseph D. Tucker, Chun Hao, Xia Zou, Guiye Lv, Megan McLaughlin, Xiaoming Li and Li Ling, *The Influence of Migration on the Burden of and Response to Infectious Disease Threats in China: A Theoretically Informed Review*
- Zhenzhen Zheng, Ciyong Lu and Liming Lu, *Reproductive Health and Access to Services among Rural-to-Urban Migrants in China*

84. Several other papers were being finalized to be issued as Working Papers in early 2014. An edited volume in Chinese of the project papers and commentaries is contracted for publication by the Chinese Social Sciences Press in 2014.

85. An overview paper (in progress) draws on the evidence accumulated through the project to present a framework for analysing the complex links between migration and health, highlighting the key pathways through which migration and health are interconnected with particular reference to China. The following key messages emerge from the evidence and analysis of the papers and commentaries.

- While the relationship between migration and health is complex, this complexity can be approached within an **analytical framework** which identifies the key pathways through which migration, at different stages (i.e. origin, movement, settlement, and return), may directly or indirectly influence health. This occurs through three major sets of determinants of health: immediate determinants such as epidemiological and environmental factors; socioeconomic characteristics such as income, education and social class; and policy and political contextual factors, including economic and social policies and institutions. The framework also captures the “reverse” pathways of how health and determinants of health may in turn affect migration decisions and other welfare dimensions associated with migration. Lastly, the framework identifies policy entry points, through which appropriate interventions can regulate how migration and health are interrelated in order to safeguard public and individual health in the context of large-scale population movement.
- In the case of China—a country experiencing fast economic growth, urbanization and industrialization, as well as growing regional and social disparities—the phenomenon of massive labour migration presents substantial population health challenges. All three sets of health determinants mentioned above contribute to these growing

challenges. The research has identified key public health and policy issues associated with large-scale migration in China, including:

- Unfavourable **immediate health determinants** among rural-urban migrants, which include poor working and living conditions, and limited health knowledge and risky behaviours, as compared with urban residents.
- Major **socioeconomic characteristics** that affect the health of migrants and their families, which include low social status and the associated factors such as income, education, occupation, gender and ethnicity. Migrants and their families with lower incomes, education and social status are more likely to encounter hardship, stress and a lack of access to health services, which can negatively affect their health, as compared with migrants with high socioeconomic status and urban residents.
- The above problems point to the broader **contextual and policy factors and gaps** that can explain the health challenges faced by migrants and their families. Those issues include the deeply entrenched social welfare policy divide between urban and rural residents concerning education, health and income (social protection policies). The widening geographic, social and health disparities between urban residents and rural-urban migrants are a result of this divide, and urgently needs to be addressed by policy.

86. While many of the issues summarized here are not new, this project is unique in bringing together a wealth of empirical evidence, based on a wide range of available data sets, that enables a deeper analysis of problems and challenges often described qualitatively in the literature. Most of the papers involve analysis of primary data, and three are based on longitudinal data sets, which allow for more robust analysis and results. Second, the multidisciplinary approach enables a more comprehensive articulation and assessment of issues, crossing boundaries of health and social sciences and public policy. In addition, the project tackles some neglected or poorly studied issues such as a gendered analysis of migration and health; a political economy analysis of the actors involved in migrant policy making; comparative work on international migration and health; and an analysis of return migration. Collectively, the project thus provides a holistic approach to understanding the challenges facing policy makers.

87. The project also identifies key knowledge gaps and policy implications. In terms of knowledge gaps, it reveals a paucity of relevant data. In particular, nationally representative longitudinal data on migrants and their families are limited, while data on the burden of disease broken down by population group, such as migrants, are unavailable. Further data collection and empirical studies are needed to better understand the following.

- The magnitude and distribution of the burden of disease (especially non-communicable and occupation-related disease) among migrants and their families across diseases, risk factors and population groups (disaggregated, including by gender).
- The health disparities between urban residents, migrant populations and the left-behind at the national level, and across key migrant-sending and -receiving regions.
- The impact of migration on the health of migrants and their families based on reliable and nationally representative longitudinal data.

88. Given the heterogeneity of migrants and their families in terms of socioeconomic characteristics and health profiles, such studies would help to focus on critical policy issues concerning migrants overall, as well as sub-groups (migrant women, migrant or left behind children and elderly, or ethnic minorities).

89. It is also necessary to further assess the effectiveness of policy interventions to address health issues concerning migrants and their families. Often these are fragmented and local. Instead, comprehensive and coordinated social policies involving joint efforts by government, employers, civil society and individuals will be needed to ensure better health for all in the context of large-scale migration in China and elsewhere.

90. Political commitment to equal access to basic social protection services (health, income, employment, social security, etc.) for migrants and their families is a key step to safeguarding population health and well-being. This would involve introducing or strengthening implementation of existing health and social policies (health insurance, occupational health regulations, education and other redistributive and gender-sensitive policies). The responsibility for better population health must be shared and financed among governments at different levels (from central to local), employers and individuals. Finally, given the mobile nature of migrants and the non-universal nature of current social protection policies, innovative approaches to organizing and providing health and other social services to migrants will be necessary in order to ensure uninterrupted access and service delivery.

#### Other outcomes

91. The project has led to the establishment of a network of over 70 researchers from 30 Chinese and international institutions, which should continue to serve as a platform for networking, exchange and multidisciplinary research on migration, health and social policies issues in China. Since its inception in 2011, the project has sought to facilitate policy discussions on migration and health issues among academics, health practitioners and government officials in China and beyond (see paragraph 107 in the 2012 Progress report). Efforts were ongoing within the project network to further the commitment of the Health Bureau of Guangdong province, the largest migrant receiving province in China, to address migration and health issues more effectively, particularly in relation to occupational health, reproductive health, and health insurance among migrants and their families.

92. *This project was coordinated for UNRISD by Shufang Zhang and Sarah Cook. The Center for Migrant Health Policy (CMHP), Sun Yat-sen University, Guangzhou, China, is the collaborating partner.*

93. *Funding for this project was provided by the China Medical Board.*

## Political and Institutional Dynamics of Social Development

94. The second organizing theme of the UNRISD research programme focuses on the political processes and institutional arrangements that foster positive social change. It builds on past UNRISD research in a number of areas, including the politics of poverty reduction and inequality; the nature of democratization and implications for social development, technocratic policy making and public sector reform; and participation, social movements and the role of non-state actors in governance and social development, including business actors such as national and multinational enterprises. Social development requires effective and accountable states, institutionalization of rights, sustained public engagement, and types of politics that empower groups, such as the poor or those marginalized, for example, by ethnicity, gender or age, to exercise influence in how policies are made and resources allocated. Yet in many areas, policy reforms for effective states with progressive social agendas and active citizenship remain disappointing, often ignoring structural factors that reproduce inequalities in power relations, or neglecting informal kinds of mobilization and citizen action.

95. Research under this theme examines the politics and processes through which state and non-state actors can deliver improved welfare outcomes to citizens. It sheds light on power dynamics and processes of social contestation and bargaining—between elite and non-elite actors, internal and external actors, public and private actors—and how they constrain or enable progressive social change. What are the possibilities for democratic developmental states with an active citizenry and enforceable social contract in the twenty-first century? Is the fiscal base of such a social contract sustainable, from an economic, political and environmental point of view, and how is it negotiated? Can social contracts be extended beyond national borders, and if they can, what are the appropriate governance structures? How will informal sector workers and migrant workers be included in this social contract?

96. These questions are approached in the context of three projects: Politics of Domestic Resource Mobilization for Social Development; Mobilizing Revenues from Extractive Industries: Protecting and Promoting Children's Rights and Well-Being in Resource-Rich Countries; and Regional Governance of Migration and the Protection of Socio-Political Rights.

97. The first two projects are related to past UNRISD research on *Financing Social Policy* and *Financing Social Policy in Mineral-Rich Countries*, with a stronger focus on the political economy and institutional arrangements of revenue mobilization and allocation for social provision. The third project continues UNRISD research on *South-South Migration and Social Policy* and examines different migration governance approaches at the regional level, aiming to understand the actors and processes which feed into the institutional make-up of emerging regulatory regimes, and their impact on migrants rights and well-being.



## *Politics of Domestic Resource Mobilization for Social Development*

### Background and context

98. This project, initiated in 2012 and continuing until 2015, is an inquiry into the political and institutional determinants of domestic resource mobilization for social development, in particular in low- and lower middle-income countries which are facing severe fiscal challenges that undermine efforts to realize national and international development goals. This context of constrained public finances intensifies contestation and competing claims over the mobilization and allocation of resources.

99. The project examines the processes and mechanisms that connect the politics of resource mobilization and demands for social provision, in particular processes of social contestation and bargaining; changes in state-citizen and donor-recipient relations associated with resource mobilization and allocation; and governance reforms that can lead to sustainable revenue yields and improved provision of services. How can states be held responsive to citizens, and how can citizens effectively make claims on the state to ensure that resources are mobilized and allocated for improved social outcomes? What is the role of political elites and emerging middle classes in developing progressive social contracts? What mediating structures, and delivery and accountability mechanisms, are needed to ensure the inclusion and representation of the poor or disadvantaged in such processes? (For detailed background and context, see paragraphs 44–46 of the 2012 Progress Report, and paragraphs 131–141 of the 2011 Progress Report).

### Progress and activities

100. The following activities were carried out during the reporting period:

- contracting of three country research teams;
- commissioning of eight thematic papers (external authors);
- implementation of a methodology workshop and production of related outputs;
- implementation of national workshops in Bolivia, Uganda and Zimbabwe;
- finalization of four country research proposals, submission of three draft country research reports No. 1, submission of four draft thematic papers; and
- publication of one thematic paper and three country briefs.

### *Country teams*

101. Based on the responses to the open call for expressions of interest (see paragraphs 55–56 in the 2012 Progress Report), the following teams were contracted for the country-level research (team leaders in bold):

- Bolivia: **Verónica Paz Arauco** (Instituto Alternativo), Santiago Daroca Oller (University of Lausanne), Wilson Jiménez Pozo (Fundación Aru)
- Guatemala: **Ricardo Barrientos**, Miguel Martínez, Abelardo Medina, Wilson Romero (Instituto Centroamericano de Estudios Fiscales / ICEFI)
- Uganda: **Anne-Mette Kjaer** (Aarhus University), **Mesharch Katusiimeh** (Uganda Christian University), Marianne Ulriksen (University of Johannesburg), Jalia Kangave (East African School of Taxation)

- Zimbabwe: **Richard Saunders** (York University), **Godfrey Kanyenze** (LEDRIZ), Alan Martin (Partnership Africa Canada), Shamiso Mtisi (Zimbabwe Environmental Law Association)

102. Good progress was made by the Bolivia, Uganda and Zimbabwe teams. In September 2013, UNRISD decided to postpone the collaboration with ICEFI on the Guatemala study, in accordance with the country team. The partner institution proved to be overcommitted (due in part to their status as a premier research institute on fiscal issues in the Central American region). This country study may be taken up again in mid-2014 (potentially as part of a second round of empirical work, as additional funding becomes available).

103. To replace the Guatemala research, UNRISD launched a new Call of Expressions of Interest in October 2013. Lower income countries within Latin America that are being considered for the cases study include El Salvador, Honduras, Nicaragua and Paraguay. The call for expression of interests was posted on the UNRISD website and advertised through the eBulletin and UNRISD's social media properties, and was additionally made available on the website of the International Centre for Tax and Development (ICTD) and circulated to targeted institutes and individuals.

#### ***Methodology workshop and national workshops***

104. A methodology workshop was held in Geneva on 2–3 May 2013, at which the project background and conceptual framework as well as the commissioned thematic papers were presented (see paragraph 60 in the 2012 Progress Report for further details). The country case researchers, project coordinator, UNRISD staff and external experts came together to discuss the country study proposals and research design, and to establish a common comparative research methodology. Additionally, project management issues, publications, and activities related to communication and outreach, such as impact of research at different policy levels, were discussed.

105. In addition to researchers from the country teams, the following external experts participated in the workshop:

- Aaron Schneider (University of Denver, USA), Aniket Bhushan (North-South Institute, Canada) and Yiagadeesen (Teddy) Samy (Carleton University, Canada)

106. As outputs from the workshop one video (interview with Godfrey Kanyenze) and three podcasts (interviews with team leaders Anne Mette Kjaer, Veronica Paz Arauco and Richard Saunders) as well as a viewpoint (by Katja Hujó) were posted on the UNRISD website. In addition, a workshop report has been prepared which will be published as UNRISD event brief in early 2015.

107. Draft research proposals and the outcomes of the methodology workshop were further discussed at national meetings of the country research teams which were held as follows:

- 30–31 May in Johannesburg, South Africa (Zimbabwe team);
- 31 May in La Paz, Bolivia (Bolivia team);
- 1–2 July in Kampala, Uganda (Uganda team).

**Case studies**

108. The country research teams developed extended research proposals for their respective case studies, which were revised after the methodology workshop and the national meetings. This was done in close collaboration with UNRISD to ensure the alignment of the country research with the project objectives and comparative research questions.

109. Three common issues shape the country research:

- who pays: contestation, bargaining and outcomes;
- changes in key relationships: state-citizens and state-donors; and
- upgrading institutional capacities for revenue mobilization and service delivery.

110. The case studies are addressing these research themes within their specific country contexts, with particular attention to those domestic revenue sources that are considered most relevant for each case, for example mineral rents in the case of Zimbabwe and Bolivia, and taxation and aid in the case of Guatemala (not reported here as the case study is postponed) and Uganda. The following paragraphs present a short overview of the three case studies.

**Bolivia**

111. Drawing on the revenues from its rich mineral resources, the Bolivian state has recently managed to increase public revenue and improve performance on several social indicators. At the core of these changes was the social mobilization that led up to oil and gas sector nationalization in 2006, which resulted in growing fiscal space and a prioritization of social spending.

112. Against this country context the research addresses the three research themes as follows.

- It studies the formal and informal features of the bargaining processes between social movements, the state, the companies and external actors such as donors; analyses the linkages between social contestation and resource mobilization strategies; and examines the outcomes of the current resource bargains between different state levels against the backdrop of an ongoing decentralization process.
- It analyses the conditions for improving and sustaining democratic state-citizen relations as well as state-state relations and the impact of DRM on these relationships; the changes in state-donor and state-investor relations; and the impact of these changing relations on social outcomes.
- It examines the spaces that have been formally created for civic engagement in social policies and the role of citizen engagement in the development and shaping of financial and social institutions. It studies the relationship between contestation processes, transparency and accountability of institutions and the bearings this has on social development.

**Uganda**

113. In aid-dependent Uganda, tapping into newly discovered oil reserves has the potential to transform the composition of public revenues and enhance fiscal space for social development. In a context of increasing electoral competition, the Ugandan government has recently implemented social policy programmes aimed at

reducing poverty—while patronage and political pressures on the public budget are preventing such policies from adequately addressing poverty and social exclusion

114. The country research is addressing the three issue areas in the following way.

- Examining the role of different actors such as members of parliament, civil society organizations, voters and powerful individuals in bargaining processes, the country case analyses different forms of social contestation with regard to indirect, direct and local taxes. It maps the interests and strategies of actors who have been involved in tax reform debates, and asks whether social mobilization around tax issues is linked with demands for social provision or other claims on the government.
- It explores how changing state-citizens and donor-recipient relations influence the prioritization of social programmes. It examines how relationships between key actors, interests and modes of financing have changed over time, and what the impacts are for social development outcomes.
- It looks at the trends and prioritization in budget allocation to different social and fiscal institutions, and considers how differences in institutional capacity influence the ability to promote social development, either through revenue creation or specific spending on social policies.

### *Zimbabwe*

115. Weakened by hyperinflation, political instability and lack of investment over the past decade, Zimbabwe has witnessed the withdrawal of official development assistance and a shift to aid distribution through NGOs. In recent years, these have been providing key services following the sharp contraction of public social spending. While the booming mining sector now features centrally in the country's resource mobilization strategies, administrative, enforcement, infrastructural, rent-seeking and political challenges pose severe constraints that must be overcome if the fiscal potential of the mining sector is to be realized.

116. The country case highlights the following aspects.

- It analyses which actors, institutions and processes have featured centrally in resource mobilization and bargaining in successive models of economic and social development since 1980; it examines spaces and arenas that exist for social mobilization and contestation; and it studies the main drivers that have led to shifting forms of resource bargains and outcomes over time.
- It examines how the social contract between state and citizens in Zimbabwe has changed over time and what role DRM strategies played in this process. It analyses the implications of new financing and allocation arrangements on donor choices and aid allocation, and the role donors and business have played in extending and reforming taxation regimes, the management of the mineral sector, and in influencing the direction of social policy.
- It analyses the processes, objectives and outcomes of reforms undertaken in fiscal and revenue institutions and studies the impact on social service delivery institutions; it examines the factors leading to the high tax performance in the country, obstacles to further reform and those that hinder effective investments in social services and social protection.

**Research reports and briefs**

117. Based on the finalized research proposals, UNRISD prepared project briefs on the Bolivia, Uganda and Zimbabwe research; these were published in December. They inform about the country-level research, broaden project networks and create impact channels, in particular at the national level, and stimulate debate on DRM and social development in these countries. The briefs provide information on the historical context of each country as it relates to revenue and social expenditure policies, the research questions and the insights they are aiming to generate.

118. The first research report for each country was received by the end of the reporting period, and further reports will be submitted throughout 2014. The following outputs are planned for each country case:

- Research Report 1: Overview report on the history of DRM and social spending
- Research Report 2: Contestation and resource bargaining
- Research Report 3: Key relationships, such as state-citizen and donor-recipient
- Research Report 4: DRM and institution-building
- Research Report 5: Synthesis
- A policy brief

**Thematic Papers**

119. Work was under way on nine thematic papers during the reporting period:

- Aaron Schneider (University of Denver) – *Political Economy of Fiscal Bargains in India and Brazil*
- Aniket Bhushan (North-South Institute), Yiagadeesen (Teddy) Samy (Carleton University) – *Fiscal Capacity and Aid Allocation: Domestic Resource Mobilization and Foreign Aid in Low-Income Countries*
- Cécile Cherrier (University of Maastricht and UNRISD visiting research fellow) – *The Politics of Revenue Mobilization for Social Transfers in Aid-Dependent Countries*
- Jamee K. Moudud (Sarah Lawrence College), Enrique Delamonica (UNICEF TACRO), Esteban Pérez Caldentey (ECLAC) – *State-Business Relations and the Financing of the Welfare State in Latin America: Challenges and Prospects*
- Javier Arellano (University of Deusto), Andrés Mejía Acosta (King's College London) – *Extractive Industries, Revenue Allocation and Local Politics*
- Mick Moore (International Centre for Tax and Development, ICTD) – *Obstacles to Increasing Tax Revenues in Low-Income Countries*
- Thandika Mkandawire (London School of Economics) – *Tax Policy and Welfare Regimes in Sub-Saharan Africa*
- Yusuf Bangura (University of Sierra Leone) – *Resource Bargains: A Neglected Dimension of Social Development*
- Katja Hujo (UNRISD) and Yusuf Bangura (University of Sierra Leone) – *The Politics of Domestic Resource Mobilization for Social Development: An Issue Paper*

120. Finalized papers will be made available on the UNRISD website. The paper by Mick Moore was published in December jointly with the International Centre for Tax and Development at IDS, UK. In this way the publication should benefit from

ICTD's "reach" among tax specialists, including tax administrators in developing countries, thereby gaining visibility among a potential readership that UNRISD might not cover.

***Communications and outreach***

121. Thanks to the two Calls for Expression of Interest (November 2012 and October 2013) and presentation of the project in different meetings and conferences, the project network continued to grow during the course of 2013. A targeted email list has been created in order to communicate relevant activities and publications, and the first project email newsletter was disseminated in December. Research Coordinator Katja Hujo presented the project at an ILO-FES workshop in Crozet, France, in March, at an international workshop organized by Sheffield University in May, and during a seminar organized for Latin American staff of FES in Geneva in June. UNRISD director Sarah Cook gave a presentation on "Policy Space through DRM" at a side event at the Commission for Social Development in February. Marianne Ulriksen, researcher in the Uganda team, gave a presentation at the international conference on Financing Options for Social Protection in Entebbe, Uganda, in October. UNRISD targeted this event to disseminate a significant number of publications and the project information brief to the 100 participating academics and policy makers. New contacts were established with representatives from NGOs and international tax justice networks during an Expert Group Meeting on The Human Rights Impact of Fiscal and Tax Policy, held in Geneva in September.

122. *Katja Hujo is coordinating the research. In 2013 assistance was provided by research analysts Ciara McCorley (until February 2013) and Harald Braumann (from July 2013), and Zubair Shahid and Inês Schjolberg Marques (research interns).*

123. *Funding for the project is provided by the Swedish International Development Agency (Sida), and is complemented by UNRISD institutional funds. In late 2013, the Swiss Agency for Development and Cooperation (SDC) committed additional funding for this project starting in 2014.*

***Mobilizing Revenues from Extractive Industries:  
Protecting and Promoting Children's Rights  
and Well-Being in Resource-Rich Countries***

**Background**

124. The UNICEF East Asia and Pacific Regional Office (EAPRO) approached UNRISD in 2012, further to the project on *Financing Social Policy in Mineral-Rich Countries*, to express interest in research collaboration on children's rights and well-being in countries with large-scale extractive industries. Against the backdrop of a booming mining sector in several resource-rich developing countries where UNICEF is working to improve the lives of children and their families, the question emerged how to harness revenues from extractive industries for child-friendly policies. UNICEF-EAPRO had conducted background research on *Extractive Industries, Children and Inclusive Growth* in Mongolia, Papua New Guinea, and Timor-Leste, and wanted to take this research further.

125. Given previous collaboration between the two agencies and the recognized expertise of UNRISD in linking the theme of mineral-led development with social

policy, it was agreed to join forces to facilitate knowledge production and concrete policy impacts at the country level. A Letter of Agreement between UNICEF-EAPRO and UNRISD was signed in July 2013, with the research to be completed by early 2014 and publication and dissemination activities (including country research reports, a synthesis paper and a policy brief) in 2014.

### The issue

126. Whether natural resource wealth can be harnessed for poverty reduction and social development, including the progressive realization of children's rights as laid out in the Convention on the Rights of the Child, depends crucially on the political processes and policy choices that guide the capture and distribution of rents from the extractive sector.

127. However, many developing countries that depend on natural resources such as agriculture or minerals have not been successful in transforming this natural wealth into growth and social development, a phenomenon that has been called the "resource curse". UNRISD research has shown that in mineral-rich countries that performed more successfully, the state played a strong role. These countries used economic policies to provide incentives for productive investment and diversification while safeguarding macroeconomic stability; they showed a willingness and capacity to negotiate and establish consensus between different actors and social groups; and they invested in comprehensive social policies.

128. A strong developmental case can be made for investing in children in mineral-rich contexts. Children are one key avenue to invest the revenue from the extractive industries (EI) in a strategic and sustainable way. Emphasizing children, and consequently those who constitute our future societies, in national strategies of mineral-led development brings in a long-term consideration to what is ultimately a finite source of national wealth. In this sense, it contributes to inter-generational justice and long-term growth prospects.

129. Children experience the economic and social environment of their communities differently from adults. For this reason, any negative impacts associated with productive activities or public policies need to be carefully assessed with regard to children, given their greater vulnerability, their specific needs—especially during crucial life stages such as early childhood and adolescence—and the potential implications for their future development. Understanding how EI and mineral-led development impact children's rights and well-being can in turn guide policy makers in their efforts to minimize harm and maximize benefits, including through equitable investments in social policies for children.

### Objectives

130. The research examines the impact of extractive industries on children, and seeks to understand the issues and processes around revenue generation from EI with a focus on the implications for equitable social policies for children. The project is closely aligned with the ongoing research on *Politics of Domestic Resource Mobilization for Social Development* (discussed above). It is informed by that project's conceptual, thematic and country case research, as well as by findings from previous UNRISD research on *Financing Social Policy in Mineral-Rich Countries*.

131. The objectives of the project are to inform national and international debates on channelling revenues from mineral extraction towards social policy and

investments in children; to examine public finance mechanisms, economic and social policies as well as political conditions that are conducive to this end; and to contribute to knowledge creation and institutional learning within the partner organizations.

132. More specifically, it aims to:

- advance knowledge and understanding of the linkages between extractive industries and public policies as they relate to children's rights and well-being in Mongolia, Papua New Guinea and the Philippines; and
- advance knowledge and understanding of the political processes and institutions that impact on revenue mobilization in Mongolia, Papua New Guinea and the Philippines.

### Progress and activities

133. The following activities were carried out during the reporting period:

- launch of an open call for expressions of interest to identify research consultants for country-level research in four countries;
- commissioning of the country research papers;
- editing and provision of extensive comments on draft papers;
- building and maintaining a growing network of individuals and organizations working on issues of extractive industries and children's rights and well-being; communication and outreach activities.

#### *Call for expressions of interest*

134. An open call for expressions of interest to participate in the research project was launched in June in order to identify potential country-level researchers in four countries (Mongolia, Papua New Guinea, the Philippines and Timor Leste) that were suggested by UNICEF-EAPRO in response to interest from country offices. The call received expressions of interest from 33 researchers for conducting country research for the specific country studies, and 18 formal applications with research proposals were submitted.

135. The call proved to be a very useful means to broaden the UNRISD stakeholder network around the research issue and target audience. Interest from researchers as well as practitioners and students working on issues related to extractive industries and children's rights have led to new connections, which may lead to future collaboration.

136. From the four initially targeted countries, three were selected by UNRISD and approved by the respective UNICEF country offices. The case study on Timor Leste was not pursued given the sensitive nature of the analysis in the current political context of the country.

#### *Commissioned papers*

137. Two papers were commissioned for each of the countries, as follows.

- **Research paper 1**, "Extractive industries and the financing of child-inclusive social development", analyses the linkages between the extractive sector and public policy as it relates to children's rights and well-being. The paper provides information on the general fiscal performance of the country and the specific contribution of the mining sector to the budget. In order to assess the impact of mineral-led



development strategies on children, the paper also provides data and simulations as the basis for an impact analysis on children's well-being and equity. The paper formulates policy recommendations in terms of public finance mechanisms and related public policies for channelling mineral rents into investments for children.

- **Research paper 2**, "The political economy of mineral resource governance and children's rights", analyses the political processes associated with domestic revenue mobilization (negotiations with different actors, e.g. investors, donors and civil society; social mobilization around EIs) including mineral rent capture and distribution. The role of the state in managing the socioeconomic and environmental impact of extractive industries entails putting in place mechanisms to build consensus between various actors (including private actors) and social groups with competing needs and interests. The analysis provides data and information to assess whether participating actors represent child interests, directly or indirectly, or whether and how children are affected by political processes related to revenue generation from EI (within the process and through process outcomes). The paper identifies relevant actors and the changing relationships between them, as well as institutional development.

138. Researchers were contracted for the papers on each country as follows:

- **Mongolia**
  - *Paper 1*: Otgontugs Banzragch (National University of Mongolia) and Uyanga Gankhuyag (UNDP New York)
  - *Paper 2*: Pascale Hatcher (Ritsumeikan University, Japan), Etienne Roy-Grégoire (Université du Québec à Montréal, Canada) and Bonnie Campbell (Université du Québec à Montréal, Canada)
- **Papua New Guinea**
  - *Paper 1*: Orovu Sepoe (Independent Consultant, Port Moresby, Papua New Guinea) and Elizabeth Cox (UN Women/Global Fund for Women)
  - *Paper 2*: Catherine Macdonald (Independent Consultant, Australia)
- **Philippines**
  - *Paper 1*: Cielo Magno (Bantay Kita, Manila, Philippines)
  - *Paper 2*: Jewellord Nem Singh (Sheffield University, UK), Jean Grugel (Sheffield University) and Pascale Hatcher (Ritsumeikan University, Japan)

139. UNRISD and EAPRO drafted a guidance note on the linkages between mineral-led development and child well-being which serves as a point of reference for the common issues to be addressed across the country cases.

140. The first drafts for the country research papers were submitted in October and November, and extensive feedback and comments were provided by UNRISD, UNICEF-EAPRO and the respective UNICEF country offices. The final papers are due to be submitted by the country researchers in early 2014.

#### ***Communications and outreach***

141. The positive response by the country offices proved the usefulness of the collaborative approach to identifying knowledge gaps and developing research approaches which can influence policies. The research network has also expanded in

terms of the commissioned researchers, many of whom are closely linked to development practice or policy making in the case study countries.

142. The project was presented by Research Coordinator Katja Hujo at the Expert Group Meeting on The Human Rights Impact of Fiscal and Tax Policy, held in Geneva in September in preparation for the next thematic report of the Special Rapporteur on Extreme Poverty and Human Rights. It was also mentioned in presentations made at an ILO-FES workshop in Crozet, France, in March, at an international workshop organized by Sheffield University in May, during a seminar organized for Latin American staff of FES in Geneva in June, and in a lecture given at the Global Environmental Policy Programme Summer School in Geneva in September.

143. As part of a new outreach activity to be launched in 2014, which is designed to encourage engagement with graduate students working on social development issues, UNRISD will launch an open call for submission of think pieces based on outstanding research (endorsement of supervisors/referees is necessary). The first edition of this call for student think pieces will focus on the theme of extractive industries and mineral-led development.

144. UNRISD has accepted the application of a visiting fellow to investigate the linkages between human rights law and development policy to promote intergenerational equity and social justice, with special emphasis on extractive sectors and the rights of future generations. Karen Moir will commence her visiting fellowship in early 2014.

#### ***Further project development***

145. The collaboration with UNICEF-EAPRO has brought about increased interest in the project within other parts of UNICEF, and communication has started with the regional office of UNICEF in Latin America and with country offices in sub-Saharan Africa. Discussions are ongoing with the UNICEF office in Mozambique, which has expressed an interest in a country study that would address questions of social contestation and bargaining, key relationships and institutional development around resource mobilization as they relate to children's rights and well-being in the context of extractive industries. This research, if funded, would build on work already carried out by UNICEF Mozambique on natural resource revenues and social development, and would cut across UNRISD's PDRM and EI projects.

146. *Katja Hujo is coordinating the project at UNRISD. In 2013 assistance was provided by Harald Braumann (research analyst) and Inês Schjolberg Marques (research intern).*

147. *Funding for this project is provided by UNICEF-EAPRO, with additional support from UNRISD institutional funds.*

### ***Regional Governance of Migration and the Protection of Socio-Political Rights: Institutions, Actors and Processes***

148. This project is part of a broader inquiry into the linkages between migration and social policy, and builds on previous UNRISD research on *Social Policy and Migration in Developing Countries* (see paragraphs 106–129 in the 2009 Progress Report for a Research Wrap-Up).

## Background and context

149. International labour migration continues to be one of the most pressing issues in most if not all regions of the world, and one on which national governments are continually encouraged to negotiate and collaborate in an attempt to establish viable mechanisms for its regulation. In recent years most academic and policy attention regarding migration governance over the last few years has been given to global regulatory solutions to the neglect of developments at the regional level. Although many regionalization projects have existed for decades, few have advanced beyond initial trade agreements towards policies for the free movement of people and more integrated policy frameworks tackling issues such as social protection, redistribution and political participation.

150. One of the key policy fields to which actors such as UN agencies and regional associations pay attention is labour migration management and collaboration on social security issues. While portability of contribution-financed social entitlements for formal migrant workers remains a challenge, access of documented and especially undocumented migrants to tax-financed social services and cash transfer programmes continues to be a contentious issue, with the result that a large part of intra-regional migrants are excluded from a social contract that continues to be defined at the national level.

151. The project focuses on the potential and actual role of regional, or subregional, bodies in creating regional migration governance policies and in developing social policy initiatives that integrate cross-border and intraregional migration. Regional governing bodies have a potentially significant role to play in bringing the policy fields of migration, social policy and development together by approaching migration cooperatively from the sending and receiving ends.

152. For further details on the project, see paragraphs 84–92 in the 2012 Progress Report.

## Progress and activities

153. The following activities were accomplished during the reporting period.

- Implementation of an international conference in collaboration with UNU-CRIS and the University of Freiburg, Arnold-Bergstraesser Institute (Germany) in Geneva on 14–15 January.
- Implementation of a public policy forum co-hosted with the Friedrich-Ebert-Stiftung (Geneva Office) and the Programme on Gender and Global Change at The Graduate Institute in Geneva on 15 January.
- Publications and outreach activities as a follow-up on the conference and policy forum.

### *International conference*

154. The international conference brought together distinguished migration researchers from Asia, Latin America, the Middle East, Europe and Canada. Papers were discussed by invited international scholars and experts from Geneva universities and international organizations. Discussions were framed around the following questions. Why should regional institutions play a part in the provision of the social rights of migrants moving within a region? Can we identify elements of an emerging regional governance architecture? And finally from a normative perspective, how can legal and social protection for migrants and their families be

improved, how can their participation (political, socio-economic) in sending and host countries be enhanced, and how can the migration-development nexus be optimized (in both sending and receiving countries)? For more detailed information on the topics covered by the conference and a list of conference papers, see paragraphs 94–96 in the 2012 Progress Report.

#### ***Policy forum***

155. The public policy forum, *A Rights-Based, Gender-Equitable Approach to the Regional Governance of Migration: An Elusive or Achievable Prospect?*, was held in partnership with the Friedrich-Ebert-Stiftung and The Graduate Institute in Geneva in January (see paragraphs 97–99 in the 2012 Progress Report). The objective of the policy forum was to engage in a broad debate with the general public in Geneva, in particular with civil society organizations working on migration and human rights issues, academics and others. The Forum was well-attended, not least because the panel included two of the current UNESCO Chairs on migration, Bob Deacon, UNESCO-UNU Chair in Regional Integration, Migration and Free Movement of People, and Raúl Delgado Wise, UNESCO Chair in Migration, Development and Human Rights.

156. An event brief summarizing key discussion points raised during the Forum is available on the website of the Friedrich-Ebert-Stiftung Geneva. A podcast of the policy forum and videos of three of the presentations were produced by UNRISD. The videos have attracted more than 1,000 views.

#### ***Communications and outreach***

157. In terms of outreach and impact, two of the conference papers were cited in the background paper prepared by Khalid Koser for the UN High Level Dialogue on International Migration and Development in October (*Assessing the Effects of International Migration on Sustainable Development and Identifying Relevant Priorities in View of the Preparation of the Post-2015 Development Framework*).

158. Project co-coordinator Nicola Piper drew on the UNRISD project in a number of presentations given in various forums throughout the year.

- Side events at the UN High Level Dialogue on International Migration and Development (October, New York)
- Democratising Migration Governance through Regional Migrant Rights Activism: Engaging with the ASEAN Mechanism and Beyond (with Stefan Rother), 7th EuroSEAS Conference (July, Lisbon)
- ASEAN Management of Migrant Workers, International Conference on Imagining the ASEAN Community (October, Sydney South East Asia Centre, USYD)
- Global Governance of Migration and the Difficulties of Promoting Migrants' Rights: Observations from Asia, International Conference on Human Rights and Development (May, Seoul)

159. The process of commenting and revising conference papers and the background paper is ongoing. It is planned to post revised papers and an event brief on the UNRISD website in early 2014, and to subsequently publish selected papers in a journal or edited volume.

***Related publications and outputs***

- Katja Hujo. 2013. Linking social policy, migration and development in a regional context: The case of Sub-Saharan Africa. In *Regions and Cohesion*, Vol. 3, No. 3. (Special Issue—Regions without Borders: Regional Governance, Migration and Social Protection in Africa and Europe, edited by Bob Deacon, Lorenzo Fioramonti and Sonja Nita, pp. 30–55).
- Ronaldo Munck and Mary Hyland. 2013. Migration, regional integration and social transformation: A North-South comparative approach. In *Global Social Policy* (first published online on 8 October, doi:10.1177/1468018113504773).
- Katja Hujo. 2013. Some Migrants Ignored. Letter in response to the article “Does migration change life for the better for people from poor countries?”, in *Guardian Weekly*, 25 October.
- Katja Hujo. 2013. Response to featured Q&A on “What Factors are Driving Migration Trends in the Region?”, in *Inter-American Dialogue’s Latin America Advisor*, 27 September.

160. *The project is coordinated by Katja Hujo in collaboration with Nicola Piper (Sydney University, ABI Freiburg). In 2013 support was provided by Tamara Last (research intern), Ciara McCorley (research analyst, until February) and Harald Braumann (research analyst, from July).*

161. *Support for the conference, the public policy forum, and publications and communications outputs was provided by the Fritz-Thyssen-Stiftung (Germany), the Friedrich-Ebert-Stiftung (Geneva Office) and UNU-CRIS, with additional support from UNRISD institutional funds. Currently, funding for further activities is being sought.*

## Social Dimensions of Sustainable Development

162. Persistent poverty, growing inequalities, recurring financial and food crises and climate change are stark reminders that the goals of sustainable development remain as elusive as ever. The international development community is coming to accept that sustainability will require significant transformations in patterns of investment, technology, production, consumption and governance. It is also refocusing attention on the need for a more integrative approach to development that recognizes the tensions, complementarities and synergies between economic, social and environmental dimensions. In the context of both the 2012 *United Nations Conference on Sustainable Development* (Rio+20) and the post-2015 process, however, it has become clear that the need remains great for sound analysis and coherent policy related to the social dimensions of sustainable development.

163. During the reporting period UNRISD carried out a wide-ranging programme of work on *Potential and Limits of Social and Solidarity Economy*, including an international conference, the formation of a UN Inter-Agency Task Force, numerous outreach events and the negotiation of an agreement with Zed Books to publish an edited volume in their “Just Sustainabilities” series. Background research was undertaken in-house for the project *Eco-Social Policy for Sustainable Development*, and fundraising efforts were pursued. UNRISD prepared a background paper at the request of UN-DESA on the theme *Social Drivers of Sustainable Development*, which was subsequently used, in large part, in the Report of the Secretary-General on the Emerging Issue for the 2014 session of the Commission for Social Development. Finally, at the request of the Government of Qatar, UNRISD developed a proposal for a large-scale project on *Social Dimensions of Food and Water Security in Dryland Areas*.

### *Social and Solidarity Economy*

#### Background and context

164. Growing concerns about the consequences of market- and corporate-led development have reignited interest within knowledge, advocacy and policy circles in alternative ways of organizing production, exchange, finance and consumption. Increasing attention has focused on “social and solidarity economy”, which refers to economic activities undertaken by organizations and enterprises driven by explicit social and often environmental objectives, and adopting principles and practices involving collective action and solidarity. SSE includes not only traditional cooperatives and mutual associations, but also social enterprises, self-help groups, community-based initiatives engaged in social service provision and management of common pool resources, fair trade networks, organizations of informal economy workers, alternative finance schemes and NGOs that are relying less on grants and more on income-generating activities.

165. While much is known, often anecdotally, about the myriad social and solidarity economy organizations and practices that exist locally, and the ways they address multiple development objectives, far less is known about the conditions that enable social and solidarity economy initiatives to move beyond the micro, project or community level, and to multiply and expand locally, nationally, regionally and globally. The literature on social and solidarity economy often fails to interrogate sufficiently the challenges and contradictions involved as expansion occurs and

organizations interact more intensively with market and state institutions, or with different types of civil society networks and social movements.

## Activities and outputs

### *International conference*

166. In October 2012, UNRISD launched a wide-ranging inquiry on the *Potential and Limits of Social and Solidarity Economy*, which was initiated via a call for papers that received an overwhelming response. Proposals for 40 papers from 49 researchers from 21 countries were selected. On 6–8 May 2013 UNRISD convened a conference where the papers were presented. The event was co-hosted with the International Labour Office (ILO) and co-organized with the United Nations Non-Governmental Liaison Service (UN-NGLS). Funding was provided by the ILO, as part of the implementation of their Strategy on South-South and Triangular Cooperation, as well as Hivos, the Rosa Luxemburg Foundation and the Ville de Genève. The main objectives of the conference were to:

- assess critically the role of SSE in inclusive and sustainable development;
- raise the visibility of debates about SSE within the United Nations system and beyond; and
- contribute to thinking in international policy circles about a post-2015 development agenda, by bringing key findings and recommendations on SSE from researchers around the world to the attention of policy makers.

167. The conference drew in a large and varied audience of about 300 participants, including senior staff members from United Nations agencies such as the ILO, FAO, UNDP, UN Women and UNCTAD who chaired various sessions. Other international organizations and networks represented included the OECD, the Intercontinental Network for the Promotion of Social and Solidarity Economy (RIPESS), The Mont-Blanc Meetings, and the European Economic and Social Committee (EESC).

168. SSE practitioners and PhD candidates also presented their work at two side events: the Practitioners' Forum and the Poster Session. Back to back with the conference, UN-NGLS organized a seminar on Alternative Finance and Complementary Currencies, while the ILO held a meeting on trade union-cooperative relations.

### *Think pieces*

169. In order to accommodate many of the high-quality proposals that could not be presented at the conference, over 30 researchers were invited to develop their abstracts into short think pieces for posting on the UNRISD website.<sup>1</sup> This was a way to present key findings, stimulate debates around SSE issues, and encourage networking and engagement. These articles have received widespread attention, being re-posted and onward-promoted via social media channels, and have contributed to raising the visibility of SSE and, by connection, UNRISD's work on the topic.

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<sup>1</sup> [www.unrisd.org/sse-thinkpieces](http://www.unrisd.org/sse-thinkpieces)

*Edited volume*

170. Selected conference papers are being compiled in an edited volume that focuses on the challenges of scaling up SSE. The volume was proposed to and accepted by Zed Books, and it will be published in 2014 in Zed's "Just Sustainabilities" series. The volume includes the following chapters:

- Peter Utting, Introduction
- Jean-Louis Lavoie, The Social and Solidarity Economy: A Theoretical and Plural Framework
- John-Justin McMurtry, Trajectories of Social and Solidarity Economy: Community Creation, Market Wedge or State Monster?
- Carina Millstone, Can SSE Organizations Complement or Replace Publicly Traded Companies?
- Suzanne Bergeron and Stephen Healy, Beyond the Business Case: A Community Economics Approach to Gender, Development and Social Economy
- José Luis Coraggio, Institutionalizing SSE via State Policy in South America
- Milford Bateman, Rebuilding Solidarity-Driven Local Economies after Neoliberalism: The Role of Cooperatives and Local Developmental States in Latin America
- Cecilia Rossel, State and SSE Partnerships in Social Policy and Welfare Regimes: The Case of Uruguay
- Justine Nannyonjo, Enabling Agricultural Cooperatives through Public Policy and the State: The Case of Uganda
- Ananya Mukherjee-Reed, Taking Solidarity Seriously: The Case of Kudumbashree in Kerala, India
- Béatrice Alain and Marguerite Mendell, Government Policy for SSE: The Effectiveness of Collaboration, Dialogue and the Co-Construction of Policy
- Roldan Muradian, The Potential and Limits of Farmers' Groups as Catalysts of Rural Development
- Darryl Reed, The Rise of Fair Trade: Opportunities, Tensions and Uncertainties
- Paul Nelson, Cooperation, Association and Solidarity in International Finance? Forms of Social Solidarity Investment in Microfinance
- Cristina Grasseni, Francesca Forno and Silvana Signori, Beyond Alternative Food Networks: Insights from Italy's Solidarity Purchase Groups and US Community Economies
- Georgina Gómez, Trading Scale for Solidarity: The Case of El Trueque, the Community Currency System in Argentina
- Abhijit Ghosh, Embeddedness and the Dynamics of Growth: The Case of the Amul Cooperative, India
- Bénédicte Fonteneau, Extending Health Care Provision through Social and Solidarity Economy: Possibilities and Challenges in West Africa
- Bina Agarwal, The Power of Numbers: Women's Participation in Community Forestry in South Asia.

*Research papers*

171. Eight conference papers have undergone peer review and are being finalized for publication as UNRISD Research Papers.



- Peter Utting, Nadine van Dijk and Marie-Adélaïde Matheï, Social and Solidarity Economy: Is There a New Economy in the Making?
- Anup Dash, Towards an Epistemological Foundation for Social and Solidarity Economy
- José Luis Coraggio, La presencia de la economía social y solidaria (ESS) y su institucionalización en América Latina
- Manase Kudzai Chiweshe, Understanding Social and Solidarity Economy in Emergent Communities: Lessons from Post-Fast Track Land Reform Farms in Mazowe, Zimbabwe
- Leandro Morais, Estrategias de supervivencia y elaboración de políticas públicas: El papel de la economía social y solidaria en Latinoamérica y la contribución de Brasil hacia la construcción de políticas emancipadoras
- Jean-Michel Servet, Monnaie complémentaire versus microcrédit solidaire et tontines: Contribution comparée à un développement solidaire local
- Maria Victoria Deux Marzi, La consolidación de las iniciativas de economía social y solidaria: Alcances y desafíos de procesos de recuperación de empresas de Argentina
- Marcelo Saguier and Zoe Brent, Regional Policy Frameworks of Social Solidarity Economy in South America

172. Nine additional conference papers are under consideration for publication as UNRISD Research Papers.

#### ***Other outputs***

- **Ten conference videos**—including a five-minute newsreel highlighting the conference, side events and short interviews with participants, and nine films of selected conference sessions/speakers. The newsreel video, available on UNRISD’s YouTube channel and website ([www.unrisd.org/sseconf](http://www.unrisd.org/sseconf)), has been viewed over 1,300 times since it was posted.
- An **UNRISD Event Brief**, which summarizes the conference findings and debates in a four-page format. The Event Brief was published in August in English, French and Spanish.<sup>2</sup>



**Duncan Green** @fp2p 20m  
Potential/Limits of Social and Solidarity Economy. Good 4pp summary of @UNRISD conference [unrisd.org/eb1#SSE](http://unrisd.org/eb1#SSE)  
Expand

- Peter Utting was invited to contribute a **blog post**, “What is Social and Solidarity Economy and Why Does It Matter?” to the popular Oxfam blog *From Poverty to Power*.<sup>3</sup> The piece was subsequently re-posted on the World Bank’s *People, Spaces, Deliberation* blog.<sup>4</sup>
- Peter Utting was invited to contribute an article on SSE to ***The 2015 Post***, published by UN-NGLS to inform civil society and other stakeholders about the post-2015 process.
- Two UNRISD briefs are forthcoming: a **Policy Brief** will distil the main policy implications to emerge from the project, in particular the

<sup>2</sup> English: [www.unrisd.org/eb1](http://www.unrisd.org/eb1); French: [www.unrisd.org/eb1f](http://www.unrisd.org/eb1f); Spanish: [www.unrisd.org/eb1s](http://www.unrisd.org/eb1s)

<sup>3</sup> [www.oxfamblogs.org/fp2p/?p=14437/#sthash.NwfeJ0Rh.dpuf](http://www.oxfamblogs.org/fp2p/?p=14437/#sthash.NwfeJ0Rh.dpuf)

<sup>4</sup> <http://blogs.worldbank.org/publicsphere/what-social-and-solidarity-economy-and-why-does-it-matter>

relationship between SSE and the state, and the policy and legal developments that appear conducive to enabling SSE; and a **Beyond 2015 Brief** that will highlight the relevance of SSE for the post-MDG development agenda.

### Main findings

173. The considerable potential of SSE in terms of both sustainable development, and social and environmental justice suggests that SSE is an approach whose time has come, given the current multiple—financial, ecological and food—crises. These circumstances present windows of opportunity for SSE to complement, or even replace, some traditional forms of business.

174. At the same time there exist tensions that characterize the process of “growing” SSE. As SSE organizations and enterprises scale up, or as SSE spreads horizontally, trade-offs can emerge among its economic, social, environmental and emancipatory objectives and practices. Market pressures and constraints, political ideologies, weak managerial capacities and lack of know-how can transform the character of organizations. As cooperatives or fair trade organizations become more embedded in market relations and global value chains, cooperative values may be diluted, democratic governance may wane, and principles and practices of corporate social responsibility may begin to crowd out others such as small producer empowerment and democratic solidarity.

175. The scope for gender justice and improvements in labour standards within different types of SSE organizations and enterprises is another topic of debate. While SSE holds considerable emancipatory potential, structural conditions or cultural settings—such as traditional gender relations—may inhibit the ability of women to participate in SSE organizations and enterprises. In such contexts, “second-class citizenship” may be reproduced even within SSE.

176. Expansion in the field of social service provisioning has sometimes seen SSE organizations become little more than service providers for the state, which is problematic in cases where this threatens to decrease the state’s responsibility for providing for people’s basic needs.

177. Scaling up and scaling out, therefore, involve major challenges. The following elements were deemed important for ensuring that SSE can expand while retaining its essential features.

- How far certain SSE initiatives can scale up will depend on the interpersonal transfer of trust, the reputation of leaders acting as a lynchpin for the system, and the ability to sustain the processes of institutional innovation.
- SSE organizations should “brand” themselves more effectively, emphasizing the ethical value their activities add to society and how this can be measured and increased. In doing so, they can create space for themselves within economic and social policy making.
- SSE organizations should strategize and identify growth opportunities within their specific socio-political contexts.
- SSE organizations may be able to overcome or circumvent constraints associated with conventional money and finance through social banking, complementary currencies and new partnerships with national development banks.

- SSE organizations should take measures to ensure that the voices of disadvantaged groups within SSE organizations are heard.

178. In some cases, governments and intergovernmental organizations are enabling SSE through public policy and law. In Latin America, Europe and Quebec, for example, numerous instances can be identified where state support or legislation is facilitating the ability of SSE organizations to consolidate, expand and operate on a more level playing field vis-à-vis for-profit enterprise. In some instances, it may be local governments, with closer connections to civil society, which are playing a key role in enabling SSE.

179. However, the relationships between SSE organizations and the state are complex. Changes in cooperative law, for example, which purportedly aim to address the competitive disadvantages of cooperatives, may in fact weaken their capacity to contribute to sustainable development. Also, when states contract SSE organizations to provide services such as health care, this can arguably be a route for governments to avoid direct responsibility for providing services. Such relations may also have implications for the autonomy of SSE organizations. While the efforts of certain governments to support SSE have been laudable, some forms of government intervention may foster dependency and threaten managerial autonomy, which is what sets SSE apart from the public sector.

180. In some cases, states instrumentalize SSE for purposes of poverty reduction and social service delivery in ways that ignore its transformative potential. State intervention can even be detrimental to the goals of SSE, when policies demarcate a confined operational and political space within which SSE organizations must operate. Finally, instances occur where government support for SSE is sorely lacking or where discourse runs well ahead of policy.

181. Whatever the policy-making context, the capacity of SSE actors to organize collectively to influence and control resource mobilization and decision-making processes and institutions that affect their lives remains a crucial factor. Dimensions of collective action associated with participation and political empowerment include:

- the need for effective “co-construction” of policy through advocacy, dialogue and consultation;
- legitimate intermediary organizations, speaking on behalf of SSE actors, which represent and express SSE interests and participate in policy processes;
- advocacy at multiple—local, national and international—levels;
- the need for cross-sectoral alliances among different SSE actors and networks.

182. The internal dynamics of SSE organizations are also an important factor which can facilitate or limit the achievement of their social and economic aims. Internal dynamics are influenced by factors such as social capital and membership homogeneity. As organizations accept a larger and more heterogeneous membership, increasing transaction costs (for example, coordination) represent considerable managerial challenges. How well SSE organizations achieve the social goal of women’s empowerment can depend, for example, on the proportion of women versus men in the organization, and governance structures.

183. Collective action seems key for realizing the emancipatory potential of SSE. For marginalized groups, such as poor women, SSE organizations can be a way to increase their voice and challenge power imbalances. On a broader level, SSE movements have the potential to highlight and provide a platform for those goals, practices and values that are sidelined or misinterpreted in policy.

### Outreach

184. Given that a stated objective of this initiative is to raise the visibility of debates on SSE within the UN system and beyond, outreach activities have constituted one of its key aspects. The project has reached many people, organizations and networks around the world, through UNRISD's digital outreach (email, website and social media), other dissemination channels and networking.

#### *SSE network*

185. Researchers, civil society actors and staff of international organizations working in the field of SSE have been identified by (and have identified themselves to) UNRISD; they are on a targeted emailing list numbering nearly 1,600 at the end of 2013 and are kept up-to-date on the project progress and relevant information via regular email newsletters. The list includes a subset of 55 policy makers, a number which is expected to grow. The scope of the network has allowed UNRISD to become a recognized "player" in the field of SSE and continues to allow widespread dissemination of project outcomes. It has also facilitated collaborations that have led to the conference outcomes described throughout this section.

#### *Digital channels*

186. The SSE project has been promoted extensively to the readers of the UNRISD eBulletin, which has over 40,000 subscribers. A special SSE edition of the eBulletin was sent out shortly after the conference, and six SSE email newsletters were sent out to keep carefully targeted recipients up to date in 2013.

187. UNRISD work on SSE has attracted considerable attention via the website, Facebook and Twitter. The Facebook post about the SSE newsreel video was seen by 1,200 users, liked 10 times and shared three times. This kind of reaction usually translates into a gain in users and presence in other institutional profiles. Because that post was linked to YouTube, it also served to direct users to another platform where UNRISD has extensive content. The post announcing the Call for Papers received a record number of shares for a single UNRISD Facebook post: 38. Most of these did not even follow UNRISD, meaning it had a viral effect. Website statistics confirm that the SSE project is attracting significant attention, with the Call for Papers, Project Brief and Event Brief the top downloads in the months they were released. The increasing visibility of UNRISD in the field of SSE is further confirmed by the fact that when typing "Social and Solidarity Economy" into the international Google website, UNRISD's work appears in three of the top six entries.

#### *Related SSE events*

188. The UNRISD conference on SSE was unique in its ability to connect researchers and practitioners in the field of SSE with the UN system. Because of this, the conference and the UNRISD project more generally have gained widespread international attention. As a result UNRISD has received and responded positively to requests to advise and to present the findings to various organizations, networks and events in this field. These include the 2013 Mont-Blanc Meetings in Chamonix; the 2013 StreetNet forum in Nicaragua; the 5th international conference of RIPESS in the Philippines; the II World Forum on Local Development organized by UNDP

in Brazil; the 7th Seoul ODA International Conference; as well as other conferences and workshops in Argentina, Belgium, Canada, Ecuador, France, Republic of Korea, South Africa and Switzerland.

### Partnerships and collaborations

#### *United Nations Inter-Agency Task Force on Social and Solidarity Economy*

189. During the UNRISD conference representatives of international organizations convened separately and mooted the idea of a UN Inter-Agency Task Force on Social and Solidarity Economy. UNRISD played a leading role in establishing the Task Force and will act as coordinator for the first six months. The task force had its founding meeting on 30 September 2013. At this meeting the convenors—UNRISD, ILO, UNDP Geneva Representation Office and UN-NGLS—were joined by representatives of FAO, TDR (the Special Programme for Research and Training in Tropical Diseases), UNAIDS, UN-DESA, UNESCO, UNEP, UNIDO, UN Women, WFP and WHO. Participants agreed on the purpose, roles and activities of the Task Force. In working towards its objective of assisting countries, mobilizing political will and enhancing momentum towards mainstreaming the issue of SSE in international and national policy frameworks, the members will undertake collaborative activities that aim to:

- enhance the recognition of social and solidarity economy enterprises and organizations;
- promote knowledge on social and solidarity economy and consolidate SSE networks;
- support the establishment of an enabling, institutional and policy environment for SSE;
- ensure coordination of international efforts, and strengthen and establish partnerships.

190. The second meeting of the task force took place on 2 December 2013 to discuss governance arrangements, entry points for SSE in UN events and processes (in particular the post-2015 agenda), and ways of facilitating the formation of an inter-governmental “leading group” on SSE, as has been proposed by the Government of France. The OECD joined the Task Force at this meeting, and two global civil society SSE networks, RIPPSS and The Mont-Blanc Meetings, participated as observers.

#### *SSE as a pathway to more and better work*

191. As part of the R4D Call for Projects of the Swiss National Science Foundation and the Swiss Agency for Development and Cooperation, UNRISD took part in the development of a research proposal titled *The Potential and Challenges of Social and Solidarity Economy as a Pathway to More and Better Work*. The bid was unsuccessful. In developing this proposal, however, partnerships were initiated with researchers/institutions in nine developing countries, with the ILO, and with the Centre for Social Economy at the University of Geneva. As follow-up, discussions are under way with the ILO to carry out collaborative work on SSE and the transition from informal economy. Several of the Asian partners are expected to participate in a workshop on SSE in Asia to be held in early 2014. UNRISD and the lead researcher from the University of Geneva plan to produce a background paper on SSE, employment and decent work.

***The Mont-Blanc Meetings (RMB) and RIPESS***

192. Through membership of the Scientific Committee of the RMB and close interaction with the International Network for the Promotion of Social and Solidarity Economy (RIPESS), UNRISD has built a solid relationship with two of the world's largest SSE networks, participated actively in their events, and encouraged these organizations to work more closely together in the future.

***International Labour Organization***

193. The ILO co-hosted the UNRISD conference on Potential and Limits of SSE in May 2013. As a result of this collaboration, UNRISD and the ILO Coop Unit, the ILO SSE Academy and the ILO Department for Partnerships and Field Support (PARDEV) continue to work closely on a range of initiatives. These include the establishment of the UN Inter-Agency Task Force on SSE, the collaborative launch of an initiative on the contribution of cooperatives to sustainable development (ILO, International Cooperative Alliance, UNRISD), and preparations for the 2014 SSE Academy to be held in Brazil. Discussions are also under way about a collaborative project on SSE and the informal economy.

***Institute for Poverty Alleviation and International Development (IPAID), Republic of Korea***

194. As a result of Peter Utting's participation in various SSE-related events in the Republic of Korea in October 2013, IPAID has asked UNRISD to co-host a workshop on SSE in East and Southeast Asia, planned for February 2014.

***The Graduate Institute, Geneva***

195. As a spin-off from the UNRISD SSE conference in May 2013, the 2014 annual conference of The Graduate Institute's Programme on Gender and Global Change will consider gender dimensions of SSE. UNRISD is represented on the scientific committee.

***New Economics Foundation (nef)***

196. UNRISD was invited to be an "observer" for nef's Community Currencies in Action project. Observers are invited from government, public and non-governmental agencies to observe and track the progress of the CCIA project as a means of broadening and disseminating learning on the theory and application of CC solutions for communities.

***EMES***

197. EMES, the European research network on SSE, is expanding its work to various regions of the world. UNRISD is currently in correspondence with the executive director on the possibilities for collaboration.

***LinkedIn collaboration***

198. UNRISD took the lead and collaborated with the biggest online SSE library ([www.socioeco.org](http://www.socioeco.org)) and RIPESS to start the first international SSE LinkedIn Group.<sup>5</sup> It is a global networking group for anyone who works in the field. Members of the group are invited to exchange ideas about SSE, to inform others of their work and to connect. At the end of the reporting period the group had 275 members; lively discussions on SSE took place during the year.

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<sup>5</sup> [www.linkedin.com/groups/Social-Solidarity-Economy-ESSSE-5117299](http://www.linkedin.com/groups/Social-Solidarity-Economy-ESSSE-5117299)

199. This project is coordinated by Peter Utting. In 2013 assistance was provided by Nadine van Dijk (research intern, then research analyst) and Marie-Adélaïde Matheï (research intern).

200. Funding for the conference and related outputs was provided by the ILO (International Labour Office), Hivos International, the Rosa Luxemburg Foundation, and UNRISD institutional funds. Other support was received from UN-NGLS and the Ville de Genève, as well as the ILO's Enterprises Department, Cooperative Unit, SSE Academy, and Partnerships and Field Support Department (as part of the implementation of the ILO Strategy on South-South and triangular cooperation). UNRISD institutional funds are supporting a range of follow-up activities related to this work.

## *Eco-Social Policy for Sustainable Development*

### Background and context

201. In June 2012, the UN Conference on Sustainable Development ("Rio+20") called for urgent action to "mainstream sustainable development at all levels, integrating economic, social and environmental aspects and recognizing their interlinkages". The international development community is increasingly accepting that sustainability will require significant transformations in patterns of investment, technology, production, consumption and governance. It is therefore refocusing attention on the need for a more integrative approach to policy and development that recognizes the linkages between its economic, social and environmental dimensions.

202. Policy responses are increasingly seen in areas related to fossil fuel subsidies, renewable energy, socio-industrial policies for green industry, green housing, low carbon transport solutions and green jobs, as well as standards related to occupational health and safety and corporate social responsibility. Many developing and emerging economies are faced with rapid processes of urbanization which also have important, interrelated social and environmental implications. Furthermore, policy incentives for sustainable consumption are critical in both emerging and more advanced economies.

203. Effective policy coherence is a key element for achieving integration across environmental and social areas. This can be understood as processes of policy design and implementation that recognize the interconnections between different policy areas; break out of the confines of policy silos; and address tensions, contradictions, complementarities and synergies between different policies. Government efforts to deal with contemporary challenges in both environmental and social fields have given rise to an expanding array of policy interventions that have dual social and environmental objectives.

204. Policies that adopt this integrative approach can be clustered as follows:

- **Conventional social policies that integrate new risks associated with climate change:** for example, employment schemes that encompass conservation works, such as in India's National Rural Employment Guarantee Scheme; or cash transfers that are made conditional on good environmental stewardship, such as Brazil's Bolsa Verde.
- **Socially sensitive environmental policies that strengthen the coping capacities and resilience of vulnerable groups:** for example, policies ensuring food security of small-scale farmers in the context of biofuel production; cash/food transfers introduced to compensate for fuel

subsidy phase-outs, as in Jordan and Indonesia; and progressive energy pricing in various OECD countries.

- **Co-benefit approaches that create win-win environmental and social outcomes:** for example, the Wales Sustainable Development Bill that binds public bodies to consider environment and social issues in their decision-making; urban mass transport, retrofitting of housing and retraining for the uptake of green jobs.

205. This arena of “eco-social policy” may hold significant promise for addressing environmental risks and challenges through social policy instruments. While the range of eco-social policy interventions appears to be increasing, there has to date been little systematic assessment of their potential, sustainability and impacts; nor has there been much consideration within the social policy or social development fields of how new risks associated with environmental change can be addressed through social policies.

### Progress and activities

206. Initial work to develop this project began in 2012 (see paragraphs 165–171 in the 2012 Progress Report). In 2013 background research on trends and issues in the field of eco-social policy was conducted in-house. This involved a mapping of specific eco-social policy initiatives in 20 countries. The preliminary inquiry identified various issues and questions that could inform future research. They relate, in particular, to the distributional consequences of eco-social policy; administrative issues-related coordination, implementation and institutionalization; and the political economy of policy change. Specific issues and questions include the following.

- Despite increasing recognition among scholars and policy makers of the importance of linkages between environmental and social issues, particularly in a development context, the understanding of these linkages as well as how they can be addressed in policy remains limited and fragmented.
- Overall, policies can be categorized as (i) compensatory programmes that aim to provide social protection or assistance to the most vulnerable or those negatively affected by environmental change; (ii) so-called “win-win” policies that aim to deliver co-benefits in both social and environmental areas; and (iii) policies that aim at addressing underlying structural causes or drivers of both environmental and social problems, inequalities or injustice. Can eco-social policies be better designed to move beyond compensatory measures and to support the “transformative” agenda necessary for sustainable development?
- Claims about “win-win” outcomes often lack evidence. Who is bearing the costs and who reaps the benefits? What are the implications of eco-social policy for poverty reduction, inequality, and different social groups including women and ethnic minorities?
- Effective local “eco-social” initiatives exist in numerous countries and have gained recognition nationally and internationally. To what extent can such experiences be scaled up or replicated in other contexts?
- How can bureaucratic structures and institutional practices, which often result in silos among sectoral policy areas, be adapted to generate a more integrated policy approach? Are eco-social policies a niche, or do they point to a significant institutionalized shift towards more integrated policy approaches? What are the most promising organizational, institutional and financing paths for designing,



implementing and coordinating policies across the social and environmental domains?

- Policies that aim to combine social and environmental goals inevitably involve a broad range of actors and stakeholders. How do different actors respond (support or oppose) and participate in these processes? How can support coalitions be built? What are the political drivers of change towards socially and environmentally just policies?

207. The background work for this project benefited from research carried out by three students at The Graduate Institute in Geneva, under a partnership agreement where selected post-graduate students conduct research on an issue of interest to UNRISD. Their study appraised the performance of fossil fuel subsidy reduction programmes in Ghana, Indonesia and Iran. These policies have the “triple-win” objective of achieving fiscal savings, emissions reductions and expanded social programmes. While these initiatives are often held up as success stories within this field, the research identified various concerns related to distributional effects, the effectiveness of compensatory targeting and the political sustainability of policy through time. The study finds that key to the success of fuel subsidy reduction policies is whether or not there is a “social win” and long-term political commitment and support from a broad coalition of interests.

208. *This project has been developed by Peter Utting and Sarah Cook, with background research conducted by Nadine Ruprecht (former research consultant). Implementation has been affected by the departure of the research consultant.*

209. *Support for project development currently comes from UNRISD institutional funds. A proposal for a project workshop was developed for which funding is being sought. The intention is for UNRISD to partner with other organizations in conducting research in this area. Both UNEP and Geneva-based academic institutions, including the University of Geneva and The Graduate Institute, have expressed an interest in collaboration.*

## Social Drivers of Sustainable Development

### Background and context

210. Each year the Commission for Social Development chooses a topic for its “emerging issues” agenda item and holds a panel discussion. For its 52<sup>nd</sup> session, in February 2014 in New York, the Bureau of the Commission selected “Social Drivers of Sustainable Development” and requested the Secretariat to prepare a substantive note as background for its discussion. The Division for Social Policy and Development (DSPD) of the United Nations Department of Economic and Social Affairs (DESA) approached UNRISD in November 2013 with a request to collaborate and draft a note on the issue.

211. There is a growing recognition that economic growth is a fundamental but insufficient objective of development strategies. Achieving inclusive, equitable and sustained economic growth also demands a focus on social objectives—in other words, social sustainability is a prerequisite.

212. The social dimensions of sustainable development relate to social conditions that shape processes of change. These “social drivers” include social structures that shape people’s behaviour and possibilities, and the capacity of individuals and groups to influence change. Social drivers encompass the various ways in which

individuals and groups respond and adapt to circumstances, including how they cope and organize in defence of their interests or their rights. They also include aspects related to socioeconomic stratification such as class, ethnicity, gender and location, and institutions both informal and formal, including norms and values that pattern behaviour, as well as the way people and organizations interact in networks. Together, these social drivers affect not only the outcomes of development but also, perhaps even more importantly, the changes that are needed to achieve the sustainable future we want.

### Activities and outputs

213. In response to DESA's request, UNRISD prepared a 10-page document which identified eight sets of emerging issues and related policy approaches that:

- i. place employment at the centre of macroeconomic policy;
- ii. move beyond a narrow focus on safety nets towards social policies concerned with universal social protection and redistribution;
- iii. focus not only on equality of opportunity but also equality of outcome;
- iv. recognize the need for green economy transitions that are socially fair;
- v. promote alternative or complementary forms of social and solidarity economy and food sovereignty;
- vi. promote participation and empowerment;
- vii. pay more attention to issues of social reproduction and care; and
- viii. strengthen corporate accountability and engage civil society actors in the regulation of business.

214. Several of these (i-vi above), or sections thereof, were included in the Note by the Secretariat, "Emerging Issues: The Social Drivers of Sustainable Development".<sup>6</sup> UNRISD will distil the key reflections from its original document in a Beyond 2015 Brief, which will also refer to issues not included in the DESA report related to social reproduction and care, food sovereignty and social regulation of business. The official document and the UNRISD Brief will be disseminated to member states and delegates at the 52<sup>nd</sup> session of the Commission for Social Development in February 2014.

215. *This activity was carried out by Peter Utting, Sarah Cook and Esuna Dugarova (research analyst).*

216. *Support for the work came from UNRISD institutional funds.*

## ***Social Dimensions of Food and Water Security in Dryland Areas***

### **Background, context and objectives**

217. At the request of the Government of Qatar, in 2013 UNRISD carried out background research and prepared a proposal for a wide-ranging research project on *Social Dimensions of Food and Water Security in Dryland Areas*.

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<sup>6</sup> E/CN.5/2014/8, 10 December 2013

218. The proposed project would examine the potential to bring together the resources, technical capacity and scientific expertise of external actors with the local knowledge and capacity for innovation of dryland populations in order to address the political, social, economic and environmental causes that are at the root of problems of food and water insecurity for people living in drylands.

219. Based on this analysis, the project would then identify how policy initiatives can complement and augment existing coping strategies and capacity for innovation within local communities. In doing so, it would make recommendations of direct relevance to the formulation of policies to promote equitable, inclusive and sustainable social development in dryland areas.

220. Four inter-linked areas of research are envisaged.

- **The social impacts of policy interventions in dryland areas:** The research would examine the political economy of public policy in dryland areas, from policy formulation at national and regional levels to the differential impacts of policies on different types of people in dryland areas.
- **Transformative social policy:** Transformative social policy aims to address the root causes of poverty and insecurity by exploiting the links between the social, economic and environmental sectors. The research would identify the types of social policies and programmes that can address the multidimensional challenges facing people living in drylands, thereby promoting equitable, inclusive and sustainable social development.
- **Participation:** The research would assess the extent to which policy interventions are effectively informed by the needs, demands and knowledge of local resource users, and it would identify effective processes of claims-making and advocacy by disadvantaged populations, and innovative processes of consultation and co-construction of policy.
- **The challenge of policy coherence:** The research would provide evidence of how governments in countries with significant dryland areas are responding proactively to the challenge of policy coherence, and yield lessons about good practices and their scope for replication. This analysis would focus on ways of minimizing the tensions and contradictions between policy objectives, and enhancing complementarities and synergies.

221. The proposed research project would involve two phases: first, a review of the relevant knowledge and research on dryland areas; and, second, multi-country comparative research. The design and management of the project would be undertaken by UNRISD, with individual case studies conducted by inter-disciplinary country teams of local specialists. The research would be overseen by an advisory group of global experts on drylands and social development.

222. This project offers a valuable opportunity to both inform and engage a variety of audiences, using specially tailored outputs to achieve these goals. In addition to “traditional” research outputs, a tailored communications and outreach strategy would include concise briefs, as well as innovative digital products and forums for interaction. UNRISD’s location within the United Nations system, combined with country-level research carried out by experts based in their national contexts, offers a range of possibilities for feeding research findings into policy debates at national and

global levels. These opportunities would be carefully cultivated throughout the project cycle.

*223. Tom Lavers (visiting research fellow) carried out the background research and prepared the project proposal, which was submitted to the Government of Qatar in October 2013.*

## Gender and Development

224. The gender programme operated on a reduced scale without a research coordinator during 2013, following the departure of Shahra Razavi to UN Women. Sarah Cook managed the programme, supported by Paola Cagna (Intern/Research Consultant). A new project, *When and Why Do States Respond to Women's Claims?*, was successfully launched, led by an external coordinator, Nitya Rao, and supported by Paola Cagna; and two new proposals were successfully funded (to start in 2014). During the year, the demand for UNRISD expertise and research findings on gender from other parts of the UN system remained high, with participation requested in various processes and working groups particularly related to the post-2015 agenda. Findings from recent gender research, notably on the care economy and social reproduction, continued to be disseminated through presentations and other activities by Sarah Cook, including:

- a lecture in the Gender and Development Series at the University of Bern, on “Women’s work and social reproduction: The neglected gender dimension of sustainable development”;
- participation in the Expert Group Meeting of the Special Rapporteur on Extreme Poverty and Human Rights, on “Unpaid care work, poverty and women’s human rights”;
- participation in a side event during the Human Rights Council, on “Unpaid care work, women’s rights and poverty: Making the connection”; and
- a seminar at the Crawford School of Public Policy, Australian National University, on “Why care matters for development”.

225. *Gender and Agriculture after Neoliberalism?*, the report of a research workshop held in July 2012 by UNRISD in partnership with The Graduate Institute, was published and was among the top 10 downloads from the UNRISD website in the months following its publication. Based on the discussions of experts at the two-day event, this analytical report assesses knowledge gaps and defines new perspectives to understand the relationship between the rapidly changing policy landscape, and transformations of gender power relations in the countryside.

### *When and Why Do States Respond to Women's Claims? Understanding Gender-Egalitarian Policy Change in Asia*

#### Background and context

226. This project, which was initially described in the 2012 Progress Report (under a slightly different title; see paragraphs 196–207) got under way in 2013 after the hiring of an external research coordinator, Nitya Rao (University of East Anglia, United Kingdom).

#### Research objectives and questions

227. The project seeks to understand how policy change to strengthen women’s rights occurs. It aims to clarify when and why states respond to women’s claims-making and to identify the factors and the conditions under which non-state actors, particularly advocates of gender equality, can be effective in triggering and influencing processes of policy change and policy implementation. The other dimension that is central to the inquiry is the process of claims-making: how do state and non-state actors articulate claims on different issue areas and introduce them

into policy agendas? Finally, the project explores the role of transnational forces in shaping national-level processes of policy advocacy and change.

228. To explore these questions the project is undertaking cross-country and cross-issue comparative research in China, India and Indonesia. These countries reflect diversity in governance systems and socio-political contexts—factors which pose important methodological challenges. However, their size, different political systems (central/federal), varying levels and degrees of democratization and decentralization/regional and local autonomy, and other forms of diversity (ethnic, religious, geographic, etc.) suggest that understanding what happens in these countries potentially has significance for understanding gender equality policies and obstacles to change elsewhere in the region and beyond.

229. The two contrasting issue areas which are the focus of this research relate to physical/bodily integrity, and economic and social rights. Two specific issues illustrating these broad areas were selected through a workshop for in-depth comparative analysis across the three countries, namely violence against women and the rights of migrant domestic workers. Both are issues around which women's rights advocates have mobilized in recent decades. Additionally, attention will be paid throughout the research to two sets of issues where advocacy and claims-making has been either less visible (care work), or more difficult (family law and inheritance of property).

230. Expected outputs include the following:

- three in-depth country reports tracing policy change around two selected issue areas: violence against women, and the rights of migrant women workers (with a focus on domestic workers), and an overview paper comparing key findings across both issues and countries;
- three country overview papers on women's claims-making in relation to land and inheritance rights, and one cross-country comparative paper on claims-making around care issues;
- four thematic papers; and
- research and policy briefs.

### Progress and activities

231. In 2013 the country research teams were constituted in partnership with the following institutions/researchers:

- China: Women's Studies Institute of China, Beijing, coordinated by DU Jie
- India: Institute of Social Studies Trust, New Delhi, under the coordination of Shraddha Chigateri
- Indonesia: Semarak Cerlang Nusa / Consultancy, Research and Education for Social Transformation (SCN/CREST), Jakarta, under the coordination of Sri Wiyanti Eddyono

232. A project methodology workshop was held in New Delhi on 22–24 August where the country research teams, invited experts and UNRISD project coordinators developed a common research strategy and a framework for comparison across the selected countries and issues. Invited experts from UN agencies, civil society organizations and academia enriched the substantive and methodological discussions. Gita Sen, a founder-member of DAWN (Development Alternatives with Women for a New Era), reviewed 40 years of the sexual and reproductive health

movement both globally and within India. Representatives from two UN agencies (Sushma Kapoor from UN Women and Ramya Subrahmanian from UNICEF) and an international NGO (Ines Smyth from Oxfam GB) shared their perspectives on mechanisms and processes of policy change, and how research can support advocacy initiatives. Mala Htun (University of New Mexico) made a presentation on data and methods for gendered policy analysis.

233. Four thematic papers are planned.

- Naila Kabeer (LSE) has been commissioned to write a paper setting out the key shifts in the political economy context globally and at the level of nation states, particularly in Asia, and drawing out the meanings of these changes for women's claims-making in relation to labour rights.
- Govind Kelkar (LANDESA) has been commissioned to write a paper exploring the nature of women's claims in relation to land and inheritance.
- Jacqui True (Monash University) has been commissioned to write a paper exploring what changes in the political economy context over the last two decades mean for women's claims-making in relation to issues of bodily integrity and, in particular, violence against women.
- The fourth thematic paper, exploring different systems of governance and their implications for women's claims-making, through enabling and constraining spaces for articulation and debate, will be commissioned in early 2014.

234. Publications include a two-page UNRISD Project Brief, a short article in the UNRISD eBulletin (Issue 16, October) and an article in the "Views, Events and Debates" section of the journal *Gender and Development* (Vol. 21, Issue 3).

235. *Shahra Razavi and Kristine Goulding developed the original proposal for this research in 2012. The project is coordinated by Nitya Rao (external research coordinator) with assistance from Paola Cagna (research intern, then research analyst).*

236. *Funding for this project is provided by the Ford Foundation Offices in New Delhi, Beijing and Jakarta.*

## ***Feminization, Agricultural Transition and Rural Employment***

### **Background and context**

237. UNRISD was involved in the development of a successful proposal, led by the University of Bern, submitted to the Swiss National Science Foundation and Swiss Agency for Development and Cooperation research funding programme, R4D, on Feminization, Agricultural Transition and Rural Employment.

238. Research will start in 2014 with country partners in Bolivia, Laos, Nepal and Rwanda, and will continue over six years with two phases of data collection. The project focuses on the developmental and gendered implications of the rise of non-traditional agricultural exports (NTAE) in developing countries. NTAE have in many contexts provided employment options for women; however, little systematic analysis has been undertaken on their impacts on rural labour markets, wages and the quality of jobs; on indicators of empowerment such as asset accumulation; or on the feminization of responsibilities for production and reproduction.

## Research objectives and questions

239. The project asks the following questions.

- What are the effects of the increasing integration of rural women into export-led agriculture in specific contexts?
- Under which conditions do these effects enhance individual well-being and capabilities, open up pathways out of poverty for households, and advance overall social and economic development?

240. A multidisciplinary research team will pursue the objectives of the project through a case-based, comparative and longitudinal research design. This will involve a combination of repeat surveys in the four case-study countries, alongside extensive analysis of existing literature and evidence, using mixed quantitative and qualitative methodologies.

241. The findings will feed into debates on the effects of contemporary shifts in rural production and employment on multiple forms of disparity or disadvantage. Responding to demands from a number of countries which find themselves locked in low-value-added production, this research aims to identify policy approaches that create both jobs and adequate remuneration. It also aims to identify social and political conditions that encourage asset-building and that can convert high-value crops into high-value jobs for rural workers. The project seeks to generate evidence that can inform advocates in their negotiations for gender equality in the context of agricultural transitions, opening up pathways to better employment, and sustainable and equitable development, in rural areas.

242. The project is led by the University of Bern. From mid-2014, a doctoral student partially based at UNRISD will collaborate with the UNRISD gender research coordinator in undertaking research and data analysis.

243. Funding is provided by the Swiss Programme for Research on Global Issues for Development, a joint initiative of the SDC and the SNSF, under the thematic research module "Employment in the context of sustainable development" (r4d Employment).

## *Gender Dimensions of Food and Water Security in Dryland Areas: A Scoping Study*

244. This small one-year study funded by the Ford Foundation's Beijing Office will produce a report reviewing international evidence, with particular reference to China, on the social and gender dimensions of water and food security and livelihoods in dryland areas. It will also identify a network of scholars, practitioners/policy makers, and NGOs in China engaged in work at the intersection of environmental (water, climate) issues, livelihoods and gender in dryland regions. In addition to the report, the project should lead to a proposal for future research involving organizations identified.

245. In a recent review of literature undertaken for a proposal on the social dimensions of food and water security in dryland areas (see paragraphs 217–223), a number of critical gaps were noted. First, China is relatively absent from the global and development literatures on this topic, despite extensive dryland regions and pastoralist populations within the country, as well as the problems of unsustainable



water use that affect populations and livelihoods both within and beyond its borders. Second, the gender dimensions of the problem, including the often problematic gendered impacts of proposed interventions and solutions, are relatively neglected in research, analysis and policy.

246. Questions for consideration from a gender perspective relate to social impacts and policy choices, and include the following.

- In what ways are the challenges and impacts of environmental change for populations in dryland regions gendered?
- How do policy interventions and the introduction of new technologies differentially impact different social groups, by gender, in dryland areas?
- Under what conditions can state and/or donor-led policy initiatives address the gendered social, political, economic and environmental challenges facing dryland populations?
- How can state capacity to deliver large-scale programmes be combined with the participation of the local population to ensure local people, including women, have control over policies that can transform their livelihoods?
- What is the potential for recent technological advances to complement the local knowledge and capacity for innovation that is central to dryland livelihood security and effective resource management?
- What interventions at the intersection of environmental and social policies can assist in overcoming barriers to gender equity in dryland or environmentally constrained regions?

247. *This proposal was developed by Tom Lavers (visiting research fellow) and Sarah Cook, with assistance from Paola Cagna (research analyst). The project, to be carried out in 2014, is funded by the Ford Foundation's Beijing Office.*



## COMMUNICATIONS AND OUTREACH

248. UNRISD aims to ensure that its research reaches a wide range of actors concerned with different facets of social development, and that its findings inform intergovernmental and national policy processes, civil society advocacy and scholarly debates. In 2013 UNRISD pursued a range of innovative, as well as traditional, communications and outreach activities to make its research available, accessible and relevant to key stakeholders, to increase its reach and visibility in the global community, and to foster engagement and interaction with audiences. The Institute has made strides towards the objectives set out in the communications strategy approved by the Board in March 2012, as illustrated throughout this report and in the sections below.

249. During the reporting period UNRISD:

- Produced two books (with contracts signed for seven additional volumes); three peer-reviewed journal articles; nine briefs; seven papers; and 31 think pieces/viewpoints.
- On digital media, produced 27 videos and 74 podcasts.
- Produced five issues of its eBulletin.
- Rolled out a new brand and visual identity across all outputs and platforms.
- Launched a rebranded, redesigned website with new features and improved functionality.
- Expanded interactions with stakeholders through virtual and face-to-face forums.
- Organized nine events in its seminar series.
- Fully integrated the use of social media channels (including Facebook, LinkedIn and Twitter) as channels for outreach and interaction with a growing audience.

### Marking UNRISD's 50th Anniversary

250. In 2013, UNRISD celebrated its 50<sup>th</sup> anniversary with a range of events and activities—in Geneva, with partners around the world and in virtual spaces. Many of these have been highlighted throughout this report. Three major anniversary activities were coordinated by the Communications and Outreach Unit in 2013: the UNRISD Timeline, UNRISD Classics and Visions of Change.

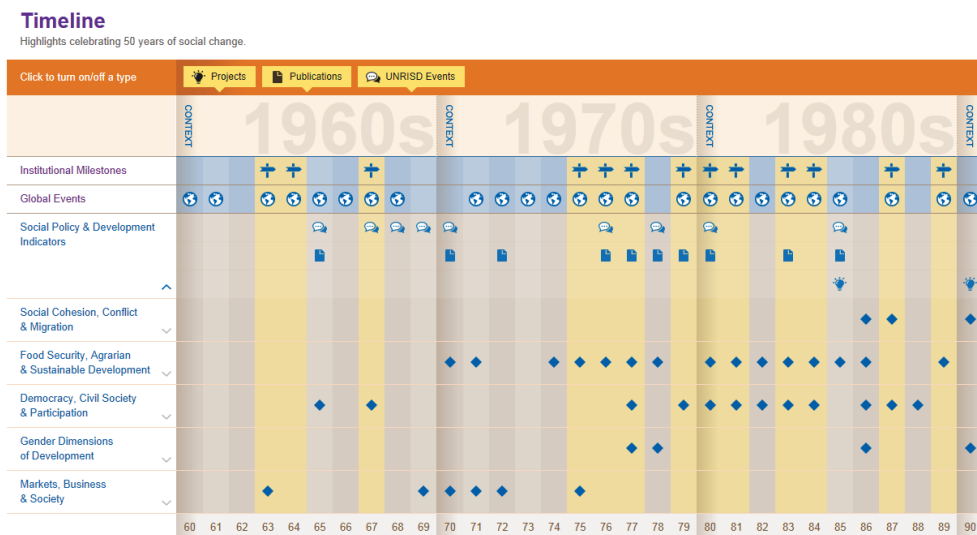
#### *UNRISD timeline*

251. The timeline is an interactive online tool ([www.unrisd.org/timeline](http://www.unrisd.org/timeline)) to review five decades of UNRISD research on social development, with work organized around six major themes:

- Social Policy and Development Indicators
- Social Cohesion, Conflict and Migration
- Food Security, Agrarian and Sustainable Development
- Democracy, Civil Society and Participation

- Gender Dimensions of Development
- Markets, Business and Society

252. The icons located within the themes link to a selection of over 200 UNRISD publications, projects and events. “Institutional milestones” mark changes in Director and Chair of the Board, as well as charting key publications, such as flagship reports. The timeline also includes the context for each decade, highlighting global events, development ideas and trends, and the UNRISD focus within this broader context.



253. The timeline represents an alternative format to the traditional anniversary report for providing an overview of the Institute’s contribution to knowledge for development over the last 50 years. It also serves as a conduit to the rich material on the UNRISD website.

### UNRISD classics

254. Work was under way in 2013 on “UNRISD Classics”, a three-volume online series that will re-publish selected essays and chapters from 50 years of UNRISD research. These highlight some of the Institute’s most influential and ground-breaking research, while demonstrating its relevance to today’s development debates.

Volume	Title	Editor(s)
Volume 1	Social Policy and Inclusive Development	Katja Hujo and Ilcheong Yi
Volume 2	Gendered Dimensions of Development	Shahra Razavi and Silke Staab
Volume 3	Socially Sustainable Development	Peter Utting

255. Each volume will include a series preface by Sarah Cook, as well as an editors’ introduction which reviews the issues in their past context and identifies their pertinence to current debates.

256. Peter Utting reviewed much of the vast literature published by the Institute since the 1970s (over 600 papers and books) to make the initial selection of works to be included. The selected texts shed light on how to deal with complex social problems, assess the impacts of development policies and processes on different social groups, and craft more equitable and sustainable patterns of development.

257. Since some of the texts included in the UNRISD Classics have never been released digitally, making them available online is a way to make them more accessible, as well as highlighting the continued relevance of UNRISD's work.

### *Visions of change*

258. This initiative invited creative thinkers from all over the world to submit artwork illustrating key social development values, themes and issues to be used for publication covers. We received over 150 submissions of which three were selected; the winning entries came from Iran, Spain and an Indian artist based in Dubai.

259. Visions of Change was designed to source original and captivating images to use on the covers of the UNRISD Classics publications. It was also a way to reach out beyond our traditional audiences. UNRISD plans to hold an exhibit of some of the works at the United Nations in Geneva in the near future.

## Research Outputs: “Briefs”

260. “Briefs” are being produced more frequently in order to share information on research findings, policy messages and events in an easily accessible form and timely manner.

### Policy briefs

261. In 2013 the Institute inaugurated a new series—**Beyond 2015 Briefs**—branded and targeted to contribute to the dialogue around the post-MDG development agenda. The first three Beyond 2015 Briefs included texts that had previously been published, but which were reissued because of their relevance to current discussions on the post-2015 development agenda. They were widely disseminated and well received at the Commission for Social Development (February), and were among the top downloads from the UNRISD website during the year.

262. The first three Beyond 2015 Briefs were:

- *Combating Poverty and Inequality* (Beyond 2015 Brief No. 1, February)
- *Inequalities and the Post-2015 Development Agenda* (Beyond 2015 Brief No. 2, February)
- *Social Policy and Employment: Rebuilding the Connections* (Beyond 2015 Brief No. 3, February)

263. Three additional briefs were under preparation at the end of the reporting period: Social Drivers of Sustainable Development, Linking Social Protection and Human Rights for Transformative Change, and A Social and Solidarity Economy beyond 2015.

### Project and event briefs

264. Project Briefs are used to inform audiences about ongoing research. These have been designed to be published at a number of stages during a project: at the outset, to signal to our audiences that we're undertaking new work; and at interim stages, to indicate progress so far and plans for the future. These briefs have proved extremely popular since they were launched in 2012.

265. Five Project Briefs were published in 2013. Two announced new research, while three “interim” briefs, for the *Politics of Domestic Resource Mobilization* project, update audiences on the country-level research.

- *New Directions in Social Policy* (Project Brief No. 4, November)
- *When and Why Do States Respond to Women’s Claims? Understanding Gender-Egalitarian Change in Asia* (Project Brief No. 5, November)
- *An Anti-Development Model? Overcoming Obstacles to Domestic Resource Mobilization in Zimbabwe* (Project Brief No. 6, December)
- *Contestation and Social Change: The Politics of Domestic Resource Mobilization in Bolivia* (Project Brief No. 7, December)
- *Mobilizing Domestic Revenues in Uganda* (Project Brief No. 8, December)

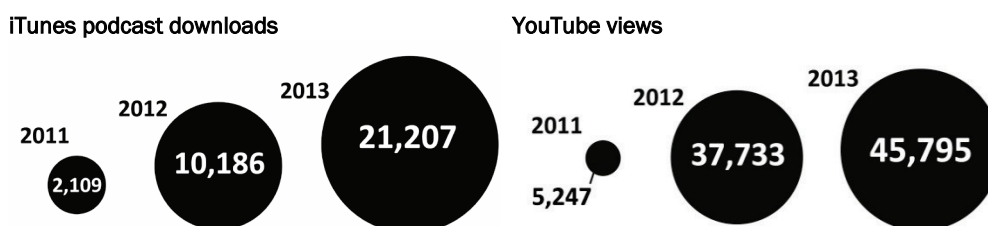
266. The first UNRISD Event Brief was published in 2013:

- *Potential and Limits of Social and Solidarity Economy* (Event Brief No. 1, August) Also available in French and Spanish.

## Digital Products and Channels

### Videos and podcasts

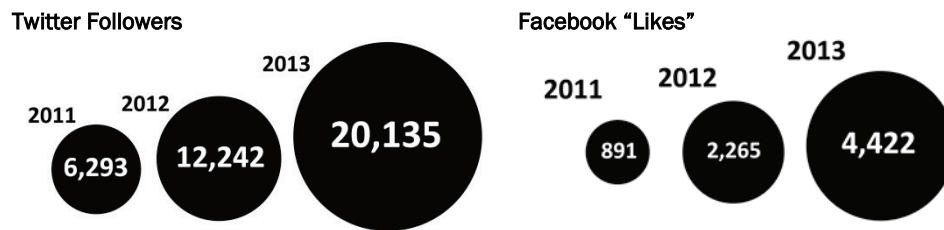
267. The Institute has continued to innovate in its use of digital media. In 2013 UNRISD produced a total of 101 videos and podcasts featuring collaborating researchers and events hosted or co-hosted by the Institute. By end-2013 the cumulative number of views of videos on the UNRISD YouTube channel was approaching 46,000 and audio downloads (mostly full-length recordings of seminars and events) was over 21,000 in total, and over 900 per month on average.



268. UNRISD’s social media properties and website have been valuable locations from which to promote these new media products. Equally important, though, has been the way that other organizations—both partner organizations and supporters—have picked up these products and promoted them to their audiences. This has enabled UNRISD to reach beyond its existing audience base and raise awareness of the work of the Institute.

### Social media

269. Throughout 2013 UNRISD continued its regular and active engagement with social media. The Institute is now using two “general purpose” social media properties—Facebook and Twitter—as well as LinkedIn for more professionally oriented material and YouTube for video products. All of these platforms saw a significant rise in user engagement during the year.



270. Followers on **Twitter** broke the 20,000 barrier in September 2013 and this figure continues to rise, reflecting sustained interest in the work of the Institute. An analysis conducted in August 2013 found that UNRISD had more followers than several comparators, such as the Institute for Development Studies (United Kingdom), the UNDP International Policy Centre for Inclusive Growth, and the International Development Research Center in Canada. In relation to other UN agencies, the Institute ranked higher in terms of Twitter followers than the other UN research and training institutes and UNU, and not far behind UNCTAD and UN Geneva.

271. Not only is the number of followers important, but the “quality” of those followers was also analysed, in the form of their identity and how large their own followings are. This is significant because it gives any potential re-tweets a greater reach. The five most significant accounts (by volume) following UNRISD on Twitter are:

UNRISD follower	Number of their followers
UNDP	246,395
World Bank	457,753
Yoani Sanchez, Cuban political blogger	515,262
Nelson Mandela (nelsonmandela.org)	617,837
UNICEF	1,991,046

272. A number of NGOs also follow UNRISD, and journalists and magazines also feature strongly. Finally, there are a number of groups following us which seem to have a more tangential connection with the work of the Institute. Social media thus reaches audiences we would otherwise not reach, for a relatively small investment in staff time and effort.

273. **Facebook** “Likes” reached over 4,200 at the end of the reporting period, and **LinkedIn** followership increased to over 600 since the Institute began, in the course of 2013, to post more regularly on this platform. The “cost” of enhancing the LinkedIn engagement within the social media portfolio is minimal, since it is being used to highlight to a more professional audience a selection of the posts being prepared for Facebook anyway. Nearly 40 per cent of our LinkedIn followers are in senior positions in their organizations, suggesting that we are reaching potentially influential policy makers, academics and advocates through this network.

274. UNRISD developed a **mobile application** for use during the conference *Potential and Limits of Social and Solidarity Economy*. The app enabled participants to view the event programme, see images of the speakers to identify them, link to speakers’ web pages, have easy access to sessions of particular interest by setting them as favourites, and set an alarm function to be reminded of when a selected session began.

275. In 2013, we also experimented with **Storify** for the first time. This allowed us to curate a range of social media coverage of Sarah Cook's trip to Australia in November into a coherent narrative. We then posted this piece on the UNRISD website, as a follow-up to the initial News item we had published announcing her trip.<sup>7</sup>

276. The UNRISD **Wikipedia** page underwent a comprehensive revision and by the end of the reporting period contained a full encyclopaedic reference to UNRISD, including an overview of its history, current projects, and governance and staffing. UNRISD itself made some corrections to the Wikipedia entry on Social Protection, which made inaccurate attributions of quotes to UNRISD.

277. Communications and outreach staff attended several presentations about current trends and best practice in social media during the year, and in many cases were able to establish that UNRISD is meeting industry standards. The amount we are posting is commensurate with an organization of our size, we are aware of how we align with our competitors, and we are sharing our social media progress internally in a way that encourages in-house support and buy-in.

### *Website innovation*

278. In 2013 UNRISD launched a rebranded, redesigned website incorporating the new logo and visual identity along with new features and improved functionality. The website search is now powered by Google.

279. The most dramatic change visually, and content-wise, is to the homepage. In a limited space we are now able to:

- feature a carousel that promotes five selected items at once—from research projects and news, to events and publications;
- draw users' attention to our latest video and the 50<sup>th</sup> anniversary timeline;
- give users a snapshot of our key research themes past and present, with links to both current and historical work one mouse-click away;
- highlight our 10 latest publications; and
- promote three upcoming and recent events.

### *Usage of website resources*

280. On average, over 36,000 unique visitors used the UNRISD website each month in 2013. The highest number of unique visitors was recorded in October—nearly 50,000—likely tied to the release of the redesigned website.

281. Of the geographic distribution of users, the North represented 59.36 per cent of visits whereas the South accounted for 34.90 per cent. In 2012, this was 63.58 per cent and 33 per cent respectively. The United States, United Kingdom, Canada and Switzerland are the top Northern countries accessing the UNRISD website; the top Southern countries include India, Mexico, the Philippines and South Africa.

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<sup>7</sup> [www.unrisd.org/news/sarahcook-australia](http://www.unrisd.org/news/sarahcook-australia)



282. In 2013, 30,520 PDF files were downloaded from the UNRISD website. The Institute's full-text publications are also downloaded from many other websites—UNRISD's Scribd page, and the UNRISD partner page on ISN being two prime examples.

283. The Publications section was the most accessed area of the UNRISD website in 2013, followed by Research and About Us (this one attracting traffic because of the vacancies being posted there).

	Visits	Page views
About Us	30,258	123,192
Research	54,364	133,648
Publications	169,538	397,099
Events	20,899	75,832
News & Views	34,179	69,468
Links	80	1,995
Messages	2,903	16,432
Search	378	13,454
Logins	55	2,955

284. "Gender", "Social development", "Social inclusion", "Women in development", "UN research" and "New public management" were the most popular keywords by which users accessed the UNRISD website in 2013. This is not reflected directly in publications downloads, however, which regularly feature *Combating Poverty and Inequality* in addition to newly released publications, suggesting that many publications downloads are a response to announcements via email.

## UNRISD Events

285. In 2013, UNRISD organized (or co-organized) 16 events under the banner of the 50<sup>th</sup> anniversary. The largest event of the year, the international conference *Potential and Limits of Social and Solidarity Economy*, brought together nearly 300 participants. Side events were organized at UN Headquarters during the 51<sup>st</sup> session of the Commission for Social Development.

### *UNRISD seminar series*

286. The UNRISD Seminar Series was launched in 2011 to provide a space for open and informed debate around contemporary issues of concern to social development research and policy, and it has since gained significant momentum. This is borne out by comments provided on attendance questionnaires in 2013:

- "Great presentation! I look forward to other topics!"
- "Excellent discussion and very relevant questions on an important issue."
- "Great space for debate that is critical and meaningful—UNRISD, keep it going!"
- "These events should be regularly held in bigger spaces for more participants."

287. UNRISD was able to secure well-known speakers from international organizations and from academia, more than half of whom were from the global South. They presented new and sometimes controversial material on a wide range of

social development topics, fulfilling our mandate to improve the quality of development debates, policy and practice. Nine seminars were organized in 2013:

- *Guy Standing, Professor of Development, SOAS: Piloting Basic Income in India: A Transformative Policy?* (December 2013, in partnership with the UNOG Library)
- *Manuel Montes, Senior Advisor on Finance and Development, South Centre: Institutions, Governance and Policy Space: Redesigning the International Economic Architecture for Development* (October 2013)
- *Li Yang, Vice President, CASS: The Legend of China's Growth* (July 2013, in partnership with the UNOG Library)
- *Guanghua Wan, Principal Economist, Asian Development Bank: Green Urbanization in Asia: Paradox or Win-Win Scenario?* (June 2013, in partnership with UNCTAD and the UNOG Library)
- *Magdalena Sepúlveda, UN Special Rapporteur on Extreme Poverty and Human Rights: The Human Rights Approach to Social Protection* (May 2013)
- *José Luis Vivero Pol, social rights activist and PhD candidate, Université Catholique de Louvain: Food as a Commodity, Human Right or Common Good? Implications for Hunger Eradication* (April 2013)
- *Stephen Devereux, Research Fellow, IDS: Food Security and Social Protection: Two Sides of the Same Coin?* (March 2013)
- *Rosalind Eyben, Professorial Fellow, IDS: Uncovering the Politics of "Evidence"* (March 2013)
- *Sangheon Lee, Research and Policy Coordinator, ILO: Wages, Inequality and Development: Time to Turn the Wheel?* (February 2013)

288. We systematically collected audience data at the seminars which, although imperfect, do show certain trends. More women than men attend the seminars; we attract as many individuals from NGOs as from academia; and taken together, representatives of NGOs, United Nations and intergovernmental organizations typically outweigh the number of academics in attendance.

289. An innovation in 2013 was our partnership with the UNOG Library for three of the seminars, which were held in the Library Events Room. As well as allowing us to accommodate a larger audience, this cooperation has raised the visibility of the seminars through their promotion to the Library's distribution list, increasing our reach. The Library has valued the high-quality speakers and debates brought by UNRISD, and there are plans to continue the collaboration for selected events in the future.

290. We also know that the seminars generate interest beyond the local audience able to attend, as we often receive queries about the availability of webcasts, videos and podcasts. Although livestreaming remained beyond the available resources in 2013, when we asked people to let us know if they wanted to be notified when videos and podcasts of events became available, we received over 500 such requests.

## Publications and Dissemination

291. While many of the Institute's communications initiatives during the reporting period emphasized digital channels, both institutional and research outputs continue

to be produced in a mix of print and digital formats. UNRISD has made digital publication its default format where this is possible and appropriate, such as for working-paper-type outputs and newsletters. UNRISD continues to print selected publications, subject to resources, while expanding digital access via its website, e-books, research portals and CD-Roms.

292. In 2013, over 3,300 printed publications and documents were disseminated at various international conferences and UNRISD events, including: Child Poverty and Social Protection Conference, Indonesia; Global Ethics Forum, UNEP Seminar, UNDP Human Development Report Launch, and Academic Council Debate, Switzerland; Global Health Forum, Taiwan; Fifth World Social Forum on Health, Tunisia; International Conference on Financing Social Protection in Africa, Uganda; and the 51<sup>st</sup> session of the Commission for Social Development, United States.

### *Publishing partnerships*

293. UNRISD remains committed to its partnerships with reputed scholarly publishers. In 2013 one volume was released in the series with Palgrave Macmillan, *Developmental Pathways to Poverty Reduction*; two were forthcoming in 2014. Two volumes were also forthcoming in UNRISD's long-standing series with Palgrave Macmillan, *Social Policy in a Development Context*. Palgrave's *International Political Economy* series celebrated its 30<sup>th</sup> anniversary in 2013 by reissuing selected titles as *IPE Classics*; one UNRISD title was included in this series in 2013, and one more is forthcoming in 2014. Finally, the proposal for an edited volume on *Potential and Limits of Social and Solidarity Economy* was accepted by Zed Books for inclusion in its "Just Sustainabilities" series; and the Chinese Social Sciences Press will publish the edited volume, in Chinese, on *Migration and Health in China*.

### *Depository libraries*

294. UNRISD continues to distribute its in-house print publications to libraries and similar public-access institutions in the North and South. In 2013 UNRISD counted 275 Depository Libraries, distributed geographically as follows:

- 89 Africa (32%)
- 47 Asia (18%)
- 6 Australia/Oceania (2%)
- 57 Europe (20%)
- 41 Latin America/Caribbean (15%)
- 27 Near East (10%)
- 8 North America (3%)

295. Among these are 12 UN agency libraries: UNECA (Ethiopia), UNOG (Geneva), UNICEF Innocenti Research Centre (Italy), UN-ESCWA (Lebanon), UNU (Japan), UNESCO (France), UN-ECLAC (Chile), UNEP (Kenya), UN Dag Hammarskjöld Library (USA), UN-ESCAP (Thailand), UN-DESA (USA), ITC/ILO (Italy). These libraries also receive UNRISD co-publications.

296. During the reporting period, three depository libraries were added:

- Commonwealth Secretariat Library, UK

- Mindanao State University Library, Philippines
- International Training Centre of the ILO, Italy

### *Bibliographic citations*

297. During 2013, 237 bibliographic citations of UNRISD work were identified in academic journals, in publications and documents of civil society organizations, national governments, multilateral agencies, United Nations organizations and specialized agencies. The 2010 flagship report, *Combating Poverty and Inequality*, accounted for 21 per cent of the total number of citations.

### *Course use*

298. There were 60 identified cases of UNRISD publications being used as course readings and identified as essential sources on web portals of educational institutions in countries such as Bangladesh, Canada, France, Germany, India, Italy, Kenya, Mauritius, the Netherlands, Norway, South Africa, Sierra Leone, Singapore, Spain, Sweden, Thailand, the United Kingdom and the United States.



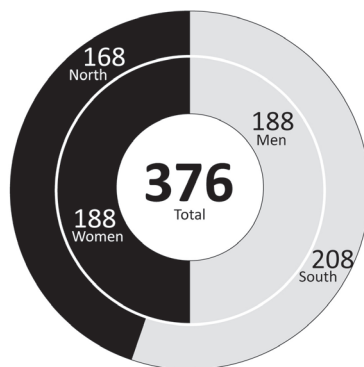


# ANNEX 1

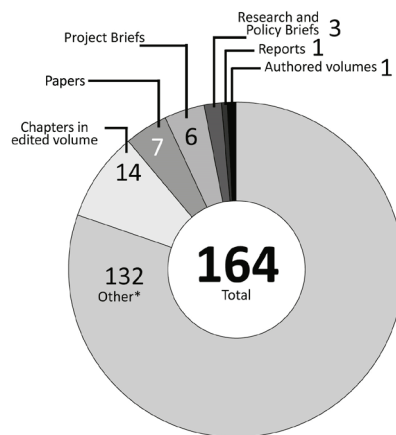
## 2013 AT A GLANCE: KEY INDICATORS

As described throughout this report, UNRISD work has engaged a large and diverse network of research, policy and civil society participants, stakeholders and audiences, contributed to key development debates and informed processes within and beyond the United Nations system. The charts below illustrate key areas of engagement. Data come from the UNRISD results-based management logframe for 2011-2014.

**Research network, by gender and nationality**

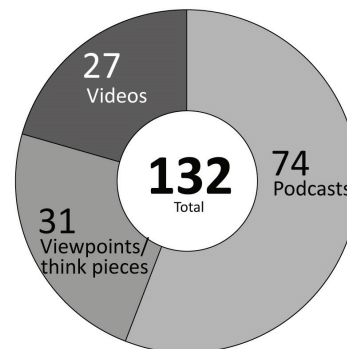


**Outputs from UNRISD projects**

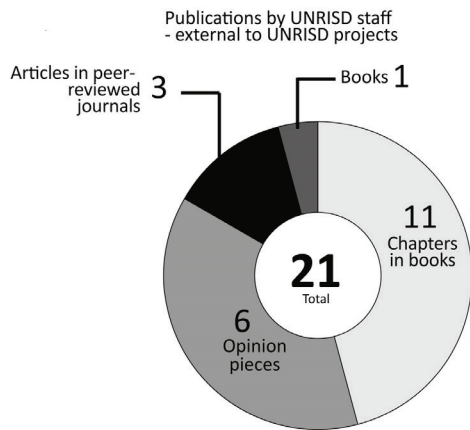


**\*Other**

(Breakdown of the "Other" category, at left)

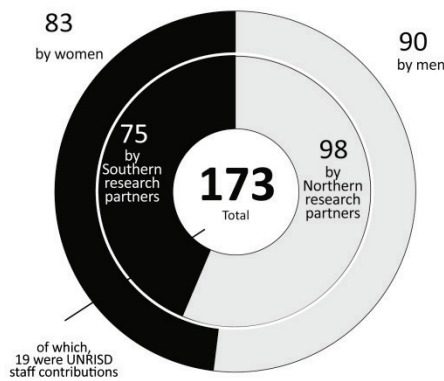


**External publications by UNRISD staff, by type**



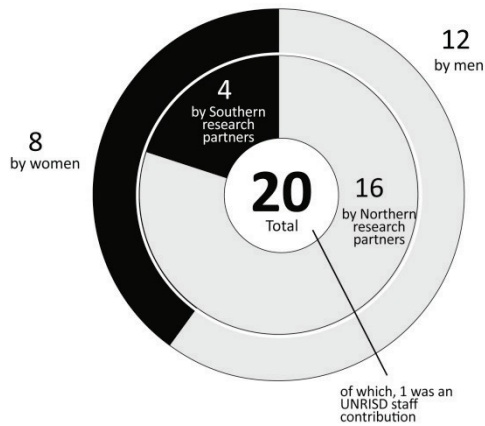
**Contributors to UNRISD research outputs**

(A total of 164 outputs were produced from UNRISD projects in 2013. There were 173 instances of contribution to these outputs.)



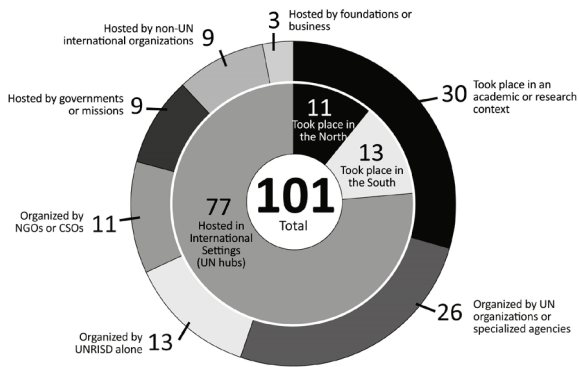
**Edited volumes: Contributors**

(One edited volume [14 chapters] and one authored volume were produced from UNRISD research in 2013. These were peer-reviewed. There were 20 instances of contribution to these volumes, which can be broken down thus.)

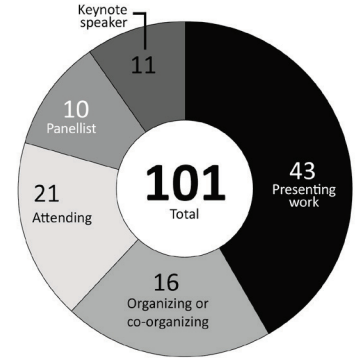




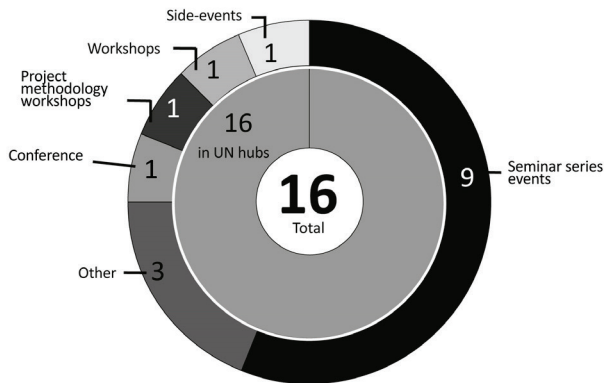
Event attendance by UNRISD staff, by sector and location



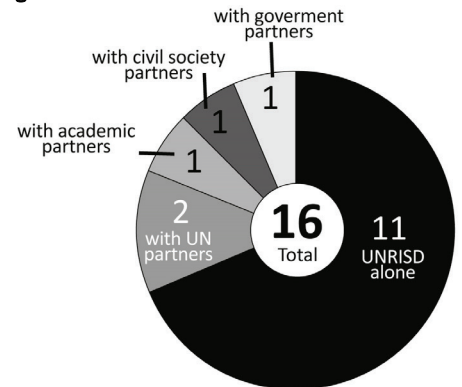
Event attendance by UNRISD staff by role



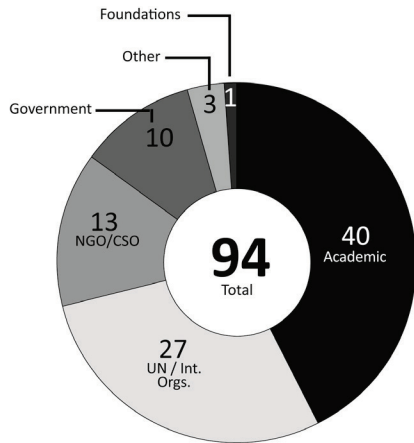
Events organized or co-organized by UNRISD, by type and location



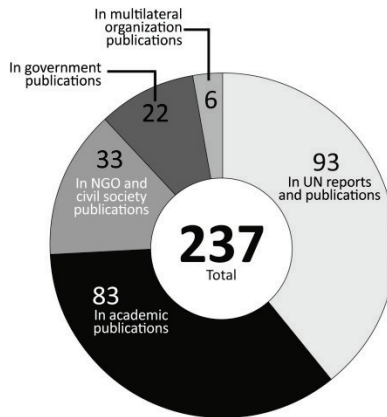
Events organized or co-organized by UNRISD, by organizers



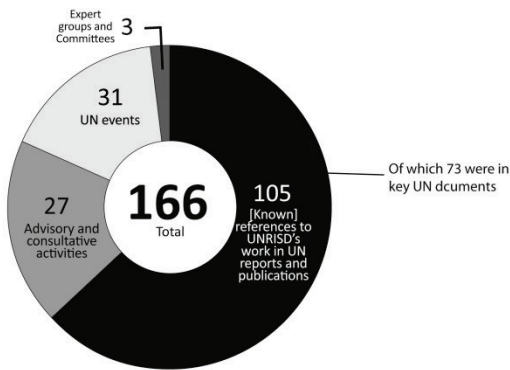
Advisory and consultative activities by UNRISD staff, by sector



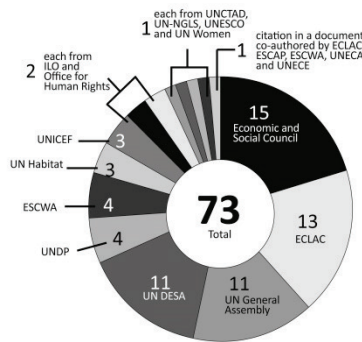
[Known] bibliographic citations of UNRISD work



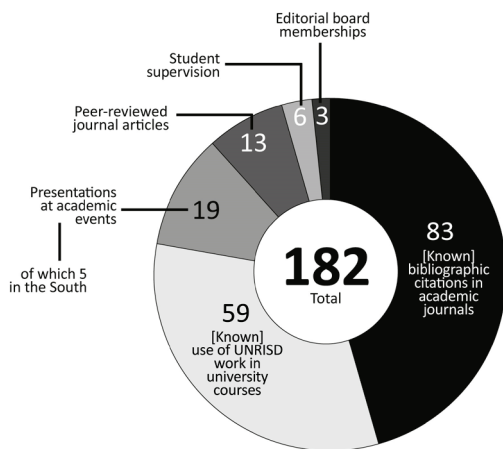
UN impact and influence



[Known] references to UNRISD work in key UN documents, reports and publications



Academic impact



ECOSOC, Note by the Secretariat - Emerging Issues: The Social Drivers of Sustainable Development  
 ECLAC, What Kind of State? What Kind of Equality?  
 ECLAC, Social Panorama of Latin America 2012  
 Report of the Secretary-General: Women in Development  
 Note by the Secretary-General: Extreme Poverty and Human Rights  
 UN-DESA, The Twin Challenges of Reducing Poverty and Creating Employment  
 UN-DESA, Report on the World Social Situation: Inequality Matters  
 UNDP, Inclusive Growth and Policies: The Asian Experience  
 ESCWA, Arab Millennium Development Goals Report 2011: An Inclusive Approach to Development in a Time of Transition  
 UN-HABITAT, State of Women in Cities 2012-2013  
 UNICEF, UNDP et al., Synthesis Report on the Global Thematic Consultation on Inequalities  
 ILO, Domestic Workers across the World: Global and Regional Statistics and the Extent of Legal Protection  
 OHCHR, Statement by 17 Special Procedures Mandate-Holders of the Human Rights Council on the Post-2015 Development Agenda  
 UNCTAD, Trade Policy and Gender Inequalities: A Country-Based Analysis  
 UN Women, Women Working for Recovery: The Impact of Female Employment on Family and Community Welfare  
 UN-NGLS, Consultation Report for the High Level Panel on the Post-2015 Development Agenda  
 UNESCO, Managing Water under Uncertainty and Risk  
 UN Regional Commissions, A Regional Perspective on the Post-2015 United Nations Development Agenda

# ANNEX 2

## PUBLICATIONS

### Copublished

#### *Books*

1. Martinez Franzoni, Juliana and Diego Sánchez-Ancochea. 2013. *Good Jobs and Social Services: How Costa Rica Achieved the Elusive Double Incorporation*. Palgrave, Basingstoke.
2. Utting, Peter and José Carlos Marques (eds.). 2013. *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.

#### *Chapters in books*

1. Shaw, Timothy M. 2013. "Preface." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
2. Utting, Peter and José Carlos Marques. 2013. "Foreword." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
3. Utting, Peter and José Carlos Marques. 2013. "Introduction: The intellectual crisis of CSR." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
4. Crouch, Colin. 2013. "CSR and changing modes of governance: Towards corporate noblesse oblige?" In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
5. Sum, Ngai-Ling. 2013. "Wal-Martization and CSR-ization in developing countries." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
6. Ireland, Paddy and Renginee Pillay. 2013. "Corporate social responsibility in a neoliberal age." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
7. Noyoo, Ndangwa. 2013. "Linking Corporate social responsibility and social policy in Zambia." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.

8. Blowfield, Michael. 2013. "Business, corporate responsibility and poverty reduction." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
9. van Tulder, Rob. 2013. "Transnational corporations and poverty reduction: Strategic and regional variations." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
10. Findlay-Brooks, Ruth, Wayne Visser and Thurstan Wright. 2013. "Cross-sector partnership as an approach to inclusive development." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
11. Gregoratti, Catia. 2013. "Growing sustainable business in East Africa: The potential and limits of partnerships for development." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
12. Fuchs, Doris and Agni Kalfagianni. 2013. "Private food governance: Implications for social sustainability and democratic legitimacy." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
13. Van Alstine, James. 2013. "Spaces of contestation: The governance of industry's environmental performance in Durban, South Africa." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.
14. Palpacuer, Florence. 2013. "Challenging governance in global commodity chains: The case of transnational activist campaigns for better work conditions." In Utting, Peter and José Carlos Marques (eds.), *International Political Economy Classics: Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?* Palgrave, Basingstoke.

## External Publications by UNRISD staff

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1. Leppo, Kimmo, Eeva Ollila, Sebastián Peña, Matthias Wismar and Sarah Cook (eds.). 2013. *Health in All Policies: Seizing Opportunities, Implementing Policies*. Ministry of Social Affairs and Health of Finland, Helsinki.

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1. Cook, Sarah. 2013. "Rescuing social protection from the poverty trap: New programmes and historical lessons." In *Social Protection in Developing Countries: Reforming Systems*. Routledge, London.
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3. Cook, Sarah and Xiao-yuan Dong. 2013. "Women's paid work and unpaid care responsibilities in China." In Rémi Genevey, Rajendra K. Pachauri and Laurence Tubiana (eds.), *Reducing Inequalities: A Sustainable Development Challenge. 2013 edition of A Planet for Life*. The Energy and Resources Institute (TERI), New Delhi.
4. Hujo, Katja. 2013. "Financing social and labour market policies in times of crisis and beyond." In Donald Lee, Marta Roig and Amson Sibanda (eds.), *The Twin Challenge of Reducing Poverty and Creating Employment*. UNDESA, New York.
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6. Razavi, Shahra. 2013. "Households, families, and social reproduction." In Georgina Waylen, Karen Celis, Johanna Kantola and Laurel Weldon (eds.), *The Oxford Handbook of Gender and Politics*. Oxford University Press, Oxford.
7. Utting, Peter. 2013. "Multistakeholder engagement in institution building: Assessing the pros and cons." In Rob van Tulder, Alain Verbeke and Roger Strange (eds.), *International Business and Sustainable Development*. The Partnerships Resource Centre, Rotterdam.
8. Utting, Peter. 2013. "Les voies de la durabilité dans un monde en crise." In Rémi Genevey, Rajendra K. Pachauri and Laurence Tubiana (eds.), *Reduire les Inegalités: un enjeu de development durable. Regards sur la Terre 2013*. The Energy and Resources Institute (TERI), New Delhi.
9. Utting, Peter. 2013. "Pathways to sustainability in a crisis-ridden world." In Rémi Genevey, Rajendra K. Pachauri and Laurence Tubiana (eds.), *Reducing Inequalities: A Sustainable Development Challenge. 2013 edition of A Planet for Life*. The Energy and Resources Institute (TERI), New Delhi.
10. Utting, Peter. 2013. "CSR and equality". In Andrew Crane, Dirk Matten, Laura Spence (eds.), *Corporate Social Responsibility: Readings and Cases in a Global Context*. Routledge, London.

## Journal articles

1. Hujo, Katja. 2013. "Linking social policy, migration and development in a regional context: The case of Sub-Saharan Africa." In Bob Deacon, Lorenzo Fioramonti and Sonja Nita (eds.), *Regions and Cohesion, Special*

*Issue – Regions without Borders: Regional Governance, Migration and Social Protection in Africa and Europe*, Vol. 3, No. 3, pp. 30–55.

2. Razavi, Shahra. 2013. “Review of Susie Jacobs, *Gender and Agrarian Reforms*, Routledge, 2010.” *Journal of Agrarian Change*, 13: 454–456.
3. Frauke Urban, Giles Mohan and Sarah Cook. 2013. “China as a new shaper of international development: The environmental implications.” *Environment, Development and Sustainability*, Vol. 15, No. 2, pp. 257–263.

### *Other (non-journal articles, reports, op-eds etc.)*

1. Hujo, Katja. “Some Migrants Ignored.” Letter in response to the article ‘Does migration change life for the better for people from poor countries?’, in *The Guardian Weekly*, 25 October 2013
2. Hujo, Katja. Response to featured Q&A on ‘What Factors Are Driving Migration Trends in the Region?’, in Inter-American Dialogue’s *Latin America Advisor*, 27 September 2013, p.4.
3. Hujo, Katja and Sarah Cook. 2013. *The Political Economy of Social Pension Reform in Asia*. 1 pager No. 208, ADB-IPC/UNDP.
4. Utting, Peter, Marie-Adélaïde Matheï and Nadine van Dijk. “Focus on Social and Solidarity Economy.” *UN Special*, April, [www.unspecial.org/2013/04/focus-on-social-and-solidarity-economy/](http://www.unspecial.org/2013/04/focus-on-social-and-solidarity-economy/)
5. Utting, Peter. “What is Social and Solidarity Economy and Why Does It Matter?” *From Poverty to Power* blog, [www.oxfamblogs.org/fp2p/?p=14437](http://www.oxfamblogs.org/fp2p/?p=14437)
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8. Utting, Peter. 2013. “From Latin America to Asia: The global Social Solidarity Economy movement gains momentum.” *The 2015 Post*, no. 2, pp. 31–34. United Nations Non-Governmental Liaison Service, Geneva.
9. Yi, Ilcheong. “Lessons of Good Social Policy.” *The Broker*, [www.thebrokeronline.eu/Blogs/Inequality-debate/Lessons-of-good-social-policy/](http://www.thebrokeronline.eu/Blogs/Inequality-debate/Lessons-of-good-social-policy/)

## **In-House Publications**

### *Policy Briefs*

1. *Combating Poverty and Inequality* (Beyond 2015 Brief No. 1)
2. *Inequalities and the Post-2015 Development Agenda* (Beyond 2015 Brief No. 2)

3. *Social Policy and Employment: Rebuilding the Connections* (Beyond 2015 Brief No. 3)

### Other Briefs

1. *Potential and Limits of Social and Solidarity Economy* (Event Brief No. 1). Also available in French and Spanish.
2. *New Directions in Social Policy* (Project Brief No. 4)
3. *When and Why do States Respond to Women's Claims? Understanding Gender-Egalitarian Change in Asia* (Project Brief No. 5)
4. *An Anti-Development Model? Overcoming Obstacles to Domestic Resource Mobilization in Zimbabwe* (Project Brief No. 6)
5. *Contestation and Social Change: The Politics of Domestic Resource Mobilization in Bolivia* (Project Brief No. 7)
6. *Mobilizing Domestic Revenues in Uganda* (Project Brief No. 8)

### UNRISD Research Papers (peer-reviewed)

1. Amsden, Alice. 2013. *Securing the Home Market: A New Approach to Korean Development*. May.
2. Madhoo, Yeti Nisha and Shyam Nath 2013. *Ethnic Diversity, Development and Social Policy in Small States: The Case of Mauritius*. May.
3. Prasad, Naren, Nicola Hypher and Megan Gerecke *Seeing Big: Transformative Social Policies in Small States*. August.

### UNRISD Working Papers

1. Goldboom, Tabea. 2013. *An Instrument for Social Protection and Climate Change Adaptation? The Politics of Implementing Agricultural Microinsurance in Bolivia*. April.
2. Ringen, Stein and Kinglun Ngok. 2013. *What Kind of Welfare State is Emerging in China?* September.
3. Tucker, Joseph D., Chun Hao, Xia Zou, Guiye Lv, Megan McLaughlin, Xiaoming Li and Li Ling. 2013. *The Influence of Migration on the Burden and Response to Infectious Disease Threats in China: A Theoretically Informed Review*. November.
4. Zheng, Zhenzhen, Ciyong Lu and Liming Lu. 2013. *Reproductive Health and Access to Services among Rural-to-Urban Migrants in China*. December.

### Reports

1. *Workshop Report: Gender and Agriculture after Neoliberalism?*

### *Op-Eds/Think pieces/Viewpoints*

1. Cook, Sarah. “50 years of research for social change—UNRISD 1963–2013”, January 2013.
2. Kawano, Emily. “Social Solidarity Economy: Toward convergence across continental divides”, February 2013.
3. Hanley, Lisa. “Moving beyond the public-private divide: Locating social entrepreneurship in the social economy”, February 2013.
4. Bhatt, Babita, Israr Qureshi and Samer Abdelnour. “Economic ideals: Gandhian and neoliberal logics in India”, February 2013.
5. Spognardi, Andrés. “The politics of the cooperative sector in developing countries: Insights from Argentina, Brazil and Colombia”, February 2013.
6. Cumbers, Andrew . “Making space for economic democracy: The Danish wind power revolution”, March 2013.
7. Sarria Icaza, Ana Mercedes. “La Economía Solidaria como política y estrategia de desarrollo. Políticas públicas, movimiento social y desafíos en Brasil”, March 2013.
8. Ofreño, Rosalinda Pineda. “Solidarity economy initiatives from the ground up: What can we learn from the women home-based workers of southeast Asia?”, March 2013.
9. Nelson, Anitra. “An impossible marriage: Solidarity economy and monetary economy”, March 2013.
10. Warnecke, Tonia. “Can female entrepreneurship programmes support social and solidarity economy? Insights from China and India”, March 2013.
11. Alarcón, Cristián and Cristobal Navarro. “Worker solidarity confronting the crises of capitalism: Bottom-up solidarity economy and political ecology in South America”, April 2013.
12. Safri, Maliha. “Connecting the right dots: Economic integration and solidarity/social economy supply chains”, April 2013.
13. Gay, Bryn and Chatrini Weeratunge. “Let’s ‘do-it-ourselves’: Building a participatory economy in South Asia”, April 2013.
14. Wedig, Karin. “‘It is the powerful farmers who really enjoy the group’: Inequality and change in Uganda’s coffee cooperatives”, April 2013.
15. Quiñones, Benjamin R. “Are mental models shaping SSE reality? Conceptualizing, measuring and evaluating SSE performance”, April 2013.
16. Goldboom, Tabea. “Microinsurance as a liberal market approach to social protection? A second look”, April 2013.
17. Utting, Peter. “Social and Solidarity Economy: A pathway to socially sustainable development?”, April 2013.



18. Arnsperger, Christian. “Want to really help expand Social and Solidarity Economy? Then start rethinking money!”, April 2013.
19. Peels, Rafael. “Legal frameworks on Social and Solidarity Economy: What is the role of civil society organizations in policy making?”, May 2013.
20. Murphy, Helen and Marilyn Wallace. “Engaging with the social economy in aboriginal Australia: The experience of Eastern Kuku Yalanji social entrepreneurs”, June 2013.
21. Agafonow, Alejandro. “The puzzled regulator: The missing link in our understanding of social enterprises”, June 2013.
22. Giovannini, Michela. “Social enterprises for buen vivir in Chiapas: An alternative to development”, June 2013.
23. Esim, Simel. “In these times of crises can cooperatives come to the rescue?,” July 2013.
24. Sanchez Bajo, Claudia. “David and Goliath—Cooperatives and the global crisis”, July 2013.
25. Altuna-Gabilondo, Larraitz. “Solidarity at work: The case of Mondragon”, July 2013.
26. Richards, Morgan and William Ruddick. “Kenyan businesswomen transforming slum economies through complementary currencies”, July 2013.
27. Meyer, Camille and Leonardo Leal. “Community development banks: Enabling access to finance for poor communities”, September 2013.
28. Igiraneza, Emery. “What do cooperatives have to do with the post- 2015 development framework and proposed sustainable development goals?”, September 2013.
29. Utting, Peter. “Economía Social Solidaria: Un camino hacia un modelo de desarrollo alternativo?”, October 2013.
30. Utting, Peter. “RIPESS calls on UN to promote Social and Solidarity Economy”, October 2013.
31. Bauwens, Thomas and Andreia Lemaître, “Do informal initiatives in the South share a capitalist logic or are they the seeds of a solidarity economy? The case of Santiago de Chile”, December 2013.

### Videos

Note: all videos are also available at [www.unrisd.org/videos](http://www.unrisd.org/videos).

1. The Resource Curse? Part One: Katja Hujo, UNRISD.  
YouTube <http://www.youtube.com/watch?v=IZIBwuSVNgw>,  
January 2013.
2. The Resource Curse? Part Two, Samuel Asfaha, ITC-ILO.  
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3. The Resource Curse? Part Three, Alfredo Calcagno, UNCTAD.  
YouTube [http://www.youtube.com/watch?v=Rr\\_hvKoyvos](http://www.youtube.com/watch?v=Rr_hvKoyvos), January 2013.
4. Communicating Knowledge in the UN: Eva Jespersen, UNDP.  
YouTube [www.youtube.com/watch?v=jPoigVbleE4](http://www.youtube.com/watch?v=jPoigVbleE4), January 2013.
5. UN Women: The Importance of Credible Research: Saraswati Menon, UN Women.  
YouTube [www.youtube.com/watch?v=wIxbUSH1Ay0](http://www.youtube.com/watch?v=wIxbUSH1Ay0), January 2013.
6. Migrant Domestic Workers' Rights, Karin Pape, WIEGO.  
YouTube [www.youtube.com/watch?v=Cw3z7NlAatM](http://www.youtube.com/watch?v=Cw3z7NlAatM), January 2013.
7. The Feminization of Migration, Christine Verschuur, The Graduate Institute.  
YouTube [www.youtube.com/watch?v=8rxQwSO7UTk](http://www.youtube.com/watch?v=8rxQwSO7UTk), January 2013.
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YouTube [www.youtube.com/watch?v=rQVvk\\_FaemFg](http://www.youtube.com/watch?v=rQVvk_FaemFg), January 2013.
9. Regional Migration, Bob Deacon, UNU-CRIS.  
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10. The Migrant Workers Convention, Jakob Schneider, UNHCR.  
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11. Labour Exchange and Forced Migration, Raúl Delgado Wise, International Network on Migration and Development.  
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12. Integrate Labour Market and Social Protection Policies to Fight Inequality, Sangheon Lee, ILO.  
YouTube [www.youtube.com/watch?v=OdR10gGLRgo](http://www.youtube.com/watch?v=OdR10gGLRgo), March 2013.
13. Uncovering the Politics of “Evidence”, Rosalind Eyben, IDS.  
YouTube [www.youtube.com/watch?v=kAxuI7WqcfQ](http://www.youtube.com/watch?v=kAxuI7WqcfQ), April 2013.
14. Food Security and Social Protection: Two Sides of the Same Coin?, Stephen Devereux, IDS.  
YouTube [www.youtube.com/watch?v=t6AOACzVms4](http://www.youtube.com/watch?v=t6AOACzVms4), June 2013.
15. Voices for Social and Solidarity Economy: Towards an Alternative?  
YouTube [www.youtube.com/watch?v=PIcwIshFcHI](http://www.youtube.com/watch?v=PIcwIshFcHI), May 2013.
16. SSE: Conference Opening Session.  
YouTube [www.youtube.com/watch?v=Hcj9e9vPG0](http://www.youtube.com/watch?v=Hcj9e9vPG0), June 2013.
17. SSE Conference Closing Session.  
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18. SSE Conference: Béatrice Alain.  
YouTube [www.youtube.com/watch?v=etJAEveUfqg](http://www.youtube.com/watch?v=etJAEveUfqg), June 2013.
19. UNRISD Interviews Godfrey Kanyenze.  
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20. SSE Conference: Bénédicte Fonteneau (English and French versions).  
YouTube [www.youtube.com/watch?v=KLwKyBGr9pI](http://www.youtube.com/watch?v=KLwKyBGr9pI) (French),  
[www.youtube.com/watch?v=-3BOxEHXiB0](http://www.youtube.com/watch?v=-3BOxEHXiB0) (English), July 2013.
21. SSE Conference: Darryl Reed.  
YouTube [www.youtube.com/watch?v=IXndWu3GfTs](http://www.youtube.com/watch?v=IXndWu3GfTs), July 2013.
22. SSE Conference: Georgina Gomez.  
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23. SSE Conference: Ananya Mukherjee-Reed.  
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24. The Human Rights Approach to Social Protection, Magdalena Sepulveda Carmona.  
YouTube [www.youtube.com/watch?v=l3zfV5UmtLY](http://www.youtube.com/watch?v=l3zfV5UmtLY), July 2013.
25. The Legend of China's Growth, Li Yang.  
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26. Obstacles to Development in the International Economic Architecture, Manuel Montes.  
YouTube [www.youtube.com/watch?v=Az8SM\\_uau7Q](http://www.youtube.com/watch?v=Az8SM_uau7Q), October 2013.
27. Piloting Basic Income in India: A Transformative Policy?, Guy Standing.  
YouTube [www.youtube.com/watch?v=zZEdMVEnr8Y](http://www.youtube.com/watch?v=zZEdMVEnr8Y), December 2013.

### *Podcasts*

Note: all podcasts are available on iTunes.

1. A Rights-Based, Gender-Equitable Approach to the Regional Governance of Migration: An Elusive or Achievable Prospect?, January 2013.
2. New Directions in Social Policy—A Side Event at the Commission for Social Development, February 2013.
3. Wages, Inequality and Development: Time to Turn the Wheel?, Sangheon Lee, ILO, February 2013.
4. Uncovering the Politics of “Evidence”, Rosalind Eyben, IDS, March 2013.
5. Food Security and Social Protection: Two Sides of the Same Coin?, Stephen Devereux, IDS, March 2013.
6. Food as a Commodity, Human Right or Common Good? Implications for Hunger Eradication, José Luis Vivero Pol, April 2013.
7. The Human Rights Approach to Social Protection, Magdalena Sepúlveda Carmona, May 2013.
8. Interview with Godfrey Kanyenze, June 2013.
9. Opening Session, Conference on Potential and Limits of Social and Solidarity Economy, May 2013.
10. La Presencia de la Economía Social y Solidaria (ESS) y su Institucionalización en América Latina, José Luis Coraggio, May 2013.

11. Towards an Epistemological Foundation for Social and Solidarity Economy, Anup Dash, May 2013.
12. Rethinking the Social and Solidarity Economy in Light of Community Practice, Blanca Lemus and David Barkin, May 2013.
13. Prometheus, Trojan Horse or Frankenstein? The Social and Solidarity Economy as Community Creation, Market Wedge, or State Monster, John-Justin McMurtry, May 2013.
14. Solidarity Economy as Part of Popular Security Enhancing Practices: A Neo-Polanyian Conceptual Framework, Isabelle Hillenkamp, Frédéric Lapeyre and Andreia Lemaître, May 2013.
15. Social and Solidarity Economy: Between Emancipation and Reproduction, Joana S. Marques, May 2013.
16. Discussion, Session 1: Conceptualizing SSE, May 2013.
17. Taking Solidarity Seriously: Analyzing Kudumbashree as a Women's Social and Solidarity Economy Experiment, Ananya Mukherjee-Reed and Darryl Reed, May 2013.
18. Paradoxes of Social Entrepreneurship, Golam Sarwar, May 2013.
19. State and SSE Partnerships in Social Policy: Recent Trends and Implications for a New 'Welfare Mix' in Uruguay, Cecilia Rossel, May 2013.
20. Social and Solidarity Economy as Main Actor of the Extension of Social Protection in Health in Africa?, Bénédicte Fonteneau, June 2013.
21. Discussion, Session 2: SSE, Welfare Regimes and Social Service Provisioning, May 2013.
22. Cooperative Enterprise Development as a Key Aspect in Rebuilding Solidarity-Driven Local Economies in the Aftermath of Thirty Years of Destructive Local Neoliberalism, Milford Bateman, May 2013.
23. Monnaie Complémentaire versus Microcrédit Solidaire et Tontines: Contribution Comparée à un Développement Solidaire Local, Jean-Michel Servet, June 2013.
24. Understanding Social and Solidarity Economy in Emergent Communities: Lessons from Post-Fast Track Land Reform Farms in Mazowe, Zimbabwe, Manase Kudzai Chiweshe, May 2013.
25. Les Monnaies Sociales et Complémentaires dans les Dynamiques Territoriales: Potentialités, Impacts, Limites et Perspectives, Marie Fare, English version, June 2013.
26. Scaling Up: Interactions, Challenges, and Opportunities for SSE in the Philippines, Michael P. Cañares, May 2013.
27. Discussion, Session 3: SSE and Local Development, May 2013.
28. Evaluating the Formation of Enabling Public Policy for the Social and Solidarity Economy from a Comparative Perspective: The Effectiveness of

Collaborative Processes or the Co-Construction of Public Policy,  
Marguerite Mendell and Béatrice Alain, May 2013.

29. Estrategias de Supervivencia y Elaboración de Políticas Públicas: El Papel de la Economía Social y Solidaria en Latinoamérica y la Contribución De Brasil hacia la Construcción de Políticas Emancipadoras, Leandro Pereira Morais, May 2013.
30. Regional Policy Frameworks of Social Solidarity Economy in South America, Marcelo Saguier and Zoe Brent, May 2013.
31. Enabling Agricultural Cooperatives through Public Policy and the State: The Case of Uganda, Justine Nannyonjo, May 2013.
32. Cooperative Law and Sustainable Development: Match or Mismatch?, Hagen Henry, May 2013.
33. Discussion, Session 4: SSE, Public Policy and Law, May 2013.
34. Beyond the Business Case: A Community Economies Approach to Gender, Development and Social Economy—Suzanne Bergeron and Stephen Healy, May 2013.
35. The Power of Numbers: Shared Interests, Critical Mass and the Effectiveness of Women’s Participation in South Asia, Bina Agarwal, May 2013.
36. State, Civil Society and Expanding Social and Solidarity Economy among Informal Sector Women in Ethiopia, Lyn Ossome, May 2013.
37. Collective Action, Gender Dynamics and the Constraints for Scaling Up Women Initiatives in Rural Mexico: The Case of “El Color de la Tierra”, An Indigenous Collective Initiative in Western Mexico, Carolina Contreras Arias, May 2013.
38. Discussion, Session 5: SSE and Gender Dynamics, May 2013.
39. Potential and Challenges of SSE Initiatives for Informal Street Trade: A Case Study of Two Indian Cities, Neetu Choudhary, May 2013.
40. The Hidden Side of SSE: Social Movements and the “Translation” of SSE into Policy (Latin America), Ana Cecilia Dinerstein, May 2013.
41. Challenges for the Sustainability of SSE: The Interaction Between Popular Economy, Social Movements and Public Policies—A Case Study of the Global Alliance of Waste Pickers, Angélique van Zeeland, May 2013.
42. The Potential and Limits of Farmers’ Groups as Catalysts of Rural Development, Roldan Muradian, May 2013.
43. Discussion, Session 6: Political Economy of SSE and Collective Action, May 2013.
44. The Potential of Social and Solidarity Economy Organizations to Complement or Replace Publicly Traded Companies in the Provision of Goods and Services, Carina Millstone, May 2013.

45. Balancing Growth and Solidarity in the Argentine Community Currency Systems (Trueque), Georgina Gómez, May 2013.
46. Embeddedness and the Dynamics of Growth: The Case of Amul Cooperative, India, Abhijit Ghosh, May 2013.
47. The Rise of Fair Trade: Opportunities, Tensions and Uncertainties, Darryl Reed, May 2013.
48. Discussion, Session 7: Scaling Up through the Market, May 2013.
49. La Consolidación de las Iniciativas de Economía Social y Solidaria: Alcances y Desafíos de Procesos de Recuperación de Empresas de Argentina, María Victoria Deux Marzi, May 2013.
50. Conceptualizing SSE towards Sustainable Consumption Transitions: Learning across Contexts and Cultures, from Geneva to Manila, Marlyne Sahakian and Christophe Dunand, May 2013.
51. Beyond Alternative Food Networks: An Agenda for Comparative Analysis of Italy's Solidarity Purchase Groups (SPG) and Districts of Solidarity Economy vis-à-vis US Community Economies, Cristina Grasseni, Francesca Forno and Silvana Signori, May 2013.
52. Discussion, Session 8: SSE, Resilience and Sustainability, May 2013.
53. Closing Session, May 2013.
54. Community and Complementary Currencies, Practices and Research: State of the Art, Jérôme Blanc, July 2013.
55. Acteurs-Chercheurs pour la Pluralité Monétaire et la Transformation Sociale: Territorial Development Dynamics and Complementary Currencies, Marie Fare, July 2013.
56. Scaling Up Complementary Currencies: What Role for Governments?, Bernard Lietaer, July 2013.
57. Solidarity, Inclusive Endogenous Development and Popular Economy: The Brazilian Experience of Community Development Banks and Complementary Currencies, Carlos de Freitas, July 2013.
58. Unlocking Local Wealth, Jem Bendell, July 2013.
59. Social Currency for Common Goods: The Case of the Palmas Currency, Camille Meyer, July 2013.
60. Solidarity Finance and Public Policy: The Brazilian Experience of Community Development Banks, Juliana Braz, July 2013.
61. Complementary Currencies Strengthening the Social and Solidarity Economy: Case Studies from Kenya, Lucero Mariani, July 2013.
62. New Approach for a Social and Solidarity Currency: Towards a Solution for Humanitarian, Economic and Ecological Crisis. The Case of Androy in Southern Madagascar, Jean-Luc Roux, July 2013.

63. Validating Complementary and Community Currencies as an Efficient Tool for Social and Solidarity Economy Networking and Development: The Deployment of Theory of Change Approach and Evaluation Standards for their Impact Assessment, Leander Bindewald and Christophe Place, July 2013.
64. The New Frontier in Payment Systems: Virtual Currency Schemes, the C3 Uruguay case and the Potential Impact on SSE, Marco Sachy, July 2013.
65. Tumin, Pesos, or Wealth? Limits and Possibilities of a Local Alternative to Scarcity of Money and Abundance of Richness, Maria José Orraca, July 2013.
66. Local Exchange Trading Systems (LETS) as a Response to Economic Crisis: The Case of Greece, Eleni Thanou, July 2013.
67. Politics of Domestic Resource Mobilization: Interview with Richard Saunders, May 2013.
68. Politics of Domestic Resource Mobilization: Interview with José Ricardo Barrientos Quezada, May 2013.
69. Politics of Domestic Resource Mobilization: Interview with Anne Mette Kjaer, May 2013.
70. Políticas de Mobilización de Recursos Domésticos: Entrevista con Maria Verónica Paz Arauco, Spanish—May 2013, English—June 2013.
71. Green Urbanization in Asia: Paradox or Win-Win Scenario?, Guanghua Wang, June 2013.
72. The Legend of China's Growth, Li Yang. July 2013.
73. Interview with Professor Jin Baoping (in Chinese), June 2013.
74. Institutions, Governance and Policy Space: Redesigning the International Economic Architecture for Development, by Manuel Montes. October 2013.





## **ANNEX 3**

### **CONSULTATIVE AND ADVISORY ACTIVITIES**

A telling indicator of the impact of the work of UNRISD and the reputation of the Institute is the number of requests for consultative and advisory services. Staff are regularly called upon to advise, consult with and provide briefings, presentations and seminars to interested parties. Staff are also invited to sit on expert groups, committees, editorial boards and task teams. These activities, undertaken in addition to the regular programme of work and frequently non-remunerated, strengthen collaboration, disseminate research findings, share knowledge with stakeholders, and contribute to new thinking and policy debate on development issues.

Reflecting the high demand for research findings and other contributions from UNRISD research staff, UNRISD has engaged in substantive ways with an increasing number of UN agencies and processes. Joint studies were undertaken jointly with or commissioned by UN-ESCAP, UNDP China and UNICEF's East Asia offices; there was increased participation in activities with DESA, a joint conference with ILO and UN-NGLS, and other activities involving WHO, OHCHR and UNESCO among others.

UNRISD staff also selectively engaged in advisory work, conferences and other activities with non-UN international bodies, civil society organizations, member states and academia. The number of requests far exceeds the capacity of UNRISD staff to respond, given constrained human and financial resources.

In 2013 UNRISD staff engaged in advisory and consultative activities on nearly 100 occasions, and participated in 85 events external to UNRISD. These activities are shown in the following tables.



# Consultative and Advisory Activities, Including Event Participation

## Consultative and advisory activities, by sector

### Sector: Academic

Memberships of academic boards, committees, networks or organizations and editorial boards		
European Association of Development Research and Training Institutes (EADI)		Sarah Cook
Advisory Board Member, Center for Migrant Health Policy (CMHP), Sun Yat-sen University, Guangzhou, China		Sarah Cook
Advisory Board Member, Department of International Development, Queen Elizabeth House, Oxford University		Sarah Cook
Editorial Advisory Board Member, <i>Jindal Journal of Public Policy</i>		Sarah Cook
Visiting Professor, Bristol University		Sarah Cook
External advisory board for the project on Gender, Migration and the Work of Care, University of Toronto		Katja Hujo
Steering Group for the Sheffield Institute for International Development project: The 100 Most Important Questions for International Development		Katja Hujo
Academic Council of International Geneva, advising on topics for annual call for projects and selecting winners of the annual prize for best research papers		Peter Utting
Instances of work peer-reviewed, informal consultations given, students supervised or advised, and media-related activities		
Interviewed by two students in Geneva for an exchange programme to provide input for a BA dissertation on women and migration, and feminization of agriculture, University of New Mexico	November	Paola Cagna
Interviewed by student from the University of New Mexico in Geneva for an exchange programme to provide input for a BA dissertation on sexual and reproductive health and rights in the post-2015 agenda	November	Paola Cagna
Interviewed by student in Geneva for an exchange programme to provide input for a BA dissertation on women and migration, Emory University	November	Paola Cagna
Reviewed a paper for <i>Journal of Human Development and Capabilities</i>		Sarah Cook
Reviewed a paper for <i>China Perspectives</i>		Sarah Cook
Reviewed a paper for <i>Journal of Peasant Studies</i>		Sarah Cook
Follow-up discussion on MoU between UNRISD and CASS as a framework for collaboration, and possible joint activities. (MoU was signed on 3 July 2013 by CASS delegation visiting UNRISD in Geneva)	April	Sarah Cook
Wrote a book endorsement for book, <i>Gender and Social Protection in the Developing World: Beyond Mothers and Safety Nets</i> , Zed Books	March	Sarah Cook
Provided input on the role of education in the new global development agenda to a student from George Washington University	July	Esuna Dugarova
Reviewed article for the <i>International Migration Review</i>	April	Katja Hujo
Reviewed a paper for <i>Social Policy and Administration</i>	June	Katja Hujo
Reviewed a research proposal for the Economic and Social Research Council (ESRC)	June	Katja Hujo
Met with the Director of International Affairs Programme about potential cooperation with students from Northeastern University (Boston)	June	Katja Hujo
Reviewed a paper for <i>Gender and Society</i>	July	Katja Hujo
Gave an interview to PhD student Singapore University on South-South migration	July	Katja Hujo

Gave an interview to student on the politics of domestic resource mobilization and mineral-rich countries to student from The Graduate Institute	October	Katja Hujo
Met with project leader Donald Anton to discuss potential UNRISD collaboration on project "Exploring the sustainable development potential of environmentally sensitive deep seabed mining sponsored by South Pacific developing countries", Australian National University	November	Katja Hujo
Reviewed the paper, "The Changing Donor Landscape in Nicaragua: Rising Competition Enhances Ownership and Fosters Cooperation" for the <i>Journal of International Development</i>	March	Peter Utting
Reviewed the paper "Comercio Justo and Justice: An examination of Fair Trade" for the <i>Journal of Business Ethics</i>	March	Peter Utting
Reviewed the book proposal for <i>Gender. Power and Knowledge for Development</i> for Earthscan	May	Peter Utting
Provided an endorsement for book, <i>The Politics of Global Supply Chains</i> , Polity	July	Peter Utting
Provided endorsement for book <i>Beyond Alternative Food Networks: Italy's Solidarity Purchase Groups</i> , Bloomsbury	July	Peter Utting
Reviewed paper on CEO Power for the <i>Journal of Business Ethics</i>	July	Peter Utting
Interviewed by a post-doctoral researcher, St. Gallen University	September	Peter Utting
Briefing on Social and Solidarity Economy for students, Andre Bello University, Venezuela	September	Peter Utting
Participated in a meeting to advise on content of the 2014 Gender and Development conference, The Graduate Institute	November	Peter Utting
Wrote a foreword for book <i>Ethical Trade, Gender and Sustainable Livelihoods: Women Smallholders and Ethicality in Kenya</i> , Earthscan	November	Peter Utting
Blind review of paper for the <i>Journal Critique Internationale</i> (Science Po, Paris)	March	Ilcheong Yi
Reviewed a journal article for <i>International Journal for Equity in Health</i>	February	Shufang Zhang
Reviewed a journal article for <i>Economic Development and Cultural Change</i>	June	Shufang Zhang

## Sector: Governments

Instances of providing advice and building relationships with governments		
Member of Task Force, Environmental Protection and Social Development, China Council for International Cooperation on Environment and Development (CCICED)	2012-2013	Sarah Cook
Gave a lunchtime briefing for high-level officials from the Belgian Mission on Post-2015	April	Sarah Cook
Gave a dinner briefing to Advisor to David Cameron as Chair of the High Level Panel (HLP) on Post-2015 to discuss HLP Report and issues for post-2015 development agenda	June	Sarah Cook
Presented UNRISD work to Head of Senate Committee and Mexican Senator Laura Rojas and Judith Arrieta from the Mexican Mission	October	Sarah Cook/ Katja Hujo
At the Ministry of Foreign Affairs, briefed the focal point for UNRISD on UNRISD collaborations in Korea and update on UN change process as well as scope for further joint research on rural development / the lessons for lower income countries from the new village movement. At KOICA, briefings to Vice-President and Head of Research.	June	Sarah Cook/ Ilcheong Yi
Evaluated large-scale research proposals within the FP7 framework in the field of Socio-Economic Sciences and Humanities	April-May	Esuna Dugarova
Provided inputs and comments for the draft resolution on "The Girl Child", prepared by Malawi on behalf of the South African Development Community (SADC), coordinated by UNICEF, and presented to the General Assembly later this year	September	Katja Hujo/ Paola Cagna
Provided a briefing to the Ville de Genève on the importance of studying Social and Solidarity Economy, and UNRISD conference proposal. This led to a funding partnership.	January-May	Peter Utting
Briefed the Deputy Permanent Representative from France on the recent developments related to SSE within the UN System, and discussed president François Hollande's call for creating a "Leading Group" on Social and Solidarity Economy	December	Peter Utting

Discussed collaboration with UNRISD with the Taiwanese delegate in Geneva	July	Ilcheong Yi
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## Sector: UN/Specialized Agencies

Memberships of boards, committees and steering groups		
Executive Committee on Economic and Social Affairs		Sarah Cook
UN System Advisory Group - Global Thematic Consultation on Inequalities		Sarah Cook
Expert Group Meeting on “Adapting UN system to better support sustainable development” Division for Social Policy and Development, UN DESA, which includes UN agencies, regional commissions and other international organizations		Esuna Dugarova
Editorial Board of the International Social Security Review		Katja Hujo
UN Inter-Agency Network on Women and Gender Equality (IANWGE)		Katja Hujo
UNESCO – ISSC (International Social Science Council) Climate Change Design Project		Peter Utting
United Nations Inter-Agency Task Force on Social and Solidarity Economy		Peter Utting
Taskforce on <i>Human Development Report</i> with UNDP		Ilcheong Yi
MDG Gap Task Force		Ilcheong Yi
Instances of providing advice and high-level consultations within the UN system, with specialized agencies and national or regional offices		
Was part of recruitment panel to interview candidates for an Associate Programme Officer at the NGLS office in New York, NGLS	April	Suroor Alikhan
Provided substantive inputs and comments to shape the Secretary-General’s Report on Accelerating progress towards the MDGs and advancing the UN development agenda beyond 2015 for UN DESA and ASG Shamshad Akhtar	May-June	Sarah Cook
Provided input on indigenous peoples and inequalities, which was included in “Addressing Inequalities” Synthesis Report of Global Public Consultations on the Post-2015 Development Agenda, UNICEF and UN Women	March	Esuna Dugarova
Provided input on the role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda, which was formally acknowledged, United Nations Committee of Experts on Public Administration	April	Esuna Dugarova
Took part in a meeting to review the draft <i>Human Development Report 2014</i> for UNDP and its emerging findings. The objective of such a meeting is to present the first recommendations and solicit feedback from international experts and close partners.	October	Esuna Dugarova
Provided input to the Note on “Social drivers of sustainable development”, for the Division for Social Policy and Development, UN DESA	November	Esuna Dugarova
Provided advice on financing social policy for forthcoming <i>Progress of the World’s Women Report</i> for the UN Women Research and Data Section	March	Katja Hujo
Provided inputs for preparation of the 58th session of the CSW (to be held in March 2014) on “Challenges and achievements in the implementation of the Millennium Development Goals for women and girls”	October	Katja Hujo/ Paola Cagna
Briefed the ILO on the importance of studying Social and Solidarity Economy, and UNRISD conference proposal. This led to a funding partnership.	January-May	Peter Utting
Met with Multinational Enterprise Branch, ILO, to advise on planned work on corporate social responsibility	April	Peter Utting
Meeting to plan for UN inter-agency task force on Social and Solidarity Economy. This includes ILO, NGLS and UNDP.	August	Peter Utting
Participated in briefing session of the ILO SSE Academy	October	Peter Utting
Gave evidence on corporate lobbying to the working group, UN Business and Human Rights Working Group	December	Peter Utting

Carried out a blind review of a paper for <i>World Development</i>	April	Ilcheong Yi
Provided advice on social protection projects to UNDP China Office	July-December	Ilcheong Yi
Provided advice on a project on social protection to UN-ESCAP	August	Ilcheong Yi
Provided advice on an ebook project on Social determinants of health to WHO	August	Ilcheong Yi
Provided advice on the <i>Human Development Reports</i> to UNDP Europe and the CIS, and the Central Asia Human Development Papers	August	Ilcheong Yi

### Sector: NGO/Civil society organizations

Memberships of boards, committees and steering groups		
Global Migration Policy Associates is an international research, policy development, advisory services and advocacy group. Conducts activities and provides expertise in cooperation with governments, international bodies, social partners and civil society.		Katja Hujo
The Mont-Blanc Meetings, member of Scientific Committee		Peter Utting
Member of Academic Council, Swiss Network for International Studies (SNIS)		Peter Utting
UN Inter-Agency Task Force on Social and Solidarity Economy		Peter Utting
Korea Centre for Human Rights, provided advice on the human rights issues		Ilcheong Yi

Instances of providing advice and building relationships with civil society		
Gave an interview on current issues in sustainable development and social policy in transition and development contexts to the Youth Ambassador of the Italian delegation to Youth 20, an official side event of the G20 meeting in St. Petersburg.	June	Katja Hujo
Met with members of the Board of RIPESS (Intercontinental Network for the Promotion of Social Solidarity Economy) to discuss future strategy and collaboration.		Peter Utting
Briefed HIVOS on the importance of studying Social and Solidarity Economy, and UNRISD conference proposal. This led to a funding partnership.	January-May	Peter Utting
Met to discuss possible collaboration and funding in 2014 with the Charles Leopold Mayer Foundation	July	Peter Utting
Advised WIEGO on Social and Solidarity Economy	August	Peter Utting
Met with the representative of World Social Forum (WSF) Health and Social Security to discuss the research needs for planning in Latin America	May	Ilcheong Yi
Provided advice on research on social protection to ActionAid	July	Ilcheong Yi
Radio interview on development with TBS FM, Seoul	June	Ilcheong Yi

### Sector: Foundations

Briefed Rosa Luxembourg Foundation on the importance of studying social and solidarity economy, and UNRISD conference proposal. This led to a funding partnership.	January-May	Peter Utting
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## Event participation, by sector

### Sector: Academic

Keynote speeches given		
Asia Public Policy Forum - Poverty, Inequality and Social Protection in Asia, Harvard Kennedy School (Ash Center), Harvard Asia Center, Government of Indonesia's Team to Accelerate Poverty Reduction (TNP2K), co-organized by the Ministry of National Development Planning/Bappenas, and AusAID	May	Sarah Cook
Social Protection in Asia: From Crisis Response to Development in an Age of Climate Change, Research School of Asia and the Pacific (RSAP) Conference 2013, Australian National University	November	Sarah Cook
The Resource Curse, GEPP Summer School, University of Geneva, UNEP	September	Katja Hujo
Roundtable debate on global trends in inequalities, with a focus on social equity and labour market adjustment in the light of the recent financial and debt crisis at the University of Basel, organized Swiss Network for International Studies (SNIS)	March	Peter Utting
New Directions in CSR Regulation, University of Geneva CSR Diploma Course	June	Peter Utting
Academic events where UNRISD researchers presented work		
Presented on Social Well-Being of Migrants from BRIC Countries in Europe, at the International Migration and Gender Research Institute - European Platform for Advanced Women		Esuna Dugarova
Presented on Skilled Russian Migration: Impact on Development through Empowerment, at the workshop on How do Migrants from BRICS Countries Participate in Shaping the Global Society?, organized by the London School of Economics	March	Esuna Dugarova
Presented on New Directions in Social Policy: Emerging Economies and the Construction of Welfare "Regimes" in the 21st Century, at the Centre for East Asian Studies and School of Policy Studies Joint Seminar, University of Bristol	April	Sarah Cook
Gave a lecture to students on Gender and Sustainable Development at the University of Berne	May	Sarah Cook
Presented on Towards Inclusive Development: Inequality and Social Policy, at Think Tanks Facing the Changing World Conference organized by the Chinese Academy of Social Sciences (CASS)	June	Sarah Cook
Presented on Who Cares? Why Development Policy Should Take Care More Seriously, at a Seminar at the Crawford School of Public Policy, Australian National University	November	Sarah Cook
Presented UNRISD Research to a Visiting Student Group from the Maastricht School of Governance	March	Katja Hujo
Presented at the International Workshop on States, Markets and the Changing Political Economy of Natural Resources: Theorising the IPE of Development, co-organized by the Sheffield Institute for International Development, University of Sheffield and British International Studies Association (BISA)	May	Katja Hujo
Presented on Contemporary Trends and Issues in Social Policy to a visiting student group from the International Institute of Social Sciences (ISS)	June	Katja Hujo
Presented on Social Policy Research at UNRISD to student visiting group from the University Andres Bello, Caracas, Venezuela	September	Katja Hujo
Participated in a Roundtable debate on global trends in inequalities, with a focus on social equity and labour market adjustment in the light of the recent financial and debt crisis at the University of Basel, organized by the Swiss Network for International Studies (SNIS)	March	Peter Utting
Presented on Science-Policy Interface at the University of Geneva	September	Peter Utting
Presented on Corporate Social Responsibility at the University of Geneva	October	Peter Utting
Presented on Social and Solidarity Economy at the Seoul National University	October	Peter Utting
Presented on Social and Solidarity Economy at the Kyunghee University	October	Peter Utting
Participated in the final meeting of Huck-Ju Kwon's project on Social Protection in East Asia	May	Ilcheong Yi
Presented on Cash Transfers for Universal Health Coverage at the Universal Health Coverage Forum, Bonn	August	Ilcheong Yi

Presented on Development Experiences in Korea, at the International Conference on Polarization in Divided Societies, Central European University	September	Ilcheong Yi
Presented on Partnerships, at the Korea Association of International Development	December	Ilcheong Yi

## Sector: UN

UN events where UNRISD researchers presented work		
Presented on Mobilizing political support for scaled-up social transfer systems in line with governments' policies at the Technical Roundtable co-organized by the European Commission and the FAO	November	Cecile Cherrier
Presented at Leadership Meeting on Addressing Inequalities in the Post-2015 Development Agenda, UNICEF / UN Women	February	Sarah Cook
Presented Report on behalf of the Board of UNRISD to the 51st Session of the Commission for Social Development (Agenda item 4b) at the 51st Session of the Commission for Social Development	February	Sarah Cook
Was a discussant of the UNDP Human Development Report 2013: The Rise of the South: Human Progress in a Diverse World	March	Sarah Cook
Presented at the Expert Meeting on unpaid care work, poverty and women's human rights, UN Special Rapporteur on Extreme Poverty and Human Rights, and UN Women	May	Sarah Cook
Was a panellist at Using Human Rights Instruments and ILO Standards and Recommendations to Achieve Decent Work for All, ECOSOC Panel (Substantive Session)	July	Sarah Cook
Presented on Mobilizing State Revenues for Productive and Social Transformation, at the ILO-FES workshop on Boosting Economic Dynamics and Job Growth: The Potential of Industrial Policies	March	Katja Hujo
Was a panellist at the ILO International Internship Course on Labour and Social Policies for Decent Work, ILO Social Protection Floors Initiative	May	Katja Hujo
Was a panellist at Expert Meeting on The Human Rights Impact of Fiscal and Tax Policy, co-organized by the Special Rapporteur on Extreme Poverty and Human Rights; OHCHR, Friedrich Ebert Foundation (FES-Geneva Office), MISEREOR (the German Catholic Bishops' Organisation for Development Cooperation), Center of Concern and Christian Aid	September	Katja Hujo
Presented on Social and Solidarity Economy, at the ILO SSE Task Force	January	Peter Utting
Presented on Social Dimensions of Sustainable Development, at the UNEP-EMG Interagency Task Team	April	Peter Utting

## Sector: Government

Keynote speeches given		
Conference on Child Poverty and Social Protection, co-organized by the SMERU Research Institute, Indonesian National Development Planning Agency (BAPPENAS) and UNICEF	September	Katja Hujo
Social and Solidarity Economy, at the ASEAN Leadership Forum	October	Peter Utting
Government events where UNRISD researchers presented work		
Presented on New Directions in Social Policy, to Sida, Sweden	April	Sarah Cook
Presented at the Launch of Health in All Policies book, co-organized by the Ministry of Social Affairs and Health of Finland, and the Finland Mission to the UN in Geneva	May	Sarah Cook
Gave a seminar on Reducing Poverty through Economic Growth: What Do We Know?, at the Department of Foreign Affairs and Trade, Australia	November	Sarah Cook
Was a panellist at Links between Social and Environmental Sustainability, a World Economic Forum (WEF) Workshop	April	Esuna Dugarova



Employment, Social Policy and Social and Solidarity economy, KOICA	October	Peter Utting
Presented on Developmental Experiences in South Korea, at The KOICA Development Cooperation Forum	June	Ilcheong Yi
Presented on Cash Transfers for Universal Health Coverage, at the Universal Health Coverage Forum, Bonn	August	Ilcheong Yi
Presented on Health in All Policies in Developing Countries, at the 2013 Global Health Forum in Taiwan	November	Ilcheong Yi
Presented on Challenges and Pathways of HiAP in Low-Income Countries, at the 8th Global Conference on Health Promotion, co-organized by the Government of Finland and WHO	June	Shufang Zhang

## Sector: NGO

Keynote speeches given		
Rethinking social development for the 21st century, Development Futures: Alternative Pathways to End Poverty, at the 4th ACFID (Australian Council for International Development) University Network Conference	November	Sarah Cook
NGO events where UNRISD researchers presented work		
Presented on Building Effective Social Protection Systems for Children, at the Capacity Building and Experience Sharing workshop organized by Save the Children	December	Cécile Cherrier
Was a panellist at Unpaid Care Work, Women's Rights and Poverty: Making the Connection, co-organized by Association Points-Cœur, Make Mothers Matter International, Permanent Missions of Chile, Finland, France and Uruguay, and the UN Special Rapporteur on Extreme Poverty and Human Rights	September	Sarah Cook
Was a panellist at Equality: The Linchpin of Successful Development?, Panel Discussion organized by One Just World	November	Sarah Cook
Was a panellist at UN Young Professionals Event, UN Association of Australia	November	Sarah Cook
Presented on Financiamiento de la Política Social, at a 5-day training programme for trade union coordinators from FES country offices in Latin America in the context of the International Labour Conference	June	Katja Hujo
Presented on Social and Solidarity Economy, at the Rencontres du Mont-Blanc	November	Peter Utting
Presented on Global Public Goods, at The Future of International Development, co-organized by Society for International Development (SID)-NL, Netherlands Development Finance Company (FMO), International Institute of Social Studies (ISS), and NCDO	March	Sarah Cook
Presented on Corporate Social Responsibility, to the UK BOND Advocacy Group	October	Peter Utting

## Sector: Foundations and Business

Foundation and business events where UNRISD researchers presented work		
Presented on Non-Communicable Disease and Health Care Systems: Financing and Evaluation, to the Wellcome Trust, UK	March	Sarah Cook

## UNRISD Seminars

Wages, Inequality and Development: Time to Turn the Wheel, with Sangheon Lee	February
Uncovering the Politics of "Evidence", with Rosalind Eyben	March
Food Security and Social Protection: Two Sides of the Same Coin?, with Stephen Devereux	March
Food as a Commodity, Human Right or Common Good?, with José Luis Vivero Pol	April

The Human Rights Approach to Social Protection, with Magdalena Sepúlveda Carmona	May
Green Urbanization in Asia: Paradox or Win-Win Scenario, with Guanghua Wan	June
The Legend of China's Growth, with Li Yang	July
Institutions, Governance and Policy Space: Redesigning the International Economic Architecture for Development, with Manuel Montes	October
Piloting Basic Income in India: A Transformative Policy?, with Guy Standing	December

#### Other events convened by UNRISD

South-South Migration, FES-Graduate Institute-UNRISD Policy Forum on Regional Governance of Migration	January	Katja Hujo
Knowledge, Norms and Practice: The Role of Research in the UN System workshop	February	Sarah Cook
New Directions in Social Policy, Commission for Social Development Side Event co-organized by UNRISD / Ministry for Foreign Affairs Finland	February	Sarah Cook / Esuna Dugarova
Politics of Domestic Resource Mobilization project methodology workshop	May	Katja Hujo
Potential and Limits of the Social Solidarity Economy International Conference	May	Peter Utting / Nadine van Dijk
Founding Meeting of the Inter-Agency Task Force on Social and Solidarity Economy	September	Peter Utting / Nadine van Dijk
Social and Solidarity Economy, The Mont-Blanc Meetings	November	Peter Utting