

SAREC Support to International and Regional Thematic Research Programs, 2000–2005

Main Report

Amitav Rath (Team leader)
Gunilla Björklund
Mary Ann Lansang
Oliver Saasa
Francisco Sagasti

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Sida Evaluation 06/40

**Department for Evaluation
and Internal Audit**

This report is part of *Sida Evaluations*, a series comprising evaluations of Swedish development assistance. Sida's other series concerned with evaluations, Sida Studies in Evaluation, concerns methodologically oriented studies commissioned by Sida. Both series are administered by the Department for Evaluation and Internal Audit, an independent department reporting directly to Sida's Board of Directors.

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Authors: Amitav Rath (team leader), Mary Ann Lansang, Oliver Saasa, Francisco Sagasti.

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Sida Evaluation 06/40
Commissioned by Sida, Department for Evaluation and Internal Audit

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Registration No.: 2006-001228
Date of Final Report: November 2006
Printed by Edita Communication AB, 2006
Art. no. Sida31586en
ISBN 91-586-8212-0
ISSN 1401—0402

SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
Address: SE-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm
Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64
E-mail: sida@sida.se. Homepage: <http://www.sida.se>

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Acronyms and Abbreviations

AAS	African Academy of Sciences
AERC	African Economic Research Consortium
AFORNET	African Forestry Research Network
AFREPREN	African Energy Policy Research Network
AHPSR	Alliance for Health Policy and Systems Research
AIT	Asian Institute of Technology
ASIF	African Science and Innovation Facility
ATPS	African Technology Policy Studies Network
AU	African Union
BIO-EARN	Biotechnology, Biosafety and Biopolicy in East Africa
CAH	Department of Child and Adolescent Health and Development, WHO
CATIE	Centro Agronómico Tropical de Investigación y Enseñanza
CGIAR	Consultative Group on International Agricultural Research
CEEPA	Centre for Environmental Economic Policy in Africa
CLACSO	Consejo Latinoamericano de Ciencias Sociales
CODESRIA	Council for Development of Social Science Research in Africa
COHRED	Council on Health Research for Development
COMESA	Common Market for Eastern and Southern Africa
CORDIO	Coral Reef Degradation in the Indian Ocean
CSUCA	Consejo Superior Universitario de Centroamérica
DAC	Development Assistance Committee (OECD)
DFID	Department for International Development (UK)
EEPSEA	Economy and Environment Program for Southeast Asia
EU	European Union
FLACSO	Facultad Latinoamericana de Ciencias Sociales
FORMAS	Swedish Research Council for Environmental Agricultural Sciences and Spatial Planning
GEF	Global Environment Facility
GFHR	Global Forum for Health Research
GMO	Genetically modified organism
GNI	Gross National Income
HRP	UNDP/UNFPA/WHO/World Bank Special Programme of Research, Development and Research Training in Human Reproduction
ICDDR, B	International Centre for Diarrhoeal Disease Research, Bangladesh (Centre for Health and Population Research)
ICIPE	International Centre of Insect Physiology and Ecology
ICT	Information and Communication Technology
ICTP	International Centre for Theoretical Physics
IDRC	International Development Research Centre
IFORD	International Forum of Research Donors
IFS	International Foundation for Sciences
ILO	International Labour Organization
ILRI	International Livestock Research Institute
INCLEN	International Clinical Epidemiology Network
INDEPTH	International Network of Field Sites with Continuous Demographic Evaluation of Populations and Their Health
IRRI	International Rice Research Institute

ISP	International Science Program
IUCEA	Inter-University Council for East Africa
IVR	Initiative on Vaccine Research, WHO
KICAMP	Kinondini Integrated Coastal Area Management Programme
LDC	Least Developed Countries
LFA	Logical Framework Analysis
LIC	Low Income Countries
LMIC	Low and Middle Income Countries
MDGs	Millennium Development Goals
MFA	Ministry of Foreign Affairs, Sweden.
MIM	Multilateral Initiative on Malaria
NEPAD	New Partnership for African Development
NGO	Nongovernmental Organization
NORAD	Norwegian Agency for International Development
NRF	National Research Foundation
OECD	Organisation for Economic Co-operation and Development
OSSREA	Organization for Social Science Research in Eastern and Southern Africa
PINEP	Pastoral Information Network Project
RPSUD	African Research Programme on Sustainable Use of Dryland Biodiversity
S&T	Science and Technology
SADC	Southern African Development Community
SAREC	Department for Research Cooperation
SEI	Stockholm Environment Institute
Sida	Swedish International Development Cooperation Agency
TDR	UNICEF/UNDP/World Bank/WHO Special Programme on Research and Training in Tropical Diseases
TEHIP	Tanzania Essential Health Interventions Project
TWAS	Third World Academy of Science
TWOWS	Third World Organization for Women in Science
UAPS	Union for African Population Studies
UDSM	University of Dar es Salaam
UIC	Upper Income Countries
UMIC	Upper Middle-Income Countries
UN/DESA	United Nations/Dept. of Economic and Social Affairs
UNCCD	United Nations Convention to Combat Desertification
UNCED	United Nations Conference on Environment and Development
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United National Framework Convention on Climate Change
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNRISD	United Nations Research Institute for Social Development
USAID	United States Agency for International Development
VicRes	Lake Victoria Research Initiative
VINNOVA	Swedish Governmental Agency for Innovation Systems
WHO	World Health Organization
WHO/TDR	World Health Organization/Tropical Diseases Research
WIOMSA	Western Indian Ocean Marine Science Association

Executive Summary

Introduction

The Swedish International Development Cooperation Agency (Sida) was requested by the Government of Sweden to undertake a comprehensive overall assessment of research cooperation activities of SAREC. The central department for Evaluation and Internal Audit of Sida (UTV) was given the task and commissioned a series of five parallel reviews and assessments of the Department for Research Cooperation (SAREC) activities. This is the fifth study in the group. It reviews the experiences of SAREC in supporting international and regional research programs, which have been organized along thematic lines. The report is guided by the overall goal given to the team: “to provide an independent view on SAREC support to international and regional thematic research programs,” that can be “be used both as an input to the overall assessment of SAREC activities,” and “to see what lessons can be learned for SAREC:s continued support in this field.”

The report is organized into five main sections. The first section presents the background to the study, its purpose, methods used, and the constraints and limitations. The second section describes the policy and development context of Sida/SAREC. It describes Sida and SAREC organization, objectives, and programs, and discusses programs by thematic area and by region. The third section gathers the findings of the review and interviews, and summarizes the key findings that are used to draw the final conclusions. The fourth section contains main findings and conclusions, a short summary of key recommendations is given in the fifth section. A number of details are provided in several annexes to this volume. Summaries of individual studies by team members of 38 cooperating partners and contributions are provided in Sida Evaluation 06/40:1.

A principal conclusion is that Sida/SAREC is a highly appreciated organization and valued partner by developing country researchers and research institutions, regional programs, thematic networks, and international organizations it supports. It has been doing a very good job under challenging circumstances. There is, however, a need for the government, Sida, and SAREC to take into account a number of new demands that confront the organization.

There are increasing demands on the organization stemming from globalization and new technologies, for knowledge and its use, and research capacity building and problem solving in developing countries. These demands include an increased understanding of processes for the generation of knowledge, the conduct of scientific and technological research, the impacts from the digital revolution, and understanding the interactions between science, technology, and application. There have been fundamental transformations in structure, content, and modalities of development assistance, including the Millennium Development Goals (MDGs), the continued efforts at increased effectiveness, and coordination and harmonization, emphasized in the Paris Agenda. There is also a growing importance for collaboration between emerging and poor countries, including South-South cooperation (cooperation between two or more developing countries) in science and technology. Examples are the Brazilian initiatives to support work on HIV/AIDS and agricultural research in Africa, and other emerging economies such as South Africa, India, and China expanding their initiatives. Private and nongovernmental organizations have acquired much greater importance. There is also a growing recognition of the role of S&T inputs to development in donor and developing country thinking. For instance, in Africa, a priority region, there are local efforts to create an African Science and Innovation Facility (ASIF), including a proposal for discussion at the leaders’ summit in 2007. These changes require research support organizations to be more aware of the context local and international. They also require greater efforts to develop strategic outlooks and options to respond to changes and make shifts in emphasis as appropriate.

The increased interest in knowledge for development also provides increased needs and opportunities for Sweden to capitalize on the long history and experience in research cooperation through SAREC programs, and through higher visibility, coordination and support at higher levels of policymaking for knowledge for development in the Nordic countries, EU and OECD, and global forums.

The Thematic Portfolio: Structure and Impact

Relevance

The general themes chosen and supported in the international and regional thematic research programs broadly coincide with Swedish development cooperation goals, initiatives to achieve the MDGs, and the needs of poor countries. In particular, there are many examples of special policy directives and guidelines provided by the Swedish policymakers and political authorities that are explicitly considered by Sida/SAREC. Some examples include research on HIV/AIDS, gender, democratic governance, and peace and conflict studies. As the international and regional thematic research programs have evolved, there is also increasing evidence of greater attention to needs and demands of low-income countries, another Swedish priority.

Appropriateness

The choice of channels for international and regional thematic research has been evolving gradually and is generally appropriate. The priority has been to support well-established international and regional institutions that have the capacity to effectively use Sida/SAREC resources, that demonstrate capacity to conduct research, and/or, can channel funds effectively to national research organizations and regional research networks and individual researchers. The institutions in the top tier have the required grant processing capacities in place, require low supervision, and reduce risks of non-performance and prevent the misuse of resources. They also increasingly use best practices for the generation, dissemination, and communication of knowledge products, and are also increasingly concerned with applications. These networks also allow the involvement of people and capacities from the not-so-poor countries that can also contribute effectively to building research capacity in the poorer countries.

The allocation of international and regional thematic research grants by regions has a focus on the poor countries in Africa. Sida/SAREC has a clearly articulated strategy to provide support to African institutions in which criteria and priorities have been established. This is not the case for Asia and Latin America. Although the small scale of Sida/SAREC operations in the two regions may not warrant such an effort, there are poor people and poor countries in the other regions, and they should not be excluded. A framework that leverages capacities and efforts of the better-off countries can be useful for both global knowledge development and the needs of the poor. A final reason for attention to regional strategies stems from the fact that in some cases in Latin America and Asia, where Swedish foreign policy concerns are not focused and development assistance is quite limited, support for research provides a visible and highly appreciated manifestation of Sweden's engagement in the region.

There is general recognition of the nature and distinctive approach of Sida/SAREC: the provision of long-term support and often core institutional support over project support. In this area, Sida is one of 7 to 10 donors that emphasize this approach. This makes the contributions more valuable.

Efficiency

There are two systems whose efficiency is relevant for this evaluation of SAREC. The first, emphasized in the terms of reference is of the portfolio and the second, is SAREC itself. Efficiency is too often measured by the ratio of administrative costs as a fraction of contributions disbursed. Here a high efficiency measure can hide low effectiveness. Truly useful comparisons need baseline data on the costs and outputs, as well as their characteristics, from different channels and themes. These kinds of studies are almost absent at Sida and SAREC and also other research-funding agencies. This lack provides an

example of the types of longer-term studies that are required to support evidence-based strategies and choices to move funds from one set of activities to another.

In this study 38 development partners were studied. Of these almost half were international and the other half were regional. Seventeen of the international organizations and 13 of the regional organizations are supported by multiple donors, and hence represent some level of global good practice. Most of them are outstanding in their field. That provides one indicator that the resources are converted with the best available efficiency into outputs and outcome. Further, based on the evidence reported in detail in Sida Evaluation 06/40:1, that each and every contribution examined supported multiple development objectives of the Swedish Government. In most cases there were no obvious alternatives that would score higher on all the objectives. Based on the multiple objectives, the existing constraints on SAREC, and the performance of the sampled portfolio, it can be said that the portfolio is Pareto efficient. There is scope, however, for a number of small but significant shifts in the composition of the portfolio, which may be worth further examination than can be done here and examples are provided in the report.

From a narrow perspective of financial contributions per staff member, Sida/SAREC can be seen as a hyper-efficient organization. This was found by comparisons using rough benchmarks from several Swedish, Canadian, and UK research support organizations and one private foundation. Most program officers have unique skills, experiences, and competencies. They work under considerable pressure and face daunting challenges to keep up with program development, to interact with recipients, and to monitor program execution. This efficiency, however, comes with a number of costs.

Some of the negative consequences include: delays in disbursements with attendant difficulties for partners; program officers appear to work in relative isolation; regular monitoring is narrow and limited to project objectives; and time for strategic reflection and planning is scarce. This is compounded by the lack of an adequate information technology platform within Sida. The limited number of professional staff and their frequent rotation makes it difficult for recipients to have suitable Sida/SAREC counterparts with whom to discuss progress, problems, results, and impact.

International and regional thematic research program support is usually provided to institutions that have relatively well developed professional, academic, and organizational capabilities, and thus need less contact and supervision. The recipients and Sida/SAREC staff would, however, benefit from closer interactions. In the instances where this has happened, for example in health and agricultural research programs, it has been possible for Sweden to exert a positive influence in the research agendas of these organizations, and to follow closely their activities and results. Representatives from several regional networks, particularly in the social sciences, have expressed interest in closer linkages with Sida/SAREC staff and with the Swedish research community in general.

Effectiveness

Assessing the impact of thematic and regional programs is complex. This requires not only the prudent use of resources but, more importantly, include the actual outcomes (i.e. the fulfilment of the anticipated results), where by definition outcomes are beyond direct control of SAREC and depend on the partners and the context. This is not a one-time task that can be carried out in a few weeks but instead requires a set of studies and consultations over time. With this caveat, we have identified many instances of specific programs that have been highly effective. They have contributed to the creation of research capacity, produced knowledge that helps to address particular problems of the poor in developing countries, and many of the elements of new knowledge and capacity are being used for the purposes intended. Some of the indicators used include: supported organizations that provide a broad range of services to researchers, countries, and institutions in their areas, including graduate education, training programs, compilation of comparative statistics, publication of regional academic journals, competitive research grant programs; alliances with other research and user organizations; and reorientation of national and regional programs based on policy advice and research. In conclusion the team strongly

believes that the portfolio of contributions has been both efficient and effective, based on the interviews, the cases, and also broad benchmarks of other international organizations and their practices.

The team, however, also believes that there are many issues that need attention. The global and developing country context is changing rapidly and in a more profound manner than before. These include the impacts of globalization and the changes in Swedish development policies, the global context for development assistance, and the increased global influence on Sweden since becoming a member of the EU. There have also been major changes in the processes for the generation of knowledge, the conduct of scientific and technological research, the impacts from the digital revolution, and our understanding of the interactions between all knowledge. The latter is encapsulated in the idea of “innovation systems.” Sida/SAREC operations have also been changing slowly over time and have evolved to suit changing conditions and as a result of learning processes. But greater and more rapid adjustments are required for it to remain effective into the future.

Organization Management and Governance

Governance

Sida/SAREC has many stakeholders including Swedish political and government authorities, Swedish universities and academic institutions, government authorities in lower and middle income countries (LMIC:s), researchers and academics in LMIC:s, regional research institutions and networks, international research institutions and programs, other research support organizations, (bilateral and private), and Swedish and international development policy consultants and professionals. They are all involved and have a stake in the thematic research programs supported by Sida/SAREC.

Senior management, professional staff, and Research Committee members are doing their best to ensure that Swedish government “supply-driven” priorities are reconciled with “demand-driven” requests from partner countries for support.

Although there appear to be clear financial accountability lines of responsibility to Sida, the Ministry for Foreign Affairs, and the Parliament for the use of Sida/SAREC resources, the diffuse decision-making and accountability structures of Sida/SAREC require attention, particularly, in meeting stakeholder expectations and improving effectiveness. This is partly a remnant from 1995 when SAREC, then an independent agency with its own governance structure, was merged with Sida. There are overlapping mandates and roles of the SAREC Research Committee, the Sida Project Committee, and Sida’s Director General.

Although all members of the Research Committee are highly respected scientists and researchers, relatively few members have direct, hands-on experience in LMIC:s. Visits to LMIC institutions supported by Sida/SAREC have helped considerably in broadening their perspectives on support for research capacity building.

Finally, in spite of its declared intention of putting the collaborating countries in the “driver’s seat,” none of Sida/SAREC:s governance structures involves participants from LMIC:s. This precludes the possibility of incorporating directly, and at all stages of program design and execution, the informed viewpoints of experienced and knowledgeable professionals, researchers, policymakers and leaders from the collaborating countries.

Expectations

Sida/SAREC occupies a distinctive position in the international development cooperation scene because it focuses on long-term capacity building in poor countries, and because it involves Swedish researchers and scholars in its programs who contribute to this overall objective. The Swedish researchers become repositories of knowledge on development issues, allowing Swedish expertise to be main-

tained in key areas (for example, agricultural research) at a time when support may be waning in Sweden. Changing circumstances (such as the impact of climate change) may require tapping such research capabilities in the not-too-distant future.

Whether justified or not, however, there is a perception that the potential of the Swedish academic community to help poor countries has not been fully recognized or tapped. Some of the discontent has emerged with the expansion of the university system, and a growing interest in global, international and development issues. This has increased the pool of individuals interested in Sida/SAREC research support.

There is a need for government to examine the overall national allocation of research funds for Swedish institutions to work on development issues without cutting into Sida/SAREC resources. Government should also address global concerns that affect Sweden as much as they affect other industrial and developing countries. It is important to explore the implications of a global public goods rationale for supporting research capacity building in LMIC:s.

Over time, Sida/SAREC has taken advantage of opportunities for leveraging resources and achieving synergies with donor partners. The landscape for research support has been changing rapidly, however, and requires a reassessment of the way Sida/SAREC establishes linkages and alliances with other research support institutions. For example, there are instances where joint programs have been developed and supported under the leadership of the partner institution, which would allow Sida/SAREC to overcome some of its staff limitations.

There is a need to maintain the distinctiveness of Sida/SAREC:s domain of work, with a clear distinction from regular Sida programs (as a Research Committee member put it, “SAREC is a part of Sida, but also apart from Sida”). In general, support for research and higher education should not be confused with many wide-ranging development cooperation efforts because it has longer time horizons, involves different stakeholders, and requires different mindsets, experience, and expertise.

Communication and dissemination

Sida/SAREC has a limited capacity to communicate with the many stakeholders involved in its operations (listed in the report). Relatively little information is made available to the general public about the programs supported, their importance, and their impact. In addition, there is a need to improve information and communication technology platforms to facilitate access to current and archival records. Communications with current and prospective recipients need improvement. This needs to be extended to individuals and organizations involved in research, development, and research for development.

During the last 30 years, Sida/SAREC has acquired a wealth of experience in supporting the creation and consolidation of research capacities in developing countries. To a significant extent, it has documented the most interesting and visible successes. It has not, however, created the continuous feedback loops to professional staff, current and prospective recipients, and the general public that would allow it to take advantage of this experience and communicate it to others.

This is particularly important to consolidate and extend Swedish constituencies to support research capacity building in developing regions. Within important elements of the policy community, even for senior government policymakers and aid officials, there is often little appreciation for the role that knowledge in general, and research capabilities in particular, play in the development process for poor countries. Outreach and dissemination initiatives have acquired great importance in a vastly changed environment for development assistance in general, and for research support in particular.

Organization and staff

Staff limitations impose severe constraints on the operations of Sida/SAREC, on its planning and learning capacity, and on the intensity and quality of interactions with recipients, especially those in

regional networks. There is a need to increase the number of professional staff to a level commensurate with Sida/SAREC tasks and objectives. Other research support institutions in Sweden may provide a benchmark for the ratio of annual disbursement to staff numbers. In addition, more than half of Sida/SAREC staff members have been with the organization for three years or less, and about a quarter have ten or more years' experience.

Sida/SAREC has a strong, competent, and dedicated senior management, and when combined with staff profile and rotation, leads to concentration of information and decision-making on strategic matters. Research Committee members do not feel that they have a complete picture of the organization's programs and strategic priorities. This raises some questions regarding management succession and institutional memory, particularly because of the need to ensure the continuity of Sida/SAREC's mandate and style of operation.

There is also the need to increase the field presence and contact with recipients, especially at the regional level, by:

- Locating some staff in regions such as East Africa, Central America, and Southeast Asia, which have a concentration of funding.
- Appointing a part-time researcher or scholar in another Swedish institution to act as liaison with recipients in developing countries and regions.
- Using regional networks (FLACSO) or international programs (IFS) with which Sida/SAREC has had long experience, to provide program identification, monitoring, and supervision services to Sida/SAREC. This could be done on a cost-recovery basis.

The latter option would also follow Swedish development cooperation policies of supporting South–South collaboration.

Strategic planning and foresight

Senior managers have produced many thoughtful and well-argued policy papers on a range of subjects germane to the institution, and Research Committee members provide insights and advice. There appears, however, to be no formal overall and periodic strategic planning process that would allow Sida/SAREC to identify which international and thematic research program should continue or be dropped, and whether there are new themes that should be added. It has not been possible to identify regular and systematic procedures for transforming those valuable policy inputs into broad strategic options and choices, and for formally linking these to management processes (such as resource allocation, staff management, grants processing, monitoring, and evaluation). As a result, decisions on Sida/SAREC programs appear to emerge largely out of senior management decisions, interpretations of Swedish government commitments and policies, past dealings with recipients, and the experience and tacit knowledge of Sida/SAREC's staff. They are not made explicit within an overall framework for strategic choices.

Some of the complex issues that have emerged in the international and regional thematic research programs, as well as in the other types of programs supported by Sida/SAREC, need to be addressed more systematically. Although there is clear evidence of work and appreciation within Sida/SAREC on these questions, they can only be answered with more consistent strategic thinking and foresight of global trends that affect Sida/SAREC's performance. These trends include changes in the Swedish policy landscape, the ways in which different stakeholders perceive its operations, and the ways in which changes in science, technology, and innovation are creating and closing options for LMIC:s. This should be complemented with an examination of the implications of these trends and changes for research support in LMIC:s in general, and for international and regional thematic research programs in particular. Such efforts should lead to a reassessment of Sida/SAREC:s modes of operation, the range of

themes and areas of knowledge covered, the channels used to support research capacity building and the conduct of research, the structure and composition of its portfolio, and management and organization issues.

This assessment of Sida/SAREC's international and regional thematic programs has reached the conclusion that – on the whole and since the creation of SAREC in the mid-1970s – these programs have fulfilled their mandates. They have satisfied the dual objectives of creating research capabilities in LMIC:s, and of supporting research that produces knowledge addressing the problems the poor.

A number of adjustments are recommended that can improve the effectiveness and meet the many new challenges.

Recommendations

The different challenges pose demands not only on Sida/SAREC but also require the support of other authorities and stakeholders in Sweden and Sida.

The government needs to address the growing interests of Swedish stakeholders in international and developing country problems, potential decline in Swedish capacity in international issues, and the relevance of greater linkages to specific areas of Swedish national needs (agriculture and natural resources, climate change and energy, infectious diseases, and a number of social and economic issues arising from globalization). This could build on the coherence arguments clearly stated in the Swedish Policy for Global Development, extending them to the support of research for development.

The governance and management structure for Sida/SAREC contributions should be improved. One option possible would be to modify current arrangements: have one single Management Committee or Research Board for all approvals, and expand the composition to involve more stakeholders, especially from partner countries.

There are several issues of particular importance for Africa, given the special priority in allocations to the needs of the region and the weaker national support for science and technology (S&T). In addition to support for research and capacity building, Sida/SAREC should consider helping regional networks to improve their accounting, financial, procurement, and management systems. Sida/SAREC should explore in more detail ways of spreading best practice and making more efficient and effective regional thematic networks. Special attention is needed on sustainability issues, building management, financial, and administrative capabilities, and fostering cross-network linkages and learning.

Considering the administrative burden placed on the management of regional research networks, Sida/SAREC should harmonize its technical and financial reporting requirements with those of other donors and, to the extent possible, with those of recipient institutions. This should focus on simplifying and standardising reporting formats, establishing a common level of detail for accounting procedures, and coordinating the frequency and timing of reports. This would reduce the administrative burden on recipients, help in establishing more efficient monitoring and evaluation procedures for Sida/SAREC, and increase the effectiveness of recipient oversight.

Although evaluation reports provide a good indication of the effectiveness and impact of individual programs and projects, Sida/SAREC should also examine the possibility of conducting a study on the effectiveness of alternative portfolio structures. It would be most appropriate to consider the overall portfolio including other types of programs. The study could use both qualitative and quantitative techniques to process and aggregate expert judgements about the impact of different ways of allocating resources to Sida/SAREC programs.

Sida/SAREC management should create opportunities for greater interaction between recipients and program officers, primarily on the substance of international and regional thematic research programs.

This could take several forms, including increased field presence, alliances, and networks, and a more active participation of Sida/SAREC staff in events organized by the international institutions and regional networks it supports.

Among dissemination and outreach initiatives of the results, outcomes, and impact of international and regional thematic research programs, Sida/SAREC should explore electronic newsletters, regular bulletins, or other means of communication. This could start with extending the information accessible through the Sida webpage and adding electronic newsletters, regular bulletins, or other means of communication. In addition, Sida should improve information and communication technology platforms to facilitate access to records, statistical data, evaluation reports, policy directives, and other documents that are necessary for effective management and transparency.

Sida/SAREC should increase significantly its professional staff to fulfil its mandate and improve its performance. This would allow it to engage more actively with current and prospective recipients, to strengthen its monitoring and evaluation activities, to enhance its field presence in the developing regions, to work more closely with current and potential donor partners, and to embark on more systematic planning and foresight efforts. Should this not prove feasible, Sida/SAREC should explore alternative ways of supplementing its limited staff through arrangements with partner organizations, both in Sweden and elsewhere, for the provision of professional support services.

The relatively successful track record of Sida/SAREC over 30 years should motivate increased support from stakeholders and increased efforts to understand which programs are most useful, the reasons why they are successful. In a changing international environment, renewed efforts should be made for Sida/SAREC to improve the structure and impact of its portfolio, governance, management, and organizational practices. Such changes would allow it to partner more effectively with a wider range of agents and initiatives. This requires continuous attention, going beyond this one-time exercise. It requires periodic, streamlined, and more focused studies and strategic planning exercises involving senior management, all staff, and relevant stakeholders within and outside Sweden, as an integral part of Sida/SAREC operations.

1. Background and Purpose

1.1 Context

Swedish support to Research Cooperation with Developing Countries started in 1975 with an independent SAREC.¹ SAREC operated as an independent agency for two decades. In 1995, as a part of broader reorganization of all development cooperation activities in Sweden, SAREC and other institutions were brought under the new institutional arrangement of Sida. Although Sida/SAREC has been operating now for over 10 years and it has conducted a large number of evaluations of the contributions² and grants, institutions, and programs it supports, it has not been evaluated as an institution.³ This report is part of a broad effort to assess the effectiveness of SAREC and to outline directions for its future evolution. It looks at a subset of Sida/SAREC support, described as four thematic research programs, with international and regional subdivisions within each of the four thematic programs.

1.2 Purpose

Sida was requested by the Government of Sweden to undertake a comprehensive overall assessment of SAREC. The central department for Evaluation and Internal Audit of Sida (UTV) was given the task and commissioned a series of five parallel reviews and assessments. One study examined the internal organization of SAREC; a second focused on bilateral research support in four countries (Bolivia, Mozambique, Nicaragua, and Tanzania); the third reviewed the results of SAREC support to increase ICT capacity for research in several countries; a fourth reviewed the support to Swedish development research organizations. This is the fifth study in the group. It reviews the experiences of SAREC in supporting international and regional research programs, which have been organized along thematic lines.

The intended audience for this review includes the Government of Sweden, which requested the study. It also includes the management of Sida and the management and staff of Sida/SAREC. It is expected that this study will be of interest to the many stakeholders of Sida/SAREC research support and to donors and other partners.

The team involved in this review of international and regional thematic research support has been independently contracted by Sida. The team leader of the studies was the first point of contact with the evaluation department. Initial discussions began in mid-April 2006 and were followed by a series of meetings in Stockholm to clarify some of the expectations of key stakeholders including SAREC. Following these discussions it was decided that the required team should have some expertise in the key thematic areas and should also provide appropriate experience in the key geographical regions – Africa, Asia, Latin America, and Sweden.

¹ Today, SAREC, though it retains the name and maintains several special characteristics, is the Department for Research Cooperation within Sida. In this report, Sida/SAREC or SAREC alone is used when we discuss this department specifically, and Sida is used when we refer to policies and contexts for the larger organization.

² The words contribution and grants are often used interchangeably in this document to refer to a tranche of money transferred to an organization from Sida/SAREC. The word grant and grantee does not refer to individual scholarships.

³ There have been two reviews of SAREC during its independent existence. These include one by C. Widstrand and the second by Mats Kihlberg, SAREC:s first decade, 1987; both undertaken about 10 years after the creation of SAREC. Unfortunately, neither of these reviews were available to the team.

1.3 Methodology

1.3.1 Data gathering and analysis

The overall methodology was to use an iterative and cross-checking process, incorporating several types of information inputs (or a triangulation process⁴), with the idea that there will be a greater degree of confidence with the result when and if different data sets and methods lead to the same result. Major efforts were taken to make the methods used consistent with the Sida Evaluation Manual, supplemented by OECD guidelines and the findings from related studies of similar institutions and efforts (such as DFID, IDRC, and the World Bank). The findings were also driven by the questions posed by the evaluation terms of reference and the perceived and expressed needs of the key principals – the government and taxpayers of Sweden, which were posed within an accountability framework – whether Sida/SAREC had “done as good a job as possible under the circumstances⁵”. Many of the questions posed, however, were more focused on “learning” from the past and responses to global changes – “there have been major changes in Sweden, in global development policies,” “in the processes for the generation of knowledge, the conduct of scientific and technological research, the impacts from the digital revolution”, and the global context in many different ways. How is SAREC placed to contribute to the objectives given to it⁶?

In addition to the principals, initial discussions were also held with some of the primary stakeholders in Stockholm – staff of Sida and SAREC, members of the Research Council, and some Swedish partner institutions. It was generally agreed that the interventions supported by SAREC are indirect, structural approaches aimed at promoting development objectives. The questions raised are at a very high level of generalization – or in Sida language, lead to an extremely “complex” evaluation. In evaluations such as this, although the intervention logic can be analysed, at the end of the analysis a common conclusion is that some or all the questions cannot be empirically investigated⁷. The conclusion from the first round of consultations was that while a best effort at assessment is required; the most important use can be to provide improved understanding of the research efforts, challenge some practices, provide an opportunity to reflect, and feed into a process of organizational learning. Keeping these in mind, a systems perspective was used, given that Sida/SAREC operates within the larger context of existing and evolving Swedish, Sida, and global policy for development, and within the international and regional contexts of both the architecture for research outputs, capacities, and the of use such capacity (see diagram in Annex 3).

Following the initial stakeholder analysis, which helped clarify some of the key issues and expectations, a complete list of all SAREC contributions made under the thematic programs during 2000 and 2005 was obtained as Excel files. Also collected were all the relevant evaluation documents of the portfolio of thematic programs between 1995 and 2005. The first was used to create tables of the universe of projects/institutions supported by theme, by location, and amounts, and these were linked to existing evaluation documents⁸. The next step involved discussions by the Team Leader with key stakeholders in Stockholm, on a sampling strategy. A tentative sample of the SAREC-funded activities that would be followed up was made, keeping in mind reasonable representation by theme, region, and international and regional projects. The discussions and the tabular organization of the data were followed by

⁴ See Sida (2004) Looking Back Moving Forward: Sida Evaluation Manual, p. 114.

⁵ *ibid*, p. 12 states this as an important objective for many evaluations.

⁶ Notes from discussions with UTV and MFA, May 8–12, 2006, Stockholm.

⁷ *Ibid*, page 45–46. It goes on to say that “when faced with questions about the development impact at the highest level, the appropriate answer is sometimes that the question is ill conceived.”

⁸ See tables in Annex 4 for more details. Table 1 provides the universe of SAREC support within the thematic label. There are over 400 contributions during this period for a total amount of 3,000 million SEK (Swedish krona, US\$1=7.19 SEK, November 2006). Unfortunately this table includes contributions made outside the thematic portfolio also. See notes after Table 1 that discuss the problems with the data set and efforts made to clean the data set for use. On the average Sida/SAREC maintained contributions to around 130 organizations under this program. There were 27 evaluation documents for the period 2000–05. An additional group of 22 evaluations that were undertaken in 1996–99 was also added to the data base.

arrangements to assemble the team through a process of consultations including the evaluation department. The team selection process included gender and regional balance, while ensuring the involvement of thematic experts from each area. Each member invited to join the team was individually responsible to the Evaluation Department and was also required to work under the overall guidance of the team leader.

The tabulated grants and the possible sample grants were reviewed with team members and then with SAREC. The final sample selected for more in-depth examination is listed in Table 2, Annex 4. The sample was selected to ensure coverage of the largest SAREC contributions, in particular some of the CGIAR institutions and WHO, and to further ensure greater percentage coverage of the larger grants⁹, with lower percentage coverage of the smaller grants. At the same time, the sample was selected to adequately cover contributions made under each main theme, and to ensure similar attention to each of the three developing country regions in which SAREC was involved as a proportion of the funds allocated. These were discussed with SAREC, and a distribution of the sample institutions was made for more detailed review by each team member. Then the more detailed review by individual team members of individual contributions was done keeping two main criteria in mind — the thematic and the regional experience of the team members.

This was followed by two initial sample field visits by the team leader and one team member. There was a first meeting of the entire team in Stockholm 7–14 June 2006. The meeting was used to share and discuss the documents at hand, to develop a common framework for conducting further case studies, and to meet with the Sida Evaluation Department and with SAREC staff. The non-Swedish team members held a number of interviews with key Swedish institutions and policymakers, and on specific grants with SAREC staff. The meetings and the findings were used to prepare an initial outline, a set of hypotheses, and structure for the main report. Several key decisions were made on the methodology to be adopted. These included a priority on the required (short) time line for a report¹⁰, a focus on the organizations and individuals involved in the SAREC interventions, including the cooperation partners or those who implement SAREC interventions. Emphasis was placed on iterative and participatory processes. The participatory process included not only the work within the team, and cooperation partners, but also the staff of SAREC, with whom interim findings were shared and discussed¹¹. The outputs of the team were arrived at in a fully transparent manner.

Team members undertook the bulk of field visits¹² during July and August and collected their information individually using an agreed upon assessment framework, which incorporated the specific questions in the Terms of Reference. Evaluators collected additional relevant documentation from SAREC on the contributions and in the field (which includes Sweden) from the institutions supported by SAREC. Using these documents as the base, the evaluators conducted individual, and sometimes group, interviews. These interviews were primarily with the beneficiaries of the thematic research programs, generally involved face-to-face discussions, but in some few cases relied on the telephone or e-mail. The interviews focused on the partner organization views on their roles and their perceptions of Sida/SAREC contributions and processes. The interviews almost always included the institution heads

⁹ This was done in keeping with the desire of the stakeholders and in keeping with Sida manual p. 67 – “for complex interventions, it may be necessary to focus .. on limited number of components. In many cases this can be achieved if the study is limited to components that are financially important”. But this misses out on smaller, potentially innovative, riskier, interventions that can suggest alternatives – desirable and less desirable.

¹⁰ Several surveys were considered and one is reported in Sida Evaluation 06/40:1. It can be read as a possible method for further extensions of this study. All types of formal surveys were abandoned as being unlikely to be completed on time.

¹¹ Participatory processes are always subject to the concern that the gains in the knowledge and context can be at the expense of objective, independent and expert judgment. The team is aware of these potential dangers and believes the triangulation process avoids many of the dangers while adding greater accuracy of observations.

¹² For list of institutions visited and their location, see Table 2 in the Annexes. The countries included Bangladesh, Philippines, Thailand, India, Argentina, Costa Rica, Colombia, Peru, Kenya, Ethiopia, Uganda, Tanzania, Senegal, Canada, Switzerland, and Sweden.

and/or program managers, followed in many cases with members of the research teams and staff, supplemented in some cases with potential users of the knowledge. During the discussions the key informants were encouraged to reflect not just on the lessons of the past, but also on ways in which their experience can lead to improved future programming. In a few cases, interviews were also held with staff of the Swedish Embassy and some donor agencies. The list of people consulted and the documents used are listed in Annex 5 and 6. The organizations and contributions that were examined are listed in Tables 12–15 in Annex 4. The 38 institutions visited comprised of almost one-third of the cooperation partners of SAREC, and the allocations to them comprised almost 60% of the funds allocated for thematic programs.

Each evaluator reported their findings individually using the guidelines provided. The individual reports are presented in full detail in Sida Evaluation 06/40:1. They are a part of the working notes of the team members and are provided here to give additional details on the programs and organizations reviewed. The sources of information, including the documents reviewed and the people interviewed, are also provided Annexes 5 and 6.

The team leader drafted the early versions of the main report in three stages, circulating the drafts to the team members each time and incorporating new inputs. A semi-final draft report and the findings from individual inputs were presented for discussion at a workshop for key stakeholders which allowed for substantive discussions on the main findings, conclusions, and recommendations of the report. A final meeting of the team was used to discuss the feedback from the workshops and to make changes and a draft was resubmitted. Further comments were received from Sida on some remaining errors in descriptions of facts, suggestions to reorganise the sequence of presentation and with requests for some clarifications. The final changes have been made by the team leader with inputs and advice from individual team members.

1.3.2 Time frame

The team leader was contracted in May 2006. The first set of discussions with SAREC staff, the evaluation department, The Ministry of Foreign Affairs, and a few Swedish institutions took place on 7–14 May in Stockholm. The team was assembled by the end of May 2006 and was requested to complete the work before September 2006. There were two sample field visits by two team members in June, and a meeting of the entire team in Stockholm during 7–14 June. Most country visits were begun in June, conducted largely July and early August. The first draft main report and the individual reports were submitted to Sida on 26 August 2006. There were two sets of revised reports, the first at the end of September, and the final, at the end of October 2006.

1.3.3 Constraints and limitations

This report has been prepared under several constraints, and a number of limitations need to be noted. Time was severe constraint in many ways. The time for the entire exercise was shorter than desirable and this in turn required brief visits and relatively shorter discussions with the people in the important institutions¹³. Further, the assessment was mainly undertaken during a period when people were on vacation (especially in Sweden). The time constraints also prevented any serious effort at making contacts with potential beneficiaries of the research support and the users of the knowledge generated, except to a limited extent in the form of other researchers, who are often the principal users of research results.

The time constraints were accentuated by the information and data constraints due to the poor coding of the data set compounded by a poorly performing IT system in Sida. The latter prevented timely access to many internal and process documents as well as efforts to clean up the global data for finer analysis. The data provided for the universe of contributions to the thematic programs had two prob-

¹³ A Sida report Using the Evaluation Tool by Carlsson et. al. Sida Studies in Evaluation No. 97/1 found that 3–4 months is the minimum time taken in evaluations, p. 87.

lems. First it included within it some or all Swedish Development Cooperation, thereby skewing the data. Also a number of contributions are listed as “Not stated individual contributions”¹⁴. This fact has limited the accuracy of top-down allocation analysis of the overall portfolio and trends; and also on the initial effort to follow up on each element of activity planning and internal processes for each and every contribution sampled for the review and quality analysis. We do not believe, however, this lacuna changes any of the conclusions and recommendations that are made in the report, as they derive more from the bottom-up analysis of individual organizations and their work programs supported by SAREC. The data gaps do affect some of the issues that are NOT covered in the report, especially with regard to more and detailed quantitative analysis of the portfolio as the data quality does not support further refinements in analysis. It also does point to one recommendation for Sida management: It is critical to improve the IT system for more efficient retrieval of electronic documents to improve efficiency and effectiveness.

The logic of the different components of the evaluation also placed some limits on our approach. Because separate exercises are being conducted on other areas of Sida/SAREC grants and on the organization itself, many important questions on local impact and potential for national capacity building from the thematic work, and on organization and process, were not dealt with. For example, because there is a separate study on the organization of SAREC, issues related to the organization were not of direct interest in this study, yet they emerged independently out of the stakeholder feed back and document analysis. A number of organizational issues, especially on staff and governance, emerged from the stakeholder consultations and have been addressed within that purview. Similarly, the outputs of the thematic programs, organized with international and regional institutions, must ultimately link in some fashion with work on the ground, in the poor countries, for final impacts on the intended beneficiaries – the poor. A possible vehicle for linking the international and regional public goods outputs are the country level or “bilateral” programs. Some of these will emerge from the parallel work undertaken by other evaluation teams and should add to and complement this report. Assessment of appropriateness, quality, and effectiveness cannot be addressed comprehensively in this review, because they would require longer studies that should have been conducted earlier and would require more time than this assessment allowed.¹⁵

Measuring goal level achievements requires base line studies of the situation before and after the intervention. These do not exist at this time, and the gaps cannot be addressed in a short study such as this. Longer studies are also needed to draw better conclusions on “successes,” including cost effectiveness, linkages, and impacts. A general picture emerges of many project partners working in isolation from critical elements in their socioeconomic environment, including often in isolation from other similar and related research and capacity-building efforts, even when these have been funded by Sida. This picture emerged in the decade old meta-evaluation¹⁶ and also in the set of studies carried out in this review. Solutions to the problem of working within “silos” first requires a recognition by the funding agency that individual projects are components of a larger whole and require explorations across project boundaries undertaken systematically over the longer term. They require greater attention to program, sectoral, and thematic evaluations and to policy and strategic and process evaluations. Although there have been some sectoral and thematic evaluations by Sida/SAREC, they have been few

¹⁴ These were explained to be “ad hoc contributions to the support to more established organizations.” While there is no concern on the part of the team that the data gaps represent a weakness of financial controls, they create difficulties in developing numerical indicators of allocations between themes, organizations, and trends. The work was unduly time consuming and the accuracy of the numbers developed and presented is lower than it should be. For these reasons many numbers about the portfolio are used with caution in the report.

¹⁵ A number of suggestions have been made by J. Carlsson and L. Wohlgemuth (1996) *Capacity Building and Networking: A Meta-evaluation of African Regional Research Networks*, Sida Evaluation 96/45, Department for Evaluation and Internal Audit, Sida. See in particular their conclusions on pages 29–33.

¹⁶ J. Carlsson and L. Wohlgemuth (1996) *Capacity Building and Networking: A Meta-evaluation of African Regional Research Networks*, Sida Evaluation 96/45, Department for Evaluation and Internal Audit, Sida, p. 31.

compared with project evaluations¹⁷. A Sida evaluation study found that in a sample of 78 evaluations examined (for Sida as a whole), 53 evaluations focused on individual projects, 15 looked at a program (consisting of more than one project), 4 looked at a sector, 2 examined a thematic issue, and none examined country level issues.¹⁸ Much has changed and there are many more country-level evaluations, but more need to be done by Sida/SAREC (and Sida). The studies should have a more strategic orientation and by theme, channel, problem, region, and other important dimensions¹⁹. Some of these issues are also followed up later in this report.

All team members have had some previous experience with one or more thematic programs of SAREC. In some cases, it is from their own research, in others it is based on their positions in governing councils of supported institutions, or from previous evaluations of individual institutions supported by SAREC. This relationship carries a small risk of bias in the individual's judgement of specific organizations, programs, and even the program as a whole. We believe, however, as the prior involvement of each member with SAREC-supported programs was a small fraction of the universe of grants covered, this added to the contextual knowledge instead of providing a bias. And in each case where the team member is or was associated with an organization discussed this is noted in the document²⁰.

1.4 Scope and Organization of Report

Following this introduction, the second section of the report presents the policy and development context of Sida/SAREC. It briefly sketches recent changes in Swedish development policies, and changes in the global context for both development and the role of research for development. It points out that all of these developments need to be taken into account by Sida/SAREC in developing its program. It then describes Sida/SAREC organization, objectives, and programs. In the final half of the section the different programs by thematic area and by region are discussed.

The third section gathers the findings of the review and interviews. It first introduces the issues of interest and indicators for their measurement. Some salient findings from the thematic research portfolio are briefly sketched in the first part. Some of the threads that emerge from the document reviews and the discussions with stakeholders on the processes within Sida/SAREC are pulled together. The detailed findings in section three are used to draw the final conclusions in section four. This volume of the report ends with recommendations.

There are several annexes. They list the terms of reference, short biographies of each team member, the organization of the questions and indicators used, and tables that provide more detailed statistical information.

There is a separate report (Sida Evaluation 06/40:1) that contains more detailed information on individual cases that were followed up. Sida Evaluation 06/40:1 is provided to make the field notes available because the material in this volume is relevant to specific stakeholders, and some of the examples that can only be briefly reported here are discussed there in greater detail.

¹⁷ Only five evaluations were found that looked beyond an individual project, including a group or a theme, out of a universe of 49 evaluations done by or of Sida/SAREC activities, during 1995–05. The actual ratio is much worse because many projects where multiple donors are involved have additional project evaluation reports that are not in the Sida list.

¹⁸ Most of the existing evaluations are project evaluations. There are 3–4 Sida/SAREC evaluations that attempt to deal with a program and none that deal with a theme or channel. See Carlsson et al. Sida Studies in Evaluation No. 97/1, p 100 for a similar picture for overall Sida evaluations.

¹⁹ The lack of good data on the themes of research support, the lack of data across Sida on research, the lack of baseline data, and the lack of thematic and impact evaluations of research interventions point to a much larger problem in research for development. This component is not large in the overall aid allocations, and high-level administrators have often ignored its relevance to development. There is a need for co-ordinated efforts at the level of OECD/DAC to provide guidelines and experiences of good practices if the agencies truly believe in the importance of research and knowledge for development.

²⁰ Amitav Rath was earlier a staff member of IDRC and managed several thematic programs. Francisco Sagasti is a member of the Board of Governors of IDRC. Mary Ann Lansang is a member of the Board of ICDDR,B. Oliver Saasa is a member of the Board of ATPS. A brief description of each individual's background is provided in Annex 2.

1.5 Acknowledgments

We wish to record our thanks to the many individuals who gave so much of their time. They are listed in Annex 6. We also wish to thank the evaluation team of Sida, especially Ulla Andren, for their immense help in making appointments and retrieving documents, and we thank all staff of SAREC, and especially the Director and the Deputy, for their time, patience, and thoughtful discussions.

2. Context and Programs

All contributions of SAREC, including the support provided to the thematic programs, follow from the Swedish government policies for the use of the resources allocated. They also must follow other global agreements that the government of Sweden has consented to, including the Millennium Development Goals (MDG:s). These goals determine to a large extent the defined problem areas. The work being undertaken within OECD and with partner countries to increase effectiveness of all assistance provides some guidance on good practice, such as increased partnership and coherence with development partners. The following section describes some of the key changes in the development context and among partners that place new demands on SAREC. We also describe some of the changes in the work that is the focus of SAREC support – research for development broadly and within that – of research capacity building, generation of new knowledge, and the application of knowledge. These discussions are provided here because they have been used to measure (or judge) the relevance, efficiency, and effectiveness of the thematic contributions.

2.1 Swedish Development Policies

Sweden has been one of the most consistent and strongest supporters of international development and of multilateralism. It is one of a select group of countries that have met the UN recommendation that rich countries should allocate at least 0.7% of their gross national income (GNI) to international development cooperation. This reflects the importance that Sweden attaches to international development.

Sweden has developed a new course and goal for global development policy.²¹ In 2003, following an extensive process of study and consultations, both nationally and internationally, Sweden became the first country in the world to present to its Parliament an integrated policy for global development. Parliament approved a bill titled *Shared Responsibility: Sweden's Policy for Global Development, with the specific aim to mobilize and align all national instruments at Sweden's disposal in support of a global effort to reduce poverty*, and to achieve the MDGs. The main theme of the Bill is policy coherence and consistency.

The Swedish Policy aims at *enhancing the coherence* of Sweden's approach to development issues by requiring the *coordination* of international development policies with public policies in other fields. These other sectors include security and defence, trade and business investment, migration, social welfare and public health, education, economics and finance, agriculture and fisheries, culture, environment, and industry and employment.

The new policy applies this goal to all policy areas of the Swedish government such as trade, agriculture, environment, security, migration, and economic policy (as examples provided) to promote global development. The focus is on poor people and poor countries, and the approach includes a rights-based perspective based on international human rights conventions and emphasises the perspectives of the

²¹ Shared Responsibility: Sweden's Policy for Global Development, Gov. Bill 2002/03:122. Approved by the Riksdag on 16 December 2003, available at www.riksdagen.se.

poor. The development policy elaborates eight central thematic areas and their component elements: human rights, democracy and good governance, gender equality, sustainable use of natural resources and protection of the environment, promoting economic growth, social development and social security, conflict management and human security, and global public goods²². It emphasises the importance of closer collaboration with domestic actors in all sectors of society, focusing on public authorities at different levels, nongovernmental organizations (NGOs), the private business sector, and the trade union movement. It also stresses increased cooperation with other countries to achieve the development objectives (especially within the EU) and with multilateral agencies²³.

At the international level, the policy commits Sweden to continue to support multilateral development organizations, to press for improvements in their operations, and for achieving a better division of labour. In particular, the policy seeks to strengthen the development cooperation activities of the EU and foster greater country-level coordination between EU Member States, the European Commission, and other actors to enhance policy coherence (SAREC, Sweden's Policy for Global Development, and the Millennium Development Goals). Sweden has also taken a lead in global initiatives such as the Development Financing 2000 project; the catalysing and financing of an *International Task Force on Global Public Good*; among others.

Sweden, as a member of the EU, is among the countries emphasising the Paris Agenda, under which coordination among the donor countries should strengthen development effectiveness. The Paris Agenda stresses several issues: stronger ownership of the developing process by the developing countries, and increased coordination by donor countries including common procedures and increased focus by donor countries on specific sectors. These issues will continue to have important implications for overall Sida policy and ramifications for Sida/SAREC research policy.

2.2 New Global Development Context and Challenges

The world economy has been undergoing fundamental changes driven by rapid globalization of economic, scientific, and technological activities, and with it the transfer of ideas and knowledge. A number of these are critical for Sida/SAREC in designing and planning their support for research capacity building and use of knowledge. Among the many changes, some of the most relevant for research cooperation with developing countries include the important changes among the developing countries themselves, and the greater general understanding and appreciation of new knowledge and its applications to achieve development objectives.

A major change in recent years is the increasing differentiation and heterogeneity among the developing countries as a group. There are large differences in the levels of their economic and social development, technological capacities, and the extent of integration into the global economy. Some have transformed their economies, made significant progress in harnessing science and technology for economic and social purposes, and are poised to compete effectively in the world economy. For more successful countries, besides relatively fast economic growth, there are simultaneous political and technological changes taking place that determine how these countries are able to participate in, gain advantage from, and adapt to the processes of globalization. Some of the most successful countries include four large countries in the major developing regions: Brazil, China, India and South Africa, as well as a number of smaller countries in Asia and Latin America.²⁴ At the same time, many others remain stagnant or have descended into a chaotic regime and have registered virtually no progress since

²² In the order listed in the policy document.

²³ These goals are used to examine the extent to which SAREC thematic programs support national and international development goals.

²⁴ A number of these countries, though LMIC or UMIC, have significantly increased capacity for research and are often found both as “donors” and “recipients or beneficiaries” of international and regional research efforts. See examples in health and agriculture, 06/40:1.

the 1960s. Most of the latter are in sub-Saharan Africa. The differential growth and performance of the countries has increasingly made speaking about “developing countries” much more complicated.

The increasing differentiation in the South, both within and between developing countries, requires more differentiated strategies by country toward achieving development objectives.²⁵ The SAREC priority countries include 8 from the LDCs, 2 from LICs, 3 from LMIC, and 1 from UMIC. Given Sweden’s priorities expressed as human rights and capacities, development cooperation needs to go beyond simple country classification to recognize the realities within countries; with all countries having a percentage of the population that is affluent, urban, knowledge-based, and connected to global networks and markets; and another that is primarily poor, often rural but also urban, with low skill and income levels, isolated, and often marginalized.

There are also a number of new global threats to human security such as climate change, infectious diseases, and global social, cultural, and political tensions with their manifestation in civil wars and terrorism. It will be relevant to note the extent to which Sida/SAREC programs have evolved to take into account new themes and new partnerships, especially South-South-North²⁶ that the divergent capacities make possible.

2.3 Research for Development

Increased knowledge and its application have been acknowledged as the most important tools for development. Knowledge, its production and use, is critical for promoting economic growth, safeguarding biodiversity, increasing food production, and controlling malaria among many other things. Research is one of the main activities that generates new ideas, processes, and products, broadly described as technologies that have been among the drivers that have improved welfare and reduced poverty in many countries. It is a great credit to Swedish development policy that it is one of the early and consistent supporters of knowledge generation by and for developing countries. The more important question for countries such as Sweden has not been whether research is important, or whether it should be applied for development results, but how best to achieve these objectives.

A positive change in the development thinking of most donor countries and agencies has been an increasing recognition that knowledge, research, scientific, and technological inputs, within poor countries and by people living there, are in fact a critical element to achieving the MDGs and any other definition of development.²⁷ It is thus important for Sweden and its instrument for research cooperation, Sida/SAREC, to continue to take a leading role in this field.

²⁵ This is a good moment to clarify some of these words. Developing countries is used here to refer to all countries eligible to receive Official Development Assistance (ODA). OECD Development Assistance Committee has a list of approximately 150 countries that are eligible to receive ODA. Most of the same countries also belong to the UN Group of 77 countries and these countries are often labelled the South. The developing countries can be grouped by income, and DAC (and the UN) groups them into 50 Least Developed Countries, 18 Low Income Countries with income below USD825, 48 Lower Middle Income Countries, and 36 Upper Middle Income Countries; see DAC List of ODA Recipients, 1/01/2005 at www.oecd.org/document/16/0,2340,en_2649_34447_2093101_1_1_1_1,00.html -

²⁶ South here means developing country or countries. See previous note. South – South partnerships are cooperative arrangements between developing countries. This has a long history and has been of growing significance in the past decade. South- South-North refers to partnerships between developing countries which also include one or more industrialised countries. For a description of the history and analysis of trends see: Rath, Amitav and Sherry Lealess (2000), Rath, Amitav (2003, and Sagasti, F. (2006).

²⁷ A few notable recent studies and reports that confirm the increased role accorded to science and technology and other knowledge inputs include a set of studies by DFID on research for development in the past two years; by the Millennium Task Force; and the World Bank among others. This recognition has led to increased financial allocations for research for development, sometimes haphazard and in many other cases coordinated through several coordinating mechanisms at global and regional levels. See the sections on health for some information on the rapid rise of funds for health research and concerns on some lack of balance in areas supported. The section on social sciences in Africa discusses the many donors involved in specific efforts. There is an ongoing effort through NEPAD and the AU to develop a continent-wide, locally managed fund and organization for science and innovation to be presented at a summit for Africa in 2007.

Research is defined to include any scientific or technical inquiry, or experimentation, that is carried out either to discover new knowledge of various kinds or to new means of applying existing knowledge to the solution of problems – in environment, health, economic, social and other areas. But the process of generation and use of knowledge is complex and uncertain, much more complex for use than generation²⁸. Most technological and social advances result from combining various strands of organized knowledge, and from interactions among a wide range of individuals, actors, and organizations. The institutional environment for knowledge production and use continues to evolve and many issues remain poorly understood. Also unclear are the kinds of policy and institutional frameworks needed to encourage both the production and application of knowledge to development challenges.

On the positive side, the advances in information and communications technologies (ICTs) make knowledge more widely available and potentially a more valuable input than before²⁹. New advances in biotechnology hold much promise in health, agriculture, and environmental issues. These new technologies are in turn contributing to the further accelerated growth of knowledge, including the use of science for development.

All countries are confronted with these new opportunities and challenges, and they pose difficult options as well as dangers for poorer countries and for the poor and the marginalized in all countries. Many questions confront governments and people seeking equitable and sustainable development. How are the Internet and other advances in ICTs affecting the knowledge base accessible to the South and the process of research itself? How can key knowledge-producing institutions be managed in the face of rapid technological change and increasing private control of research results? How can knowledge flows among local institutions be strengthened to meet common objectives? How can knowledge and insights gained in one location be effectively communicated and adapted to others?

Knowledge is a much larger set than scientific and technological knowledge alone, and includes traditional knowledge of medicines, ecosystems, social formations, and the sustainable use of resources. It also includes knowledge gained from more modern social experiments (and innovations) such as large-scale vaccination or health-delivery programs. The education and communication program complemented by health support in Uganda that has cut HIV transmission rates by half is a good example.

Another example on the complicated path between knowledge, applications, and benefits to the poor comes from a project in Tanzania – TEHIP³⁰. The knowledge generated by the TEHIP project in Tanzania demonstrated that for an additional one dollar investment per capita, together with knowledge capacity that had been generated through long-term support by Sida/SAREC (in cooperation

²⁸ This complex relationship between inputs, outputs and outcomes, the long time lags between inputs and outcomes, and the need for many intervening and complementary factors, make the impact of research very difficult to attribute to individual projects. This is a major reason, that without other supporting evidence, this review does not attempt to make broad statements on impacts by theme and channels especially the relative value of one over the other.

²⁹ It is to the credit of Sida/SAREC that they recognized in 1998 that ICTs provide a new area for capacity building and also serve all research fields and users of research. Sida/SAREC added broad-based support for ICT to the universities it supported for research capacity building. The two evaluations of the ICT projects, one for Makerere (Greenberg and Versuluis, Sida Evaluation 05/17, 2005), and the more recent evaluation of all ICT support by Greenberg (in Greenberg, Evaluation of Sida ICT Support to Universities, draft, June 2006), raise a number of important generic issues that need to be underlined – the large positive impacts, that the impacts are only beginning and will increase over time, and the recommendation that “SAREC should work with Sida to expand the networks more widely to all universities, schools, and other research institutes” in the target countries.

³⁰ The idea emerged from the World Bank “World Development Report 1993” that investing in health systems, with a minimum package of health interventions responding to evidence on the burden of disease, could significantly improve health outcomes. IDRC, the World Bank, WHO, UNICEF and others agreed to test the hypothesis. IDRC and CIDA provided the funding in 1996 and Tanzania, which had initiated its own health reforms, agreed to participate. In 5 years, child mortality in the two test districts fell by over 40%, and death rates for adults declined by 18%. During the same period, the health indicators for other districts in Tanzania remained unchanged. Source: ODI: Research Policy Case Study http://www.odi.org.uk/Rapid/Tools/Case_studies/TEHIP.html

with other donors) in building the INDEPTH network (of Demographic Surveillance Systems)³¹, major health impacts are possible³².

Innovation refers to the use of new ideas,³³ new technologies, or new ways of doing things in a place or by people where they have not been used before. The emphasis is on the word “use” and the crucial distinction is made between “invention” (creation of new knowledge that can be applied, which is normally the domain for research) and “innovation” (in the sense of use, in sufficient scale, beyond field experiments or demonstrations).

Experience over many years shows that “working with and reworking the stock of knowledge is the dominant activity in innovation.” Successful innovations require both the “supply push” of new knowledge from the research community, and the “demand pull” from the users of new knowledge.

This requires constant interactions between suppliers and users, the need for effective communications, and highlights the importance of networks, coalitions, and partnerships across organizations and channels. The innovation systems literature emphasizes “learning”. Research remains important, but it is only one element within the system, “nested” within a set of activities and organizations that are interacting (or ideally should be). The importance of key actors, and the links between them to operate in an effective “system,” is critical for the effective use of new knowledge.

This is in contrast³⁴ to the more “linear model” that remains embedded in the minds of many researchers, where researchers do “research” and then, often in a separate exercise, the research results are handed to “extension agents,” trainers, or “communications professionals” to deliver them to “the target audience.” An innovations systems approach highlights many other “systemic” issues – the framework or policy environment, the importance of “tacit” knowledge, and the need for systems diagnosis to improve the performance of the innovation system. Systems perform only as well as the weakest constituent element, and strengthening one element inordinately does not improve system behaviour as other barriers provide the operating constraints.³⁵

Although there are no simple recipes, best practice suggests that systems thinking must be embedded within a long-term program and in the project design. Successful innovations require knowledge of the appropriate systems, they must work with a range of actors at multiple levels, and have flexible linkages. Project interventions must be balanced and flexible, iterative, require understanding between partners and their institutional setting, and make greater use of the participatory process. The process of utilising knowledge is further complicated by the fact that only a very small percentage of the relevant knowledge and technologies is available within any single nation and needs to be supplemented through international flows. Therefore, from the perspective of generation and utilization of knowledge, not only is the national system of great importance, the linkages of the national system to the larger sources of knowledge outside is also critical.

Creating improvements in research capacity remains important. The needs to link the increased capacity to users and applications, however, require improving system-level interactions. Research is no longer the most important element for both building capacity and for building linkages with external

³¹ Reported in Case Study in Fixing Health Systems, at www.idrc.ca/tehip. The INDEPTH network is a SAREC partner and is briefly discussed in the findings and the health sections.

³² It is worth noting the slips between the first articulation of the idea and its further application. In 2005 the ideas are being implemented in other districts in Tanzania, almost 12 years after the first seed of the idea in the World Development Report above.

³³ See Rath 1990, Rath and Barnett (2006) and Innovation Strategy Today, v.2 no.1, 2006 for discussions on innovations for development in health and agriculture.

³⁴ See SAREC objectives in Table 2. SAREC does have a clear statement on the use of knowledge and applications in its Swedish statement of objectives and as provided for in government directives. But this is not stated in the English statement. Similarly, use and applications are mentioned from time to time in individual grants but this is not systematic.

³⁵ From Rath and Barnett (2006).

knowledge systems, but it is still important. Without minimum levels of internal capacity in knowledge production one cannot transfer much useful knowledge from external sources. Thus the challenge in research for development support is to be able to take into account these lessons in best practice, and to be able to translate them into actions. The main purpose of this elaboration of best practice is that the new findings have important implications for Sweden, Sida and Sida/SAREC in the design and delivery of more effective research support³⁶. One of the findings from best practice is that the funding agencies need staff members who have cross-domain knowledge, much of it obtained through experience but supplemented by formal skills improvement programs and greater “engagement” with the relevant problem, stakeholders, and decision-makers. This contrasts with a counter tendency to “hollow out” and “de-skill” development cooperation agencies³⁷.

2.4 SAREC Organization, Objectives, and Programs

2.4.1 Organization

Sida works under the Swedish Ministry of Foreign Affairs, which reports to the Swedish Parliament. Sida’s mission is “to contribute to an environment supportive of poor people’s own efforts to improve their quality of life.” With allocations of about SEK 14,400 million³⁸ (approximately USD 2,000 million) by the government (all grants and own administration costs), Sida provides support in some 120 countries. At the same time, a large proportion of the resources are allocated to a small number of low-income countries, not necessarily the poorest or LDCs, with which Sida has extensive, long-term programs of cooperation.

Sida is headed by a Director General, who is supported by the heads of various departments. Sida has a Management Board that has both advisory and executive functions. Its functions include the approval of the overall strategy of Sida, the annual reports, evaluation plans, and annual budget requests to Government. Sida has 769 staff members of whom 165 were located abroad, in embassies and consulates³⁹. Sida is organized in regional and sectoral departments,⁴⁰ with regional departments for Africa, Asia, Europe and Latin America, and five sectoral departments of which SAREC is one⁴¹

³⁶ This relatively long introduction is meant to highlight the features of SAREC research support that the team sought to observe in the field. The findings sections show that many of these ideas and best practices are embedded in the SAREC support while others need greater emphasis.

³⁷ See “What’s Happening with KM in Multilateral and Bilateral Development Agencies?” a workshop reported in and retrieved from “http://www.km4dev.org/wiki/index.php/What%E2%80%99s_Happening_with_KM_in_Multilateral_and_Bilateral_Development_Agencies%3F”

³⁸ Sida manages around 60% of Sweden’s development cooperation budget of SEK 22.4 billion in 2005.

³⁹ In 2004.

⁴⁰ The department for Europe, which is outside the current focus, integrates both sector programs and country programs officers. Sida also has central departments with overall functions such as the Department for Finance and Corporate Development (EVU), Personnel and Organization, Policy and Methodological Development (POM), Environment Policy, Multilateral Coordination Division (MULTI), Information, and for Evaluation and Internal Audit (UTV).

⁴¹ Other sectoral departments include – Democracy and Social Development (DESO), Infrastructure and Economic Co-operation (INEC), Natural Resources and the Environment (NATUR), and Co-operation with NGOs, Humanitarian Assistance and Conflict management (SEKA). Their intersection with SAREC is clearly of relevance in thinking about the scope and coverage of the SAREC thematic portfolio because many departments of Sida are engaged in some activities that are similar to that of SAREC. See the case of AIT in 06/40:1. There is no general information available to the team on such overlaps, positive and negative, and is outside the TOR.

2.4.2 Objectives

Sweden started research cooperation with developing countries in 1975 with an independent SAREC.⁴² The reorganization in 1995 saw the creation of a larger Sida,⁴³ which incorporated research cooperation activities within itself, with Sida/SAREC, which is responsible for support to research. Sweden has continued to give a high priority to research cooperation as an important strategy to enhance the capacity of developing countries to achieve development objectives. Sida/SAREC allocates approximately 6% of the total aid budget of Sweden (as spent through Sida) or approximately SEK 847 million in 2005 (about USD115 million).⁴⁴

The overall objective of Sida/SAREC research cooperation is to strengthen the research capacity of developing countries, with special emphasis on poor countries, and improve their access to knowledge in areas of central importance for their development objectives and especially for achieving poverty reduction. Within this, the two sub-objectives are: to facilitate research of relevance and utility for development; and to build the capacity for research in developing countries.

Sida/SAREC describes its objectives as follows⁴⁵:

Sida shall contribute to strengthen research capacity in developing countries and promote research, which contributes to combating poverty and to an equitable and sustainable global development. Furthermore, Sida shall contribute to strengthen development relevant research in Sweden.

The Government further states that continued support shall be directed:

- to poor developing countries for their building of good research environments; training of researchers; development of methods for planning, prioritising and funding research
- in the form of financial and scientific resources for the purpose of supporting the production of new knowledge and promoting the use of research findings of importance for the development of developing countries;
- to promoting scientific co-operation between researchers in Sweden and in developing countries and the participation of Swedish researchers in development relevant research and research co-operation.

Sida/SAREC objectives are in keeping with Swedish policy for global development, which explicitly considers capacity building for research in developing countries as one of its key components. It starts from the premise that the capacity to generate and utilize knowledge is essential for developing countries to design and put in practice their own development strategies for reducing poverty, improving living standards, and achieving equitable and sustainable development. Swedish support to developing countries for research capacity building and problem solving seeks to promote the effective utilization of research findings through innovation, particularly in the poorest countries; to link national, regional,

⁴² This was relatively unique at the time and the model of SAREC was inspired by the creation of a similar specialized research funding organization, the International Development Research Centre (IDRC) in Canada in 1971. There was possibly some ad hoc support for research in a Swedish development cooperation program before that, but research, science, technology and knowledge inputs and capacity required for development was not widely recognized in the 1970s. Even now research cooperation remains poorly organized and delivered – see the UK Parliamentary report in 2003 on DFID and the role of scientific knowledge for development as an example (see Select Committee on Science and Technology Thirteenth Report at <http://www.publications.parliament.uk/pa/cm200304/cmselect/cmsstech/133/13304.htm>). The increased attention to S&T for development provides Sweden and Sida/SAREC a challenge and opportunity to build upon its experience and strength.

⁴³ The new Sida incorporated several other institutions that had been free standing earlier.

⁴⁴ Although most of the resources and programs specifically aimed at building research capacity and knowledge are channelled by Sida/SAREC, other Sida departments also support efforts that include some research components, through national, regional, and international programs. It has not been possible to get a full picture of this. It is our view that such support is appropriate and to be encouraged, but it is quite clear that Sida needs to identify and report on all research support more effectively, and there is an obvious need for greater integration of the activities by different departments. See 06/40:1 discussions on Sida and SAREC support to AIT in the energy and environment themes.

⁴⁵ Source Sida/SAREC.

and international research efforts; to harmonize the research support activities of various donors; and to consolidate and mobilize high-quality Swedish research to address development issues.

To have a significant impact, initiatives are concentrated in a limited number of thematic and geographical areas.

2.4.3 Programs

At present, Sida/SAREC defines its programs by the categories in Table 1.

Table 1: Funds allocated by SAREC by purpose in 2005.

Allocation 2005	SEK	Percentage
Thematic (International and Regional Programs)	457,253,000	54.0
Bilateral Programs	249,057,000	29.4
Swedish Development Research	98,900,000	11.7
Swedish Research Links	35,000,000	4.1
Other	6,570,000	0.8
Total SEK	846,780,000	100

Source: Sida Annual Report 2005.

2.4.3.1 Bilateral programs

Bilateral programs focus on about 12 poor countries and on a few institutions (almost always universities and most often one national university) within them. They aim primarily at building research capacity. This has been stated by Sida/SAREC as the most important activity and they use only 29% of the budget. The 12 countries have been selected from a list of poor countries, based on long-term national links and political decisions in Parliament. Following the selection, the primary mode has been to identify an institution that can play the role of “research engine” to create capacity (usually a university) together with a diagnosis of the research environment, which is then used to select a few faculties for support. The specific theme is of secondary importance in this type of program although it broadly coincides with development needs.

Sida/SAREC is usually the main source of funds for capacity building in the institutions selected, often complemented with resources from other (regular) Sida programs and in some cases, other donor and research-supporting institutions. The usual strategy is to develop local capacity for offering first masters and later doctoral programs, and by providing resources for research appropriate to each stage. Eventually, as capacity is developed at the national level, support to link academic institutions with government and industry may be considered.

There are potentially important links between bilateral programs and the thematic programs and these can and should operate in two directions. A successful program of research capacity building in one country can lead to the formation of a growing nucleus of research in neighbouring countries. It can grow to encompass countries with similar problems, becoming a regional or international network, the purview of the current study. This can be considered as important evidence of success and impact. The SAREC Marine Program provides an example of such a development. This started as bilateral research support to Mozambique and Tanzania, and then developed to provide regional support to East African countries, building on cooperation with UNESCO/IOC and the World Bank. The bilateral program at the Institute of Marine science at the University of Dar es Salaam, in Zanzibar, then developed further to include support for the regional WIOMSA-program (Western Indian Ocean Marine Science Association). WIOMSA originally was directed towards natural science support but is

currently including a Marine Science for Management-project with social and economic research components. This development provides useful linkages with the countries' needs. It is still mainly funded by SAREC but support is also sought from other donors⁴⁶. In the other direction, work at the country level, concentrated in the bilateral countries, can provide greater evidence of the local relevance or otherwise of many international and regional programs⁴⁷.

Senior management considers that the bilateral program is based on sound philosophy, and that it is unique to Sida/SAREC, primarily because other development assistance agencies focus on the short-term "aid cycle" (2–3 years). Sida/SAREC focuses on the long-term "research capacity cycle" (10–15 years). If more staff or resources were to become available, management states that priority would be given to bilateral programs.⁴⁸

2.4.3.2 *Swedish research programs*

Around 10% of the allocations are for Swedish development research, with the objective of maintaining a national resource base for development and to engage in international issues. The idea is to have a cadre of professionals and academics that can be a resource for Swedish institutions involved in developing country problems, particularly following the adoption of the Swedish Policy for Global Development.⁴⁹

Swedish linkage is a new program that provides competitive grants for research projects to institutions and to individuals, usually based in universities but occasionally in nongovernmental organizations, to work in partnership with developing country researchers on developing country problems.

2.4.3.3 *Thematic programs*

The thematic programs are distinguished by Sida/SAREC as belonging to four different themes — health sciences, environment and natural resources, natural sciences and technology, and social sciences and humanities. Within each theme there are either regional or international programs. The four main thematic areas for research support for regional and international programs are described below.⁵⁰

- Health sciences

Support for regional and international programs in this area focuses on the close relationship between health and poverty and between good health and prosperity. It is directed primarily to major international research programs that usually involve many donors. Themes include tropical and other infectious diseases, vaccine research, HIV/AIDS, sexual and reproductive health, child health, health systems research, and organization of health research. Examples of programs and institutions supported include at the international level, WHO and several research areas within it, the INDEPTH Network, and ICDDR,B.

- Social sciences and humanities

Support in this area focuses on activities that increase the understanding of social processes that lead to long-term sustainable development. It is channelled primarily through regional cooperation bodies that

⁴⁶ This is one example the team was able to find where a bilateral initiative had slowly become a regional program. This provides an example of how regional contributions to knowledge can be linked closely to country-level actors and needs.

⁴⁷ Among potential weaknesses of international programs that emerge in many studies is that, while they can make excellent contributions to the global public good, their translation into benefits for poor people is often more difficult and requires effort at lower levels. As mentioned earlier in limitations this direction of enquiry was limited due to time constraints and the study design but an example from TEHIP is cited earlier.

⁴⁸ See Boeren et al. Sida/SAREC Bilateral research cooperation: Lessons learned, 9 August 2006. Any comments on this are outside the scope of this study.

⁴⁹ More details on the Swedish program can be found in one of the parallel assessments.

⁵⁰ Sources: Internal Sida documents, including "Sida Research Co-operation Policy", and Sida position papers on "Research Co-operation in Health Sciences," "Research co-operation in Social Sciences and Humanities," "Research Co-operation in Environmental and Natural Resources Sciences," and "Natural Resources and Technology."

cover a broad spectrum of the social sciences and humanities, and that foster the consolidation of large regional research networks. Themes covered include democracy and human rights, peace and conflict studies, social development, gender, economic issues and poverty, environmental economics, archaeology and urban landscape dynamics, and social aspects of HIV/AIDS. Some of the examples are CODESRIA, CLACSO, AERC and others.

- Environment and natural resources sciences

This area focuses on the problematic ecological conditions and environmental degradation that are closely linked to poverty. It promotes the emergence and consolidation of research cooperation networks and programs at the regional and subregional levels. Themes covered include marine sciences and aquatic ecosystems, forestry research, sustainable production systems in dry lands, and integrated production systems. In addition, significant support is provided to international institutions that conduct research, notably the centres affiliated with the Consultative Group on International Agricultural Research, and that provide grants to young researchers in the biosciences (the International Foundation for Science). Some of the regional networks include AFORNET, WIOMSA, VicRes, EEPSEA,⁵¹ and many others.

- Natural sciences and technology

Support for this area focuses on building capacities in the engineering, medical, and agricultural sciences and technologies, and in their scientific foundations. Contributions are channelled through regional entities, international organizations, and also through Swedish institutions that are actively engaged with developing countries. Themes covered include basic sciences (mathematics, physics, chemistry and biology), natural resources technologies, technology policy research, urban environmental problems, disaster prevention, biotechnology and biosafety, and energy technology and policy. At the international level IFS and TWAS are important examples, and at the regional level there is AIT and BIO-EARN.

2.4.3.4 *International programs*

International programs support research activities in established international institutions and programs, normally aimed at addressing important developing country problems at the global level. International programs involve both intergovernmental organizations (usually United Nations agencies and programs (WHO and UNRISD) and nongovernmental organizations that may be free standing (CGIAR⁵², IFS, ICIPE, TWAS, and the International Vaccine Institute in South Korea⁵³), or attached to other entities (ISP at the University of Uppsala).

The idea is to contribute to building a knowledge base that may be of interest and use to developing countries, and to the poorest ones in particular. Some Sida/SAREC staff have articulated the rationale of support for regional and thematic networks in terms of “international public goods” that tend to be undersupplied. In some cases, Sida/SAREC resources are relatively small and are pooled with those of other donors, which makes it difficult to trace their ultimate impact. In other cases, Sida/SAREC resources represent a substantive portion of core resources or rather large specific programs. In the case of these often large international institutions, the role of Sida/SAREC varies much more between institutions and programs and given their relatively large share in the portfolio they are often discussed individually.

⁵¹ EEPSEA, covering environment and economics in Southeast Asia, falls under the management of the Social Sciences Theme. It illustrates, among many others, the interdisciplinary nature of many thematic programs, which is a natural evolution. But this and other interdisciplinary programs also illustrate that the boundaries of the thematic programs do and should overlap.

⁵² Although the different institutes of the CGIAR are fairly free-standing, they also fall under the purview of oversight managed through several councils and a secretariat maintained at the World Bank headquarters.

⁵³ The IVI in South Korea provides an interesting example of a country that was poor in the recent past, which used several policy instruments, together with international cooperation over decades to build its domestic science and technology capacity. It places a special emphasis on science and technology capacity building within its newly emerging development assistance program.

2.4.3.5 Regional programs and networks

Regional programs and networks involve variable numbers of research institutions in developing regions and focus on specific themes. They can be designed as networks or emerge out of collaboration between national institutions in a particular region. They emerge in many different ways in the portfolio: sometimes out of the need to coordinate bilateral programs in two or more countries; sometimes from requests by established grant-making regional organizations; and sometimes from joint initiatives between Swedish and developing country institutions, most often with universities.

This variety of regional arrangements can be illustrated in the Sida/SAREC-supported regional research networks. To take some examples from natural resources in Africa, in forestry, AFORNET provides grants to young scientists and to research groups from more than two countries, and operates across Africa; in biosafety and biotechnology including policy research, the BIO-EARN network attempts to build capacity, develop policy and useful outputs in four countries, with a strong link to SEI; in the marine science in East Africa and Western Indian Ocean, originally through the Swedish Marine Initiative but now through WOIMSA/MASMA, CORDIO, and the KICAMP.

Because bilateral programs prioritize and are limited to a small number of (approximately 12) poor countries, regional programs allow for less resource-intensive research cooperation with other poor and not-so-poor countries (who can also have a large proportion of their population below the poverty line), and can increase the effectiveness of knowledge outputs. Bilateral programs do not address the needs of these not-so-poor countries, and hence these developing countries only receive support through regional and thematic networks or international programs.

Table 2: Sida/SAREC objectives, types of programs, and their relevance.

Type of program	Recipient	Main Sida/SAREC objectives ⁵⁴			
		Research capacity building in developing countries	Generation and dissemination of knowledge for development	Capacity building in Sweden to address development problems	Maintaining an international system for development research
Bilateral programs for research capacity building	Selected developing countries and institutions in each	* * *	*	(*)	–
Thematic/regional research programs	Grant-making regional organizations	* *	* *	–	*
	Research coordination and promotion networks	* *	* *	–	(*)
	Research training networks	* * *	??	–	*
	Regional/Swedish partnerships	*	* *	* *	??
International programs	Intergovernmental institutions	(*)	* * *	(*)	* *
	Global nonintergovernmental research institutions and initiatives	(*)	* * *	(*)	* *

Source: Based on an interview with the Director, Sida/SAREC and modified by the Evaluation Team.

Legend: *** Very important; ** Important; * Moderately important; (*) Marginal; – Negligible.

⁵⁴ This table is an elaboration made by the team of presentations by SAREC management.

SAREC's main goals derive from the Swedish development objectives, described along eight issues. (see Table 7). They need also to support the eight (slightly different) Millennium Development Goals, and be relevant to the context and needs of development partners. The SAREC goals also take into account the need for building and maintaining some Swedish capacity for development knowledge. For attaining these multiple goals SAREC uses one major instrumentality – financial support for improving research capacity and knowledge outputs. It does so with four types of programs of which the four thematic research programs are one subset. They are again further distributed into several channels, broadly grouped in two categories. The regional programs give grants, support training, coordinate research and provide linkages, all focused more towards capacity building but a number of them also generate important new knowledge. The international programs are more focused to the generation of new knowledge but many of these also have applications of knowledge and elements of capacity building in their work. The instruments are governed by rules that emerge from the national context, as well as of Sida, and increasingly from the international forums such as the Paris agreement for harmonization. The detailed contents of the support are influenced by the activities of a large number of partner organizations and their domain of operation.

3. Findings

3.1 Introduction

It is appropriate here to make some further analysis of the support activities before addressing the questions posed for this review on the value of the Sida/SAREC “portfolio of investments” in thematic research programs. The questions can be reordered into two groups. First, as a set of questions that have to do with the outputs, outcomes, and impacts of the contributions made to a diverse set of organizations, individually and as a whole: To what extent are the organizations and activities supported relevant? Are the choices of channels for the thematic research support appropriate? Is the composition of the current portfolio of contributions efficient for attaining its purposes? Is the portfolio effective in delivering the desired outcomes and impacts? There is a second set of questions that deal with the processes of Sida/SAREC, such as activity planning, preparations, follow-up — including control, monitoring, and evaluation, and whether these result in a “relevant and effective portfolio”.

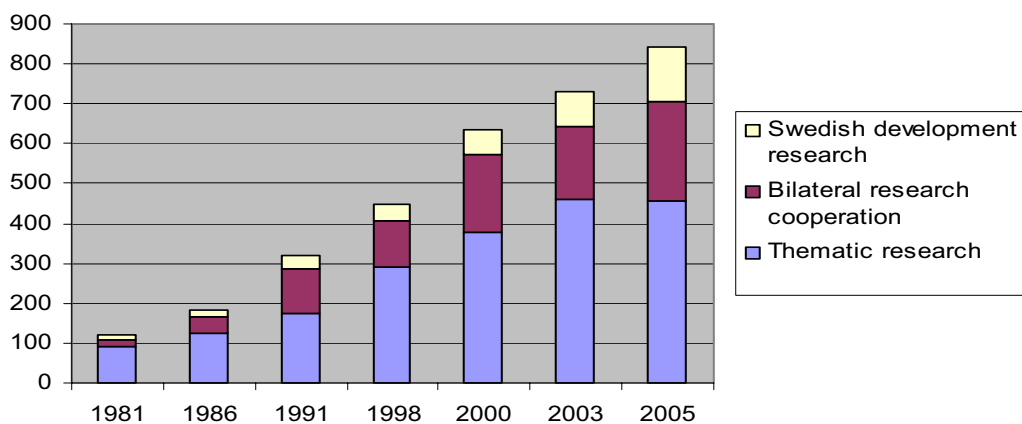
Finally, the review uses the answers to the above questions to arrive at conclusions and recommendations for Sida/SAREC on possible needs to modify decisions and processes that could improve the portfolio. The improvements would address effectiveness, efficiency, sustainability, and other objectives. The findings are organized along the above questions, first on an overall analysis, then judgments on the portfolio, third on Sida/SAREC processes, and last on possible changes.

3.2 Allocations to the Thematic Programs

Information on Sida/SAREC funding over time is provided in Chart 1 and Table 3 next page.

Chart 1: Sida/SAREC commitments by programs in 1000 SEK.

Based on Table 3, Annex 4, source Annual Reports.



This shows that the total of all contributions made by SAREC almost doubled between 1998 and 2005 (for more details see Annex 4). The allocation of the resources available to SAREC between different program categories is shown in Table 3.

Table 3: SAREC:s commitments by programs, in percentages.

	1981	1986	1991	1998	2000	2003	2005
Thematic research	73	66	40	63	59	62	54
Bilateral research cooperation	14	21	27	25	30	25	29
Swedish development research	10	10	8	9	10	12	16
Administration	3	3	4				
Special programs			18				
Miscellaneous / other			3	3	1	1	1
Total	100.00	100.00	100.000	100.000	100.000	100.000	100.00

Source: Sida Annual Reports. The numbers are rounded.

The data show that Sida/SAREC, in keeping with its declared objectives of placing a higher priority to the bilateral programs, was able to shift resources from the thematic (international and regional programs) toward the bilateral between 1980 and the beginning of 2000. During this longer period, allocations to thematic programs declined from 73% to around 60%. During the period 2000–05 the bilateral share remained steady, while the thematic declined by another 5%. This amount was transferred to Swedish development research.

3.2.1 Regional Allocation

Table 4: SAREC disbursement by region 2000–05 (total percent).

Region	2000	2001	2002	2003	2004	2005	2000–2005
Africa	23	22	27	25	25	23	24
Asia	7	8	7	8	5	5	7
Latin America	5	6	5	5	5	5	5
International	65	64	61	62	65	67	64
Total	100	100	100	100	100	100	100

Source: Table 6, Annex 4. Numbers are rounded.

The distribution of funds by region shows that almost two-thirds of the funds in the thematic category was spent on international institutions (here the figures include Swedish institutions; see notes after Table 1, on the numbers). International programs and networks based in Europe, which include large contributions to institutions such as WHO, UNRISD, and IFS, account for the largest share at 46%. The balance is weighted heavily toward Africa with two-thirds to Africa-based organizations and almost a sixth each to Asian and Latin American organizations (with a slightly higher amount for Asia). During the period under study, there has been a small decrease in allocations for Asia and Latin America with the funds shifted to Africa⁵⁵.

The allocations to Africa, at almost four times of those to the other two continents, are in keeping with the increasing differentiation between developing country groups referred to. Some of the more successful countries are in Asia and Latin America while many countries in sub-Saharan Africa remain stagnant and some have registered little progress in per capita incomes and poverty levels. The tilt to Africa is in keeping with broad Swedish, Sida and other donor policies. It is our view that the balance between the regions in the allocations is broadly appropriate.

3.2.2 Focus on Africa

Among the developing world regions, Africa has been the main focus in Sida/SAREC:s thematic programs concentration. Under the *social science and humanities*, support in Africa covers such programs as democracy, human rights, governance, gender, economics, environmental economics, social development, arts and history (the list is actually much longer). The main regional organizations and networks supported through the social science and humanities program include the Council for the Development of Social Science Research in Africa (CODESRIA), the Organization for Social Science Research in Eastern and Southern Africa (OSSREA), the African Economic Research Consortium (AERC), the African Academy of Sciences, the Africa Technology Policy Studies Network, and the Centre for Environmental Economic Policy in Africa (CEEPA). Internationally, UNRISD and others also provide special attention to issues of African development.

In natural science and technology, Sida supports research in the basic sciences, energy, climate and environment. Under this category, regional organizations in Africa that receive Swedish support include Biotechnology, Biosafety and Biopolicy in East Africa (BIOEARN) and African Energy Policy Research Network (AFREPREN).

Under the *health program research* in child health, sexual and reproductive health, tropical and infectious diseases, HIV/AIDS and STD are supported. Much of the support to health research is channelled through global organizations such as WHO, and through research institutes in Sweden and in some countries in Africa. Regional organizations supported by Sida include: (1) the International Network of Field Sites with Continuous Demographic Evaluation of Populations and Their Health in Developing Countries (INDEPTH). The INDEPTH Network has 20 sites in Africa for collecting and analysing demographic and health data. The East, Central and Southern African Organisation for Obstetrics and Gynaecology Society (ECSAOGS), which organizes meetings of researchers on sexual and reproductive health. Sida also supports regional networking of medical faculties in five countries (Ethiopia, Mozambique, Rwanda, Tanzania, and Uganda). Support is also provided to international and global organizations with local branches in Africa. These include the Multilateral Initiative on Malaria (MIM) based in Tanzania, the African Aids Vaccine Programme facilitating research cooperation between researchers in Africa, and the Council for Health Research for Development (COHRED) assisting African countries to develop health research agenda. Research on HIV/AIDS is supported through special programs where both Swedish and African researchers receive grants.

⁵⁵ The movement is so small that they could also be due to the cycle of renewals of individual contributions and/or errors in the data.

Lastly, under *environmental sciences and natural resources* research in marine and aquatic resources, agro-forestry, livestock and crop production is supported. The major African regional research organizations supported in these areas include Western Indian Ocean Marine Science Association (WIOMSA), African Research Programme on Sustainable use of Dryland Biodiversity (RPSUD), African Forest Research Network (AFORNET), Lake Victoria Research Initiative (VicRes), and Pastoral Information Network Project (PINEP).

A new initiative that considers globalization, cross-region links, the growing diversity of developing countries (discussed earlier), and the changing context for knowledge generation, is the Sida/SAREC-supported Africa/Asia/Latin America research collaboration in the social sciences that involves three research networks from Africa. The tri-continental collaboration is expected to further strengthen African social science research through joint research, training and exchange of experiences. The possibilities for greater South–South collaboration, across regions and with deliberate matching of high research-capacity countries, have not often been explicitly seen in these regional networks and is a positive shift of direction in keeping with the changing context.

Africa, the main region of focus in the thematic programs and of Swedish priorities, raises some special issues. A key issue to note here, is that in light of the more than 20 donors who participate in research support on the continent, there is greater need for coordination and harmonization among donors in strategy, reporting, and evaluations. In many cases weaker institutions are kept on a seemingly tighter leash, but with procedures that can be debilitating and go against ownership and capacity building (see 06/40:1, section on the social sciences in Africa). It will be especially relevant here for Sida/SAREC to determine best practices in partnership with donors and recipient partners, and to help supported organizations achieve a level of internal capacity that can promote reduced supervision. The achievements in recipient governance and capacity could be benchmarked at different levels, taking a page from the exercise by AERC in determining capacities of partner universities that can become a possible capacity development indicator.

Other Regions

As stated earlier, the allocations to Asia and Latin America are relatively small. In Asia there is a focus on environment and energy, in line with government priorities, and two examples of regional centres and networks are provided in 06/40:1.

Sida/SAREC appears to have stepped up slightly its involvement in Latin American regional/thematic networks. In the late 1990s it expanded its support for FLACSO (Central America), CLACSO and CATIE. This is probably because of increased funding for Sida/SAREC, and the fact that these regional/thematic networks have the capacity to effectively use funds. In the case of FLACSO and CLACSO, Sida/SAREC is now the main source of funds. It provides a relatively small amount of resources to CATIE, but the nature of the support for environmental economics makes it an important contribution to their program.

3.2.3 Thematic Allocation Channels

The allocation of funds by thematic areas is given in Table 5.

Table 5: SAREC disbursement by Thematic Research Programs (total percent).

Thematic Research Programs	2000–05
Environmental Sciences and Natural Resources	36
Health Research	20
Natural Sciences and Technology	23
Social Sciences and Humanities	21
Total	100

Source: Table 11, annex 4.

Based on the universe of contributions to thematic programs, the largest amount goes to the area broadly defined as Environmental Sciences and Natural Resources, at approximately 36%. Beyond the caveats on placing too much emphasis on the exact number⁵⁶, it is worth noting that the themes covered include two broad types. One for increased productivity of natural resources and thus directly aimed to reduce poverty and to contribute to the economic welfare of poor people and the other directed toward conservation of natural resources and environmental goods and services important for poor people. In this theme significant support is provided to international institutions that conduct research, notably the centres affiliated with the Consultative Group on International Agricultural Research. It also covers a number of regional networks based in Africa that are meant to synthesize and build regional capacities in research and some that provide grants to young researchers, again with a focus on Africa. This theme also provides many examples where the thematic boundaries used do not provide a complete picture on either the focus on increased production from natural resource systems or on environmental issues, because some of these are also addressed within the social science theme and other environmental issues are addressed in Natural Sciences and Technology. This theme in 2005 channelled resources mainly through three groups of institutions, first the 16 CGIAR institutions, focused on agriculture, food security, and genetic resources, and three other international organizations; second, in 8 regional marine resource programs and 6 other regional programs for a total of 33 beneficiary organizations.

Beyond this the other three themes are allocated similar amounts of the total at around 20% each. Thematically, the coverage on health appears most coherent with issues of health policy, medical research, nutrition, basic and other health care, reproductive health, STD, HIV/AIDS, malaria and other major diseases, training and health status data. They all appear as sub-themes with reasonable amounts of support (see Table 1, Annex 4 for more details). In addition to the core health research broadly defined, it is notable that there is also support for social science research into health issues. The dominant channel in health sciences is through international organizations and research networks complemented by regional institutions and networks. In the health area where there were 30 partner organizations in 2005, over half were international and the balance a variety of regional organizations.

The theme of Social Sciences and Humanities supports activities that increase the understanding of societies that can lead to long-term sustainable development, and include democracy and human rights. The theme also covers more narrow areas of immediate importance such as social and gender dimensions of poverty and exclusion, economic policy, economic issues and poverty, environmental economics, understanding HIV/AIDS, issues of conflict and their resolution, the problems related to agriculture and other natural resource use. This theme covers an interesting set of work on archaeology and urban landscape dynamics that apparently works well. This is relatively unusual in donor-funded portfolios. It is channelled primarily through regional cooperation bodies that cover a broad spectrum of the social sciences and humanities, and that foster the consolidation of large regional research networks. Some of the best examples are CODESRIA, CLACSO, and AERC. The number of cooperating partner institutions within this theme in 2005 was 37. UNRISD was the only international organization.

The Natural Sciences and Technology theme covers mainly two sub-themes, basic sciences, and energy, climate, and environment. This also has the smallest number of cooperating partners with seven in basic sciences and two in energy, climate and environment. In the energy, climate and environment area, both partners are regional with one in Asia and one in Africa. It is further concentrated in that in the basic sciences there are three closely related international organizations, all based in Trieste, and the ISP and SEI in Stockholm. There are two regional African organizations supported with one of them focused on a combination of policy and capacity development on biotechnology.

⁵⁶ The issue of the precision of these numbers is discussed in the notes at the end of Table 1, Annex 4. The data suggests that if it could be analysed with greater accuracy, and the percentage allocations for health and social sciences may be a little higher and with consequent reduction in the others. The other issue to note is that the thematic sets are not independent and there are legitimate issues of classification.

No evidence was found that suggests any major changes in the balance between the themes. The analysis of the thematic portfolio based on the sample investigated suggests they are all broadly supporting a similar range of activities, and are all supporting the different aspects of the goals and mandate laid down for SAREC. Beyond the very broad question of balance, in later sections we suggest other changes. These include a rethinking of the four themes, taking into account interdisciplinary issues, and perhaps sharpening problem-focused definitions rather than scientific and disciplinary definitions, and exploring gap areas that are not covered.

The percentage allocation over the period between international and regional channels for the thematic programs is given in Table 6.

Table 6: Percentage allocations between international and regional programs.

Allocations within the thematic program %	2000	2001	2002	2003	2004	2005	2000-05
International research programs	57	53	49	51	50	50	51
Regional research programs	34	37	41	42	43	42	40

Source: Table 7, Annex 4. The numbers do not add to 100 because two categories, other research and special projects could not be allocated within the international and regional program categories and account for the balance.

The most notable fact is that, in the period of analysis, the balance has shifted by almost 10% from support to international research programs to regional research programs. This occurred within a growth period in both areas of support. This is in keeping with a stronger emphasis on local capacity building, taking research closer to the ground, and for greater potential local relevance and use. Much of this has been with the support for additional regional networks in Africa. Examples of this are VicRES and BIO-EARN, both in Eastern Africa.

The data shows that the allocations between the international and regional organizations vary considerably between the themes. Broadly, the emphasis on regional organizations in social sciences, with UNRISD as the only international centre supported, is highly appropriate. Among the different themes, the social sciences research domain is much more connected to the local context and understanding of the local conditions that affect development⁵⁷. It also needs fewer resources in laboratory facilities, instruments, and related fixed infrastructure as compared to the physical sciences. Finally, the local capacity for such research is often higher in the poorer countries, and hence the potential value of regional networks is higher.

In the health area, there is broad agreement that support for a number of international efforts is both required and valuable. As opposed to other thematic areas, WHO is the only multilateral agency dealing with health, and also has a series of long-standing programs of relevance to poor countries. Supporting and influencing these programs and also the many other global initiatives that have grown up in recent years is clearly a useful area for SAREC involvement. SAREC has a relatively well balanced portfolio in health between the international and the regional channels. The team also found some gaps in coverage of health systems, and these should ideally be undertaken on a regional basis when SAREC is able to find the resources.

In agriculture and natural resources the dominant channel is support to the CGIAR centres. This is the oldest global program, and was instrumental in creating a first-class agricultural research system at the global level. There are many studies of the CGIAR that have praised the evolution of these interna-

⁵⁷ As with most generic statements some caveats are required here. The increasing impacts of globalization on the economy and on social conditions do increasingly blur the difference between the local and the global. Ideally UNRISD, supported by SAREC, would deal with more global issues. There are potentially other international centres that could be supported such as ILO on work-related issues and UNCTAD for trade. Judgments on specific new organizations for SAREC support is beyond the scope of this study.

tional institutions. One recent report states, the “Donors provided the money and developing countries reaped the benefits”. But all good things often come with the attendant loss in some other goal. The Office of Evaluation of the World Bank states that the success of the CGIAR had the negative effect of “donors to sidestep funding national agricultural research in developing countries”⁵⁸. While this review does not examine the national efforts by SAREC, it does seem that regional networks in agriculture and natural resource management appear to have suffered somewhat in the SAREC portfolio. Here again the conditions on the ground may justify this. There has been ongoing debate on the trade-offs between support for the CGIAR system and national and perhaps regional systems – the first delivering high-class research products and the latter building (in the best cases) local capacity. As discussed elsewhere, there are new global demands for high-class research, for instance to counter the effects of climate change. There is also renewed interest in Sweden for increased links with the CGIAR centres. It could be worthwhile for Sweden to examine how best to optimize between national interests, support for global public goods, and support to local knowledge and capacity building, especially in the areas of natural resources and environment.

In some of the issues covered under Natural Sciences and Technology, capacity gaps between the poor countries and industrial countries are large. The reliance on old, well established, efficient, and useful international programs such as ISP⁵⁹ are highly appropriate. Beyond that the program on energy and environment is appropriately hosted in one regional institute and one network in Africa. Energy and environment issues for developing countries do not (unfortunately) have as yet a centrally located organization such as WHO for health, nor research centres such as the CGIAR. Thus there is little choice to be made here between channels.

Although there are some additional discussions on the channels later, the question of balance in the use of channels seems about right as seen through the types of thematic programs and the objectives set for SAREC. At the same time, additional questions can be raised related to this issue that need more strategic studies and discussion. An example might be whether the CGIAR centres are funded in a new modality, with SAREC as only one smaller Swedish partner. A follow-up question would be: What would SAREC do with the resources released?

3.3 Relevance to Development Goals

The relevance of international activities can only be defined through the lens of Swedish development goals, the Millennium Development Goals agreed to unanimously at the United Nations, and not through any individual country priorities. For regional programs one could add another lens, that of the developing countries in the region served and their specific issues. The central components of development defined by the Swedish Government,⁶⁰ within the overarching objective “to contribute to create conditions for poor people to improve their living conditions” are provided in Table 7⁶¹:

Table 7: Central components of development as per the Swedish Government

1	Human rights, democracy and good governance
2	Gender equality
3	Sustainable use of natural resources and protection of the environment
4	Promoting economic growth

⁵⁸ Both statements are in *Strengthening the World Bank’s Role in Global Programs and Partnerships*, World Bank, 2006, P.6

⁵⁹ See 06/40:1 on ISP. The team could not visit or review the other major program of support in Trieste.

⁶⁰ Shared Responsibility: Sweden’s Policy for Global Development Gov. Bill 2002/03:122

⁶¹ The terms specify that the composition of the portfolio should be reviewed in relation to the overall goal of Swedish development cooperation, and in terms of “goals for research cooperation as expressed in the appropriation directions to Sida”. These directives have not been reviewed by the team, but there are examples of specific activities undertaken by SAREC under instructions from the government.

5	Promoting social development
6	Promoting social security
7	Conflict management and human security
8	Global public goods

The MDGs agreed at the level of the United Nations have the following goals (Table 8):

Table 8: MDG goals.

1.	Extreme poverty and hunger alleviation
2.	Universal primary education
3.	Gender equality and women's empowerment
4.	Child mortality
5.	Maternal health
6.	HIV/AIDS, malaria, and other major diseases
7.	Environmental sustainability
8.	Global partnerships for development

There is broad congruence between the global expressions of development goals and the Swedish goals for development, with one main difference in the latter: the priority given to human rights, democracy, and good governance.

The short descriptions of the activities and the details of the work of the 38 organizations sampled, indicate that the themes chosen and supported are in broad agreement with Swedish development cooperation goals, the MDGs, and the needs of developing countries (especially LICs and LMIC:s). A special and positive characteristic of Sida/SAREC efforts is its support, not only for the applied fields of engineering, health, and agricultural sciences and technologies but also in their scientific foundations, in basic sciences of mathematics, physics, chemistry, and biology. Sida/SAREC must be commended for a holistic vision of building basic scientific capacity, because the required capacities in applications do not come neatly packaged within applied versus basic sciences. The epidemiological studies in health require capacity in mathematics and statistics, and mathematics continues to provide a strong base for ICT applications, in economics, as well as for some aspects of biotechnologies. Building domestic capacities across all disciplines to a level considerably higher than currently attained by almost all LICs is definitely a requirement for development.⁶²

The relevance to both Swedish and Millennium Development Goals can be seen in greater detail through some of the examples culled from 06/40:1. Support to the social sciences, particularly in the more applied fields of economics, confirms the developmental relevance of Sida/SAREC support. With Sida/SAREC:s strategic thinking and financial contribution to AERC (alongside other donors), the organization has remained dynamic and quite sensitive to the changing circumstances within which it provides its services in the economics field. Initially, AERC focused primarily on macroeconomic research, targeting structural adjustment policies. With a shift toward much broader challenges of institutional reforms as well as the need to address the challenges of poverty eradication under the Poverty Reduction Strategy Papers (PRSPs), AERC:s training and research agenda has been broadened. This development has secured its continued developmental relevance. As one of AERC:s strategic partners, Sida/SAREC should be commended for this. In Asia, the EEPSEA network is a successful example of expanding the traditional domain of economics to cover environmental challenges facing the region.

⁶² Many studies point to the fact that certain minimum capacities across the board are required across disciplines in order to build up a cadre of teaching professionals and programs at the graduate and postgraduate level. Such capacity is required for countries to access the global knowledge base and to make improved choices for themselves.

Another regional research network in Africa whose performance has advanced the Sida/SAREC regional research agenda on the continent is CODESRIA. With a sizeable group of donors behind it (with Sida being the most prominent), CODESRIA has showed considerable resiliency in adjusting to changing circumstances, particularly after its credibility was under threat. The post-2002 period witnessed internal institutional reforms of CODESRIA. The reforms included the restructuring and refocusing of its programs to restore its earlier position of the leading independent social science research institution in Africa. Sida/SAREC has been described as the “unsung hero” behind CODESRIA:s reinvigorated resurgence, including its expanded program reach both geographically and thematically. CODESRIA:s responsiveness to changing circumstances has further been demonstrated by its decision to bring into its network more younger researchers, further strengthening Sida/SAREC:s global research mandate particularly in the field of capacity building through training.

Similar remarks can be directed to the social sciences networks supported in Latin America, specifically CLACSO and FLACSO⁶³.

There are also many examples of special policy directives and guidelines provided by the Swedish policymakers and political authorities, such as giving priority to HIV/AIDS, gender, democratic governance, and peace and conflict studies that are implemented by Sida/SAREC. A number of the international institutions supported by Sida/SAREC follow from the Swedish priority to provide support to international and multilateral institutions and for the provision of global public goods. In agriculture and natural resource management, the CGIAR system is an outstanding global resource and has received consistent support. The priorities for international institutions such as WHO, UN agencies and the CGIAR, as well specific focus in some thematic programs follow and derive from Swedish government policies (HIV/AIDS, democracy, women, and others; and, for some regional programs, by themes above; and by location, such as for the Lake Victoria region).

For health-related MDGs, Sida/SAREC has supported research programs that are directly relevant to the pursuit of MDG 4, 5, and 6 (its special program on HIV/AIDS, programs within WHO: CAH, HRP, TDR, IVR, as well as other institutions such as ICDDR,B and IVI).

In particular, the needs of LICs and LMIC:s, given the overarching priority of poverty reduction and focusing contributions to the poorest countries, are addressed in Sida/SAREC:s support for organizations that support national health research systems (for example, COHRED), as well as those that build capacity for health systems research in these countries (such as HPSR). CODESRIA has added ‘Health, politics and society in contemporary Africa’ to its research agenda. The INDEPTH Network for demographic surveillance grew out of the need for accurate information on populations living in areas of developing countries where vital registration systems either do not exist or do not work well.

The research network on energy supported at AIT provided for additional resources targeted at the poorer countries in the region, and focused on alternate sources of energy for the needs of poor people.

Overall, the portfolio of research supported by Sida/SAREC has been in keeping with global and Swedish Government goals for development. SAREC has been quite zealous in promoting the Swedish development objective of capacity and knowledge development for the poorer countries, which has meant taking on additional challenges and costs that many other agencies do not bear.

3.3.2 Appropriateness and rationale for the channels

The choice and channels for thematic research, and the varying choices of channels, exhibited within themes and by issues, is on the whole appropriate⁶⁴.

⁶³ Networks similar to CODESRIA, CLASCO and FLACSO do not exist in Asia.

⁶⁴ This section also provides a discussion of the relevance of international centres and regional efforts, some of which could have been distributed between other sections.

The rationale behind Sida/SAREC's current choice of channels is primarily historic and its current composition is evolutionary. From the time it started operating, it found a set of international organizations such as WHO that had a number of research programs on diseases of the poor; the CGIAR system undertaking research on agriculture and natural resources, of relevance to poor countries; the IFS and ISP in Sweden, supporting capacity building for natural sciences; some regional organizations such as CODESRIA supporting social sciences in Africa; FLACSO and CLACSO in Latin America; AIT in Asia in engineering sciences; ICDDR,B in Bangladesh on population health and nutrition, and a few others. It started by providing support to these institutions as a part of its global support for research for development. Another part of its support went directly to countries in the form of bilateral support for research cooperation, almost always to national scientific councils.⁶⁵

The rationale for participation in these well-established institutions emerged out of a perceived (and appropriate and correct) need to participate in major international research institutions and efforts because these do shape many global efforts and they influence and affect country level research and development. The international institutions, such as the CGIAR, WHO, UNRISD, also harmonize with Swedish government development policies and priorities that favor multilateral institutions and Swedish interests in participating in these global efforts.

The major advantage of these relatively large institutions (compared to many regional networks and research organizations based in LMIC:s) stems first from the fact that they are also well organized, with good administrative, managerial, and research processes. They are also relatively well endowed with funds. This tends to produce high quality research, usually with good processes for dissemination of results. There can also be various links to, and partnerships with, users. This improves the utilization of the new knowledge and provides feedback for new research priorities.

A major advantage for SAREC, beyond the reasons mentioned and the fact that they form important blocks in the global architecture for development research, is that these contributions require minimum supervision by SAREC staff because many of the required processes for good research management are in place. They reduce risks of nonperformance and misuse of resources. Many of them are guaranteed sustainability because of their legal status, or their status as high-performance institutions, and often have multiple sources of financing. SAREC policy of providing unrestricted core funding contributes to their long-term sustainability,⁶⁶ and is especially valuable for the smaller institutions such as ICIPE.

The main disadvantage of the international organizations stems from the fact that they are often remote from final users, thus tending to reduce their relevance to and impact on poor countries. They also tend to be high-cost organizations, and sometimes the higher outputs come at a higher cost per output.

Regional research efforts are a more recent phenomenon. They have tremendous potential value⁶⁷ and they come in many different forms. First, they allow country-level disparities in capabilities between cooperating countries to be reduced. Second, they allow for more effective and efficient use of the scarce resources for research as many poor countries devote less than 0.5% of their national income to research. Many activities require a critical mass of effort to function effectively. Pooling of research efforts allows many poor countries to become closer to meeting the critical minimum of inputs required, and it can minimize duplication of efforts in some areas by working on common problems within the region. Third, it can also increase the scale economies of potential outputs by increasing the scope of solutions, new technologies, products, and services, and thus total impact. Finally, there is

⁶⁵ For the evolution of the national programs see the bilateral evaluation.

⁶⁶ Donors differentiate between core versus project funding, with many not providing any core funds. All organizations that are sustainable in the longer term require a minimum of core funding and a balance between core and project funds. Where SAREC provides core support the value of the resources to the recipient organizations is seen to be higher.

⁶⁷ Many additional points are made in Sida Report 99/3, which has additional information on a large number of networks in Africa.

further potential value in that knowledge production globally is an increasingly networked activity, and regional networks can build capacity within poor countries allowing researchers to join global networks. Such alliances and networks can take many forms and involve various types of actors, such as governments, producers, suppliers, universities, and research institutions, in different combinations for different purposes. Regional support by Sida/SAREC can and does take many forms and has different objectives.

The regional research networks supported by SAREC illustrate some of the merits of the regional research effort. All the assessed regional networks in Africa are multifunctional in character and all are engaged, though at different degrees, in networking, education, training, publications and dissemination of their research results. Most of them give grants to different categories of researchers, ranging from junior scholars to postdoctoral work. An important attribute of the African networks is that a number of them, in addition to their regional connections, are simultaneously building upon opportunities for stronger collaboration with institutions in the North, mainly through research collaboration under existing bilateral research cooperation arrangements. This pooling of effort, through collaboration, has proved to be capacity enhancing for many of them, particularly CODESRIA, OSSREA, and AERC. All the analyzed African regional networks also seek to be policy-relevant and, consequently, attempt to influence policy formulation, with varying degrees of success. A few of them have managed to position themselves to be closer to the centre of policy-making. This can be said of CLACSO in Latin America as a whole, and of FLACSO in Central America. They have managed to place themselves as major and influential forces in social sciences research, and in capacity building for critical research in a wide range of social sciences.

A discussion of these networks should not leave the impression that there are no down sides to them. A regional network works best where there is a base of national capacity and resources. A particular problem in all LICs, the target for Sweden and Sida/SAREC, is that their domestic resources, money, trained people, and institutions, are low. In such circumstances, much greater care and attention is required to provide the most appropriate support for such efforts. Knowledge of the local context is critical, so is ongoing involvement in the development of the network/organization/centre. It is especially important in such situations to ensure adequate governance mechanisms, that users or potential users are members of the governance structures, and encourage transparent processes and dissemination of results.

There are examples of support through small funds and grants for smaller and newer institutions to link to centres of excellence. Sida/SAREC has several categories of support precisely to make sure countries with weaker research capacities get a chance to improve. It is important, however, to define these more precisely with the partners, in contribution documents and in periodic evaluations. In a number of evaluations these are not defined and have been left to the evaluators to determine as best as they can, in tightly defined schedules. Such evaluations suffer from several problems – they do not build knowledge, they do not emerge from joint commitments of all partners, and they do not promote ownership.

The detailed cases in 06/40:1 suggest that some better individual choices can be made, but this can only be done in an incremental fashion. Over time, some better-functioning institutions should receive more resources, and the less well-performing ones, less. But this must be done keeping in mind the priority on a problem or issue that needs to be addressed, as well as the region where they need to be addressed.

In the world of development research, knowledge generation and use for the poor, both regional and international research organizations are required and will exist and grow. The question is not whether one channel is inherently better, but what is required for a given problem under a given context. For instance, if many more donors are funding international agencies, and Sweden wishes to have more

direct impact on poor countries and supports that with larger staff, then there could be a rational choice made to shift resources from international to lower-level organizations. Opposite arguments can also be made that the best way to support the poor is through the best quality research that can be undertaken in the best research laboratories⁶⁸. There are some who follow the first choice and others who follow the second. Choices to abandon one channel completely are ultimately political, requiring modifications to goals and objectives, and are not ones of efficiency. This study is not the place for their resolution, but only to restate that this is another example of strategic issues that require ongoing work.

3.3.3 Efficiency

There have been many discussions among the team members and stakeholders in Stockholm on the question: “Is the composition of the current portfolio of contributions efficient?”⁶⁹ Starting with the OECD DAC⁷⁰ definition – Efficiency is a measure of how economically resources/inputs (funds, expertise, time) are converted to results⁷¹. There are two systems whose efficiency is relevant for this evaluation of SAREC. The first is SAREC itself – it uses a certain amount of inputs of time, money, and the expertise of its people (with some support by Sida as a whole), together with the processes of monitoring, evaluation and others, in providing a set of grants to a set of partners. The immediate outputs of SAREC are the grants, each of which is embodied with many additional attributes. One grant may simultaneously contribute to capacity, by providing training, by joint research, by promoting improved governance and management, also contribute to new knowledge, and lead to applications such as in the specific field of high-yielding yam for the East Africa region. Another grant may have all the attributes above, but the location is West Africa. A third may not have any training component and be focused on malaria and on global applications.

Should the cooperation partners then actually deliver the outputs of research papers, trained researchers, or a malaria vaccine, they become the outputs of the intervention. Outcomes of the same intervention could include over time the trained people training others, or producing a manual for measuring mercury pollution, production and delivery of vaccines, as examples. The medium-term impact that is hoped for may include that the trainees, with the manual and many tests done subsequently, demonstrate the level of pollution leading to new pollution control laws or that populations have been vaccinated. The long-term impact could be that the health of the ecosystem and of people was improved.

Efficiency is too often measured by the ratio of administrative costs as a fraction of contributions disbursed⁷². A high efficiency measure often hides low effectiveness. For a truly useful comparison we need baseline data on the costs and outputs, as well as their characteristics, from different channels and themes. These kinds of studies are almost absent at SAREC and other research-funding agencies. This lack provides an example of the types of longer-term studies that are required to support evidence-based strategies and choices to move funds from one set of activities to another.

In this study the sample of development partners studied was 38. Of the organizations sampled, 18 were international and 20 were regional. Seventeen of the international organizations and 13 of the regional organizations are supported by multiple donors, and hence represent some level of global good practice. Most of them are outstanding in their field. That provides one indicator of the fact that it is reasonable to assume that the resources are converted with the best available efficiency into outputs and outcome.

⁶⁸ The choices between two complementary inputs are often spurious ones and must be guarded against. During our interviews a number of people mentioned that many donor agencies are ready to pay for classrooms but not textbooks, or expenditure in primary education but not teacher training. Somehow one is seen as more desirable when both are required.

⁶⁹ This section has been further elaborated upon subsequent to the workshop and demands for greater clarification. This may be required due to cross cultural differences as the Sida Evaluation Manual explains: “Swedish speakers often find the distinction between effectiveness and efficiency confusing” because there is only one word in Swedish for both.

⁷⁰ OECD 2002 Glossary of key terms in Evaluation and Results Based Management, Paris. P. 21.

⁷¹ Sida and OECD define Results as the output OR outcome OR impact. It is much more useful to separate the three. OECD and Sida go on to define outcome as short- to medium-term effects and impacts as longer-term effects.

⁷² For instance the evaluation study of VicRES states that it is efficient as it has low overheads.

There is a very different meaning of efficiency of the portfolio. This we understand to mean something similar to the evaluation of an investment portfolio. This would translate something like: given the objectives of the Swedish Government (presumably representing the taxpayers and the owners of the resources allocated to SAREC), does the composition of the current portfolio maximize the utility function of the government contributions, subject to various constraints on Sida/SAREC. The constraints include rules that must be followed, the staff composition, and adherence to various multilateral agreements. Under this construct, the question is to a large degree hypothetical, because the objective functions and the outputs are not well known. Even if they could be well known, a portfolio meeting multiple objectives can only have a Pareto optimum frontier and no global single optimum. A Pareto optimum point is one where a shift in the portfolio would lead to an increase in one goal at the expense of a reduction in another. Based on the evidence reported in detail in 06/40:1, we find that each and every contribution examined supported multiple objectives of the Swedish Government. In most cases there were no obvious alternatives that would score higher on all the objectives. If such cases had been found, then the Pareto principle would have been violated as the alternative should replace the chosen intervention, and improvements in goals without a decrease in any would be achieved. Based on that, it can be said that the portfolio is Pareto efficient.

There is scope, however, for a number of small but significant shifts in the composition of the portfolio, that may be worth further examination than can be done here. One example would be the possibility of reducing funding to the international health institutions by a small percentage, and increasing that for the regional institutions identified, and possibly supporting new regional efforts. Similarly, some of the capacity building in some of the basic sciences can be done through tripartite arrangements between one or more LICs to partner with a LMIC with considerable research capacity. For example, AIT in Thailand could be chosen, instead of, or with reduced expenditures in, Swedish and international institutes. These are small examples and none of them come without a cost in some dimension or to some partner institution.

Such shifts may, however, not always be shifts governed by efficiency as the main indicator, but by the national or regional ownership of a program. One example of that may be the BIO-EARN project (see 06/40:1), which has been administered from SEI but where the East African partners from 2006 will be fully responsible for running the project. The country ownership can increase costs in the development and support for additional governance and management requirements (where capacity may also need to be built). Thus improvements on one objective can result in decreased efficiency when the output is divided by the input costs. This could still be prioritized, however, because it supports additional objectives. Building these additional capacities requires higher inputs from SAREC in terms of engagement of staff and learning more about the problem, the research and the local context.

There are some large policy choices that can be examined further and that affect the portfolio of Sida/SAREC. One of them is the amount and type of support to be provided to CGIAR institutions. For example, in Canada, CIDA, the general development agency, funds the core budget of these research institutions, and IDRC supports specific research components. In Germany, support is provided by three different institutions. The total support provided to CGIAR by Sweden is considerably smaller than that provided by many other countries. In several CGIAR institutions, Swedish contributions rank between 8th and 10th, and account for between 1 and 3% of the total budget. For others it is up to 10% and Sweden is the largest donor (for instance to ICRAF and ILRI, both in Africa). Several Swedish scientists have suggested that there are reasons for higher involvement of Sweden with the CGIAR, given the decline in domestic research in agriculture and the likely increasing needs for agricultural research with climate change⁷³. But all of these are beyond the scope of this review and they also go well beyond the decisions that should be made within SAREC but require wider consultations.

⁷³ Similar views have been expressed in UK research reviews as well. And IRRI is doing some path breaking research on the production of rice in response to the possible changes to the climate.

3.3.4 Effectiveness

Effectiveness is a more complex measure than efficiency. In assessing the effectiveness of Swedish support to regional and subregional research networks, we return to the overall objective of Swedish development cooperation, namely, to create conditions for poor people to improve their living conditions. This objective clearly indicates that it is the people themselves who should be the main actors in driving development. But for people to do this meaningfully, they need knowledge to analyze development problems, to identify constraints and opportunities, to consider various available options and making informed choices, and to continuously assess progress and shortcomings and making necessary changes and adjustments. In this regard, Sida's research cooperation is directed to empowering poor people and poor countries by creating conditions for acquiring and utilizing knowledge for development. Support to research is underpinned by the twin perspectives of Sweden's Policy for Global Development – the perspectives of the poor and the human rights perspective. The Swedish strategy is to achieve the empowering of people with knowledge through the development of research and research capacity in developing countries and regions.

To achieve the strategy of the development of research capacity and the generation and utilization of knowledge, Sida/SAREC gives primacy to strengthening national capacity for research (postgraduate studies, development of higher education and research policy, development of management capacity in higher education, and provision of research infrastructure such as libraries, laboratories, IT systems, and research funds). The thematic programs provide complementary “architecture” with the regional and subregional research networks and organizations often working to support research, training, and networking, and global research that targets common problems and challenges faced by LMIC:s. This includes support through WHO and the UN system. Separately, a large percentage of the thematic programs, especially the international centres, support the additional objectives of global public goods.

In assessing *effectiveness*, there is the need to determine the degree to which not only are resources used prudently but, more importantly, whether the stated objectives themselves were, in the first place, appropriate for achieving positive results. At this level, positive results go beyond the realization of outputs to include the actual outcomes (i.e. the fulfilment of the anticipated results). In other words, when one assesses the effectiveness of a given intervention, it is important to take stock of both the efficiency gains and, more importantly, the extent to which the desired impact has been realized⁷⁴. While quite reliable methodologies are available to address relatively simple input-output linkages, the measurement of development outcomes and development results is very problematic.⁷⁵

In general the quality of research outputs from the international and the well-established regional organizations is high. For example, in the health sciences, many significant outputs have emerged from the various international programs supported, which have translated into improved health for the poor. They cover a broad range: new management modalities for health problems (e.g., malaria, leprosy, onchocerciasis, diarrheal diseases, integrated management of the sick child) and preventive interventions (e.g., against unsafe abortions, use of microbicides, new and improved vaccines). International and large regional organizations also tend to have reasonably good mechanisms for the dissemination of research results. CGIAR centres often have fairly good mechanisms for the transfer of research results to national agencies for the ultimate adoption of research results.

A well-established regional institution can provide many (but not all) of the advantages of international organizations, and also provide greater opportunity for local ownership. For example, ICDDR,B is

⁷⁴ The difficulty of measuring impact is a major area of ongoing research and is confirmed by a number of studies. This is not to say that there are no impacts, but that they are often diffuse, cumulative over long periods of time, and difficult (not impossible) to attribute to specific inputs and outputs. This means that in a quick study of a vast range of materials, themes, organizations and activities, much has to be inferred and interpreted.

⁷⁵ This was emphasised as early as 1968 by Albert Hirschmann in his seminal study 'Development Projects Observed'. See: Hirschman, A.O., 1968, Development Projects Observed. Brookings Institute, Washington, D.C.

strongly supported by the Government of Bangladesh and there has been continuing partnership with national policymakers and program managers.⁷⁶ The evolution and other positive features of ICDDR,B are described in 06/40:1.

In the same vein, one can derive some important inferences on the ‘possible’ positive impact of some of the African institutions examined in terms of their effectiveness. From the analysis, two networks seem to stand out as providing great opportunities for effective discharge of their mandates. These are AERC and CODESRIA. With its principal objective of “strengthen[ing] local capacity for conducting independent, rigorous inquiry into problems pertinent to the management of economies in sub-Saharan Africa,” AERC has managed to put in place a structure and operational environment that has allowed for truly independent training and research activity. All this happens within its threefold mandate that focuses on (a) enhancing the capacity of locally based researchers to conduct policy-relevant economic inquiry; (b) promoting retention of such capacity; and (c) encouraging its application in the policy context. As a networking organization, AERC has also managed to bring together many regional bodies and, in the process, has succeeded in linking individuals and institutions in a knowledge-sharing framework. Furthermore, the AERC Training Programme has brought together a network of 27 universities in 20 countries in a collaborative approach to both masters and doctoral-level training.

AERC⁷⁷ started in 1989 with a focus on supporting and improving economic research for policy purposes with the view that independent and rigorous research into the problems of the economies of sub-Saharan Africa by local people was required and essential to improve the economic performance and alleviate poverty. It has contributed to the development of many poverty reduction strategies, and researchers from the network occupy key policy positions in African governments. After a period of supporting high-quality research AERC determined that there was a major gap in good teaching programs at the graduate level. It has set up formal training programs in partnership with 21 African universities in 16 countries⁷⁸, and of these only seven universities can teach on the program. The program started with an intake of 58 students in 1993, and the latest intake was 140 in 2004, and 1200 students have graduated. It has now begun a collaborative doctoral program with eight teaching node universities and a goal to graduate 400 doctoral students in 15 years⁷⁹. Not only is the quality of research good, so is capacity development and the outputs are at a scale that is relevant to the needs.

With respect to CODESRIA, its research program has provided an important platform for social scientists in Africa to undertake policy-relevant research, and as a consequence, influence policy on the continent. The wide array of CODESRIA:s core research activities is structured around, and organized into, the national, multinational, and transnational working groups as well as the comparative research networks. CODESRIA:s networking function is enhanced by its collaborative research projects that are undertaken in cooperation with other research organizations within and/or outside Africa.

Notwithstanding the above positive developments, the effectiveness of Sida/SAREC support to regional research networks in Africa has to be considered while taking into account the role of other donors, numbering more than 20. The challenge for effective coordination among the donors and agencies supporting research is real, as is the need to strategically link bilateral and regional support to research to achieve synergy and complementarities. Moreover, there have been several regional initiatives that are emerging and which promise to impact positively on the development of research and research

⁷⁶ It must be noted here that the creation of well functioning organizations, from the ground up, when they are missing altogether, is not a simple exercise but is one of high risk and high failure rates. Several other regional organizations have been created in Bangladesh, in Asia, Africa, and Latin America, and they have not done well.

⁷⁷ A longer note on AERC is provided here only to illustrate that networks and institutions are not static. The best continue to evolve based on experience, context and needs. This means judging success and effectiveness based on static templates as in LFA can be misleading.

⁷⁸ This excludes South Africa and Nigeria which have the requisite capacity.

⁷⁹ AERC undertook a study before the launch of the program to determine status and needs. It found that in 1995 there was an annual output of 15 PhDs from the countries and an estimated need for 150 per year.

capacity on the continent, particularly through the New Partnership for African Development (NEPAD). In this respect, Sida/SAREC collaboration with other donors, as well as with other emerging regional and subregional partners, seems to be desirable.

In the case of support for social sciences research and higher education networks in Latin America, Sida/SAREC has recently become the supporter of CLACSO and FLACSO in Central America, as well as for the environmental economics program at CATIE. This has given Sida/SAREC, and Sweden in general, the potential to actively engage with social scientists in the region, and to draw from their work, experiences and insights to support research in other developing regions and in Sweden. At present there is an active exchange program between CLACSO and CODESRIA, which could be expanded to other regions.

The international and larger regional organizations tend to have reasonably good mechanisms for the dissemination of research results. The CGIAR institutions often have effective mechanisms for the transfer of research results to national agencies for the ultimate adoption of research results. This is also true of AERC and CODESRIA, operating in different areas and in very different governance structures.

In almost all cases they do provide useful impact on their closest partners, who are usually other researchers, often from LMIC:s. Thus they have important positive effects in terms of improved research capacity of the individuals and institutions that participate in the research. As stated earlier, good global research always has a tension in matching the needs of LICs, and also of improving LIC capacity. Often the capacity is so low that the country is excluded from these networks, unless there are special measures in place such as SAREC often attempts through linkages. For example, good research process requires competition among researchers, and more often those from high capacity LMIC:s or UICs tend to do better in competitive processes. A minimum level of national capacity is required for LICs to compete effectively.

Other ways to demonstrate effectiveness is where supported institutions draw in new Swedish partners and where the funding is contributing to strategic research. This is seen in the cooperation under the new FORMAS program in the CGIAR system. Under this program Swedish scientists and scientists from LMIC:s work together in Sweden and at the African (or Latin American or Asian) institute in a 'sandwich-model', which provides for a broadened perspective. For example, some of the training courses at the International Livestock Research Institute (ILRI) are constructed as 'sandwich-type' courses, where Sweden and the Swedish University for Agriculture (SLU), provide at least one of the 'layers.'

Some of the regional programs provide a useful role in bridging with international programs and many have special funds, allocated by donors such as Sida/SAREC, for special attention to specific poor country problems or poor country researchers and policymakers. We have already noted the highly positive and effective role played by ICDDR,B, AERC, and CODESRIA. In the social sciences in Latin America, we have noted positively the useful roles and effectiveness of CLACSO and FLACSO, which also provide Sweden an excellent opportunity for small expansion into Latin America. Smaller efforts (and also less effective in magnitude, although it is not known if they are less effective per unit SEK of resources) in Africa in the social sciences include ATPS and OSSREA.

In conclusion the team strongly believes that the portfolio of contributions has been both efficient and effective, based on the interviews, the cases, and also broad benchmarks of other international organizations and their practices.

The team, however, also believes that there are many issues that need attention as the global and developing country context is changing rapidly and in a more profound manner than before. These changes refer to the impacts of globalization and the changes in Swedish development policies, the global context for development assistance, and the increased global influence on Sweden since becoming a member of the EU. There have also been major changes in the processes for the generation

of knowledge, the conduct of scientific and technological research, the impacts from the digital revolution, and our understanding of the interactions between all knowledge. The latter includes science, technology, and their application and use for development that is encapsulated in the idea of “innovation systems.” Sida/SAREC operations have also been changing over time. It has evolved and changed its style of operation to suit changing conditions and as a result of learning processes. But greater and more rapid adjustments are required for it to remain effective.

3.4 Processes and Management of SAREC

The outputs⁸⁰ of a knowledge and capacity building organization such as Sida/SAREC depend primarily on three complementary sets of resources: the financial resources made available to it for achieving goals and objectives; the people to achieve these; and the systems and processes (including governance) that are required by the government and used within Sida, and supplemented (or not) by SAREC for its unique purposes together with the management of these resources. The efficiency of the organization depends primarily on how the last set is able to utilize the first two to achieve the goals and objectives⁸¹.

3.4.1 Processes

The principal resource allocation modalities at an overall level have been, first, to provide the allocations for financial support through bilateral research⁸² cooperation (for approximately 14 countries and to a small number of developing countries and some national research institutions and projects). This is in keeping with the priority allocated by management of this program for building local capacity. Second broad allocation choices are made to the international research organizations working on problems relevant to development; and third, to regional research networks⁸³. Within this broad framework, each proposal from an eligible organization is logged, and is then followed up ending with a decision for approval, modifications, or rejection. Approximately 80% of resources in a given year go for the continuation of previously approved projects and programs⁸⁴. This leads to a relatively stable portfolio of organizations with small changes over the years in the portfolio of partner organizations. Of course, it should be noted that the activities that are supported often change and evolve to meet new needs.

The flow process from an idea or proposal to its approval is illustrated in Chart 2.

⁸⁰ The potential outcomes and longer-term impacts depend in addition on the behaviour and performance of multiple other agents – research organizations, universities, implementing agencies, and ministries and governments.

⁸¹ This section is one area where the boundaries of focus for this assessment create some difficulties, remarked upon in the methodology section. While the financial allocations for the overall thematic programs are known within a range of accuracy of 15%, the staff, the processes, governance and management issues cannot be neatly separated between the different programs of SAREC and there is also a separate study on the management of SAREC undertaken in parallel. The findings and comments made here must be read in conjunction with the other study and with the caveat that some processes and controls are common to all activities of SAREC and many others are common to Sida as a whole.

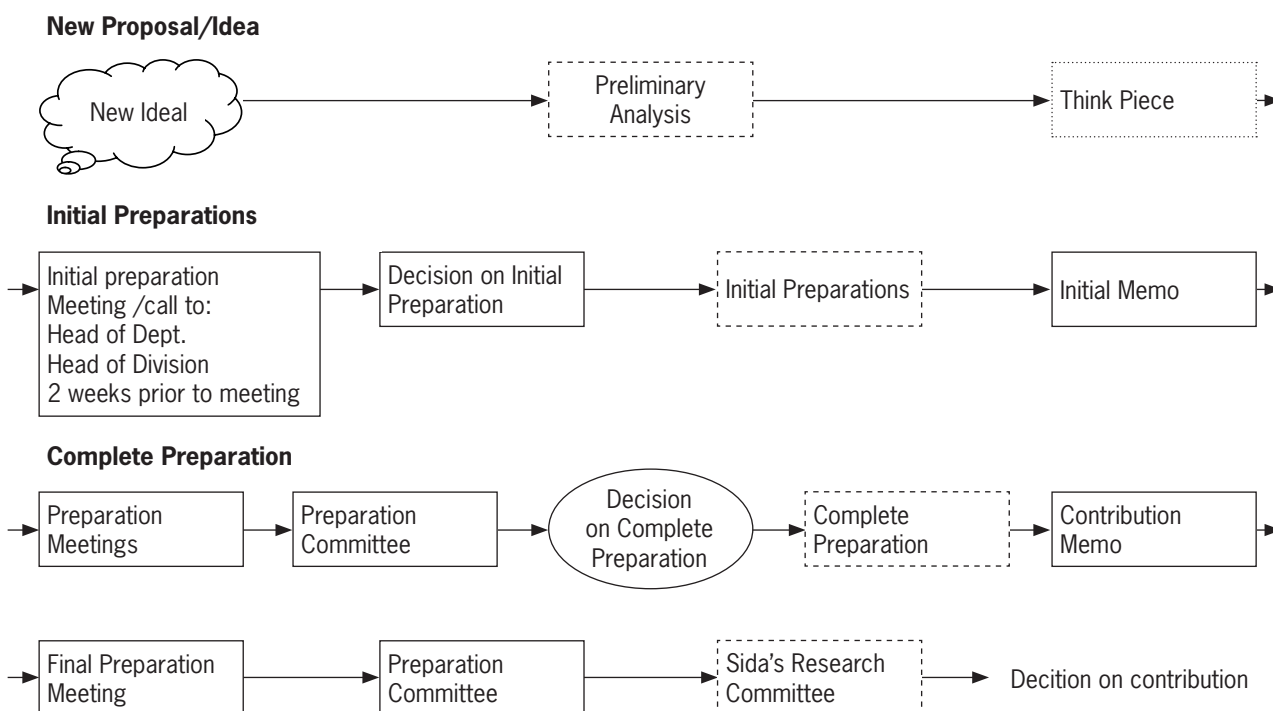
⁸² For a more detailed discussion of the bilateral program see Boeren et al. Sida/SAREC Bilateral research cooperation: Lessons learned, 9 August 2006.

⁸³ There is a significant allocation of resources to Swedish institutions, primarily in a support capacity to the above two activities and to the international program of IFS and ISP. This is different and in addition to the two Swedish focused programs mentioned in 2.3.3.2.

⁸⁴ This was stated but due to data issues discussed in section 1 the figure cannot be substantiated. But in general the portfolio of supported institutions changes very slowly.

Chart 2: Diagram of decision-making regarding the launching of a new contribution by SAREC.

*Example from the Health Group
Presumed common across SAREC*



For research cooperation within the thematic programs, with international and regional organizations (and for support to Swedish researchers through the Sida Development Research Council and Swedish research links) the final approval is done by the SAREC Research Committee. The Committee has eleven members, two from Sida, the Director of SAREC, and a person from the Policy department; and it has nine other members all representing the university research community in Sweden. It is notable that there are no representatives from developing countries, either researchers or policymakers, especially since the importance of stakeholder participation in governance is increasingly recognized. Beyond the above process flow chart for contributions, the process flow and approvals of the bilateral activities have a different character altogether and will not be discussed here.

Often when a new idea or a new institution unfamiliar to SAREC is being funded, the funds are provided for a one-year (sometimes two-year) trial period and/or for a pilot or test phase. This is one additional mechanism for prudent risk management. After a trial period, SAREC tends to support programs and institutions for quite long periods. Many institutions in the thematic programs, such as IFS, ISP, CGIAR, and CODESRIA, have been continuously supported throughout the existence of SAREC. But in almost all cases of continuing support the agreement is often for a three-year period, but usually within a framework for long-term support.

In almost all cases the end of the contribution agreement triggers an evaluation or review of some kind⁸⁵. Shifts in emphasis or increase (or decrease) in contributions are a result of reviews and evalua-

⁸⁵ Two main kinds of reviews were noted. The first is called an evaluation and is usually available on the Sida web site. The second is called a management audit and is not usually on public display. In theory the first is supposed to be broader and usually does not touch on financial management. The second is designed to be narrower, and focuses more on the management of the resources. A small number of management audits were reviewed for the sample projects. In general they were seen to cover not only the management of inputs but also more often the links between inputs and planned outputs. Often they seemed to provide better information on project issues but some of their larger judgments appeared more tenuous.

tions. Sometimes the shifts are first requested by the partner and then confirmed or checked by independent reviews. At other times it is requested by staff because of concerns or to check a policy shift. These processes have led to closing down the support to four organizations in the STI thematic area during 2000–05. In the Natural Resources area support to a Chilean organization was ended and a new organization in Sri Lanka received support and support to two networks in Uruguay and Argentina was removed. These shifts would be on the grounds of reducing support to higher-income countries and transferring resources to poorer countries. A number of networks in Africa were also removed from the partner list because of poor results. On the whole, between 2000 and 2005, 27 organizations were dropped from the partner list and four were added⁸⁶.

Many of the international and regional programs⁸⁷ are funded by multiple donors, some by as many as 40 to 50 different countries and organizations, as in the case of IRRI, although coordination with three to five donors is quite common in these programs. In almost all of these multi-donor supported institutions and programs, there is the common practice of a single evaluation. These are often regularly scheduled but sometimes are irregular, generally within 3–6-year periods. Unfortunately, when Sida is not the primary sponsor, the evaluation reports are not always available on the Sida website. This led to an initial impression from the sample of evaluations collected for the period that there should be an increased frequency of evaluations. But when the external evaluations are taken into account and also the management audits, the frequency of formal monitoring appears suitable, and the contributions been critically evaluated at reasonable intervals to ensure that they are used for the purposes intended.

3.4.2 Corruption

Governments that contribute funds must be able to ensure that hard-earned taxpayer funds are not being wasted through inefficiency, incompetence, or corruption. Gross inefficiency, incompetence, and corruption make for good stories and are difficult to justify (nor should they be justified). The processes described above for the design, approval, and follow-up of individual contributions in the previous section are in the main appropriate. There appear to be clear financial accountability and lines of responsibility for the use of resources by Sida/SAREC partners.

During the time frame of this evaluation two cases of mismanagement of funds by SAREC partner institutions were reported to the team by Sida. As one organization selected as a sample was being audited at the time, it was not followed up in this review. Among the sample of 38 organizations visited there is one case where there are concerns regarding the potentially inefficient use of resources. This had been highlighted in a SAREC management audit and a more detailed audit is in progress during the period of this review.

Responses to corruption problems have been clear, although possibly, improved internal processes can speed up some of these. It must be noted that serious mismanagement of funds is relevant in only a few cases. These are more likely in smaller and newer network initiatives, and, in weaker institutional settings, sometimes where SAREC has taken the initiative to create a new program or network. The problems, however small, are shifting SAREC to be more risk-averse, and to favour new initiatives within established organizations or networks with a broad financial basis rather than the creation of new structures. But these more risky initiatives have been taken precisely because of perceived urgency and the lack of suitable organizational structures to tackle the relevant issue. Care is needed to ensure that a move away from supporting any new networks does not hamper meeting the identified needs most appropriately.

⁸⁶ SAREC Annual Reports.

⁸⁷ Over three-quarters of the partner organizations reviewed are funded by multiple donors. But the sample was deliberately biased toward the larger institutions and contributions at the request of the evaluation office, and the ratio for all contributions should be lower.

The stakeholders consulted approved the processes within SAREC in general. They found the process useful and that it allowed for sufficient flexibility to design appropriate and relevant research programs keeping the research and the user context in mind, and at the same time, marrying these to the higher-level goals and objectives set by the government and followed by SAREC.

3.4.3 Linking Top-Down Development Goals with Bottom-Up Research Support

The Swedish Policy for Development provides the overall framework for all development assistance activities, including research. Its general provisions are sometimes made more specific through directives from the government, such as the examples to increase support for HIV/AIDS research or for democratic development. This top-down priority setting process gives guidance to Sida/SAREC.

This is then matched to initiatives emerging from partner organizations. In general, Sida/SAREC processes endeavour to encourage the incorporation of specific concerns and institutions of LMIC:s in the design and execution of these efforts. A number of regional networks supported stem from the translation of policy-directed goals and objectives into locally owned programs of research and capacity building. Sida/SAREC staff manage and arbitrate between competing demands to build up the program and project portfolio in a given year.

The philosophy in SAREC is strongly embedded on the principle that LMIC:s should define their own priorities and programs and they should be in the “driver’s seat.” In general, Sida /SAREC programs are more demand-driven (by researchers and their organizations) than those of many other donors who tend to specify the topics of research in more detail. Although SAREC also works to meet Swedish policy directives to support areas and issues of priority, determined from time to time, it works through various mechanisms so that these broad priorities are “localized” through consultations, regional networks, and participation, leading to greater local ownership. In general, Sida/SAREC has a reputation that its staff respects the autonomy of supported institutions and is more careful than many other donors to avoid “heavy-handed” use of such potential influence. It works under the premise that there is a need for a minimum “architecture” for research and knowledge generation in the poor countries, which is a first priority and these must be linked to the global pool of knowledge through appropriate links through and with regional and international institutions.

Academic and research excellence is one of the main guiding principles to provide support to programs and grantees. Although acknowledging that scientists in poor developing countries face difficult conditions, Sida/SAREC does not believe that is an excuse for supporting “bad science.” In general, the scientific quality of the contributions is sustained through the use of peer review and open competitive processes.

Sida/SAREC provides long-term support, usually for a decade or more, to ensure that research capacity is created and development problems adequately addressed through knowledge generation. In addition, programs focus on institutions (usually universities), not on projects or individual researchers. Sida/SAREC usually provides relatively large amounts of core funds, often complemented with smaller amounts of program-oriented resources. It also varies the ways that core resources are provided and used (e.g. without specifying their use at all, earmarked for research activities, with complete or partial fungibility, complemented or not with program-oriented funds, used by the grantee to give small and medium size grants to other recipients, and so on) based on institutional assessment. There is a need for a careful examination of the experience Sida/SAREC has had with these various manifestations and features of core support to draw lessons for future support in Africa and for following the Paris Agenda.

Longer term core support can both increase and decrease the potential for leverage and its potential influence on the activities of recipients. In some cases where its support is critical, it increases the leverage, and in other cases where this support is a very small percentage, intellectual inputs can be more important. These features combine to produce resource allocation patterns by theme, institution, and region, which change slowly over time as has been discussed.

Some of the shifts in the organizations supported in 2000 and 2005 are a result of responses to Swedish policies. Several organizations supported in Zimbabwe disappeared from the list of partner organizations during the period under review in keeping with government policy.

The review therefore concludes that the processes of follow-up – control, monitoring and evaluation – do ensure that the contributions are effective and that they follow the objectives of the government and other internationally agreed goals. They appear to be weaker with regard to follow-up on the adoption of research results and their transfer to the users of research results.

3.4.4 Directions for improvement

The review of documents and interviews suggested several areas that require attention. There are some small problems (though large for some recipients, especially the smaller organizations but even for some well-established ones) in administrative issues, which results in rather long delays in the transfer of funds to recipients, beyond the agreed schedule. This is exacerbated sometimes by holiday schedules (e.g., when payments are due in July or August), and can be reduced in many cases by different schedules.

Many other comments on processes are aimed at issues that currently reduce effectiveness, and can improve effectiveness even though it is hard to quantitatively measure the effectiveness of research for development. Monitoring and evaluation activities need to be strengthened. There is a large number of project and program evaluations, but there has been limited attention to outcomes and impacts, and to strategic issues. There are also serious shortcomings in monitoring of “knowledge” and “capacity” on the ground, largely because of the limited number of staff. In addition, it is important to ensure access by the ultimate beneficiaries of the programs supported by Sida/SAREC through improved dissemination. Although capacity building is important in itself, there is also the need to think of who will benefit from the existence of capabilities to conduct scientific research in poor countries.

There is a need to clarify exit criteria, strategies, and procedures. Sida/SAREC has in some cases exited from supporting certain programs (because they were not producing results, because they achieved what they set out to do, because of corruption issues, or because they outlived their usefulness, among other reasons). These strategies must be clearly communicated to all stakeholders and recipients and not come as a surprise.

There is little linkage between applied work, with needs on the ground falling between support by SAREC and support by Sida. This is due to weak cooperation/coordination between larger investments in development services and infrastructure, with the knowledge and capacity building components. In general, the focus on research capacity building at the national level in LMIC:s has displaced the question of utilization of research results to a second plane⁸⁸. There is the need to begin focusing on the broader question of “systems of innovation” at the national level, which take into account the use of research results and complementary inputs. Senior managers are thinking about this issue and beginning to explore ways to address it. Possible increases in resources allocated to development assistance, and to Sida/SAREC programs, may provide an opportunity to explore this in the next few years.

Complementarities between bilateral, regional and thematic, international, and Swedish programs are an important element of SAREC thinking, but executed unevenly. Positive examples include the demographic surveillance sites in the INDEPTH Network supported by SAREC that includes sites supported by the bilateral research program, e.g. those in Butajira, Ethiopia, the Filabavi field site in Vietnam, and the Matlab field site in Bangladesh. The Special Programme on HIV/AIDS Research recognized the 20-years of bilateral research cooperation with Tanzania and Swedish scientists, and is

⁸⁸ Again there have to be caveats – a number of regional networks in the social sciences have made significant effort toward the utilization of research results by policymakers. Other examples can be found in agriculture and health. This is a statement that is applicable to the tendency in the portfolio and while supported by documents individual contributions are not discussed here. It is important to acknowledge excellent individual efforts, by staff and by supported organisations, many of which have been remarked upon in 06/40:1.

currently supporting R&D on a promising Swedish HIV/AIDS vaccine candidate now undergoing Phase I/II clinical trials in these two countries. The case of one successful bilateral research support program that has grown to be a regional network has been noted earlier. However, these appear to have been notable exceptions, and these linkages need to be addressed more systematically. There seems to be too little connection between these different sets of programs⁸⁹. In particular, there seems to be a need to focus on increasing the articulation between national and regional and thematic programs.

Complex emerging and often contentious issues have not been adequately and systematically addressed in Sida/SAREC support for regional and thematic and international programs. These issues include: the role of intellectual property rights in promoting or inhibiting developing country innovation capacity as a policy issue⁹⁰; the role of GMOs⁹¹; the impacts of different modes of research support; linking donor support to national plans for research⁹²; teaching; and science applications and innovations. This does not mean that there is no effort or appreciation within SAREC and by individuals, and within specific contributions. For instance, ethical issues are clearly addressed in health research support, and there is beginning to be a stronger move to look at “macro” issues such as health research systems and their management. IP issues are also being considered by the CGIAR institutions. The emphasis here is that there is a lack of consistent and systematic effort. This underscores the need for more strategic thinking regarding the implications of Sida/SAREC support for research in developing countries in general, and for regional/thematic programs in particular.

Research capacity building must ultimately be tested by the use of the capacity and knowledge for solving problems and improving lives. SAREC has consistently kept this as an objective. In health sciences, SAREC has strongly supported programs that support translation of health research into policy, for example, the Alliance on Health Policy and Systems Research. In fact, it has encouraged the development of a “special program” on health policy and systems research in order to accelerate initiatives toward strengthened research utilizations in national health programs. In social sciences AERC provides a good example of an applications focus for improving country economic policies with capacity improvement. CODESRIA, CLACSO and FLACSO provide alternate and complementary models for the use of social science capacity, and knowledge for social development, through providing space for independent and critical thought. But there is much more that can and should be done starting with expanding its core objective statement consistently to incorporate the use of knowledge.

There have been several efforts and they have been noted at several places where SAREC has been making efforts in these directions. This includes a shift in attention from specific projects to broader programs in Sida/SAREC during the last 5–6 years. This is the result of a joint learning process between recipients and Sida/SAREC staff. There is also wider interest in the donor community to build research capacities in science, technology, and innovation policies in developing countries and hence to grapple with the issues that have been raised here.

3.4.5 Thematic issues and gaps

In general the thematic issues covered by SAREC do represent many of the key issues for developing countries, the poorer countries, and for poor people. Themes/issues of gender appear to be well covered. The plans, reports, and evaluations almost invariably provide information on the participation of people, disaggregated by gender in all research activities supported by Sida/SAREC. These reports suggest an excellent degree of awareness of gender disparities. In these reports in many cases there is a

⁸⁹ Our comment here is from an examination of the thematic research supported and the same finding is made from the review of the bilateral programs. See Boren et al. piii.

⁹⁰ IP issues in agriculture have been a priority within CGIAR, and SAREC is represented in the Genetic Resources Policy Committee of CGIAR and made specific contributions toward elements affecting agriculture.

⁹¹ GMOs are addressed within the BIOEARN project and its policy document for Uganda.

⁹² Sida/SAREC has been in the lead, and remains alone among donors, to think of national capacities through bilateral programs for poor countries.

high degree of gender equality in participation rates and improvement over time. There are some cases where participation remains highly disproportionate, but again in most of them they reflect larger issues and facts of gender-based inequalities of access that are often beyond specific project measures. More attention could be directed to research in democracy, participation, conflict, and violence, given their increasing importance.

Climate change, both mitigation and adaptation, other environment and energy issues, and energy as a critical input for the poor to improve their lives, represent a set of extremely complex issues that require attention both in rich and poor countries. Also issues related to fresh water, identified as an area of growing shortages and conflict, and deemed to be a priority for Sida is an important area for research. Both of these are large, complex, and critical. There have been modest efforts by Sida/SAREC but these are not commensurate with the requirements.

Additional emphasis on health systems is warranted. There is increasing participation of the local, regional, and private sector organizations and NGOs, in issues of both development and development research. The field of health research has been radically transformed in the past decade, with a plethora of new product-development partnerships, involving multiple stakeholders that include the private sector.⁹³ Many NGOs such as Médecins Sans Frontières (MSF)⁹⁴ have moved from providing services to supporting research and public policy. One of the biggest changes in health research in the past decade has been the increasing influence of philanthropies such as the Bill & Melinda Gates Foundation, now providing annual grants totalling USD1.5 billion and expected to double in the next 2 years. These changes demand at a minimum increased attention to, and awareness of, the changing context for development research, the potential for new partners and competitors, and broader strategic issues. They are likely to require significant adjustments in the way Sida/SAREC operates, if it is to continue to achieve its main objectives and perform its functions in the vastly changed context of the first decades of the 21st century.

With limitations in budgets and staff, this review cannot keep recommending new activities be taken up. These are therefore left for management and for the Government of Sweden to consider over time.

3.4.6 Staff

People are the most valuable resource in a knowledge-generating and support organization such as SAREC, and are a key element of any process for developing and managing the portfolio. Fortunately SAREC has a dedicated, hard-working and professional staff. They have been doing a commendable job under highly challenging circumstances. Unfortunately, the view that knowledgeable and experienced people are a complementary resource to financial resources does not seem to be widely shared as there is a disconnect between the two in the case of SAREC.

Between 1998 and 2005 the contributions made by SAREC toward research support almost doubled (see Table 1, Annex 4). In response to the growth, in 1998 SAREC was allocated five additional staff to keep up with the volume of funding. Subsequently government decrees toward administrative savings, or efficiency, removed three of the five allocated positions. Thus between 1998 and 2005 Sida SAREC staff grew from 41 to 43, while the budget increased from 463 to 867 million SEK.

A second indicator was used to examine the ratio of staff to financial resources by using a rough benchmark of Sida/SAREC with six other agencies. This suggested that Sida/SAREC has major

⁹³ Sida/SAREC is supporting four of these initiatives. See Annex for details.

⁹⁴ MSF, which traditionally provided emergency medical assistance to people in conflict situations in more than 70 countries, has joined five private and public sector partners in a Drugs for Neglected Diseases Initiative (DNDI) with a target of USD250 million to develop medicines against tropical diseases such as sleeping sickness, largely neglected by drug companies. Six founding partners in DNDI include MSF, Oswaldo Cruz Foundation/Fiocruz (Brazil), Indian Council of Medical Research (India), Institut Pasteur (France), Ministry of Health (Malaysia), and Kenya Medical Research Institute (Kenya). See <http://www.dndi.org/index.asp>.

staffing constraints. The number of staff is much smaller than comparable organizations in Sweden, Canada, and UK in terms of annual disbursements. The ratio between financial resources to number of staff supports a much higher allocation for people in comparable organizations (see Table 9).

Table 9: Comparison of SAREC:s ratio of staff and budget with four other institutions.

	SAREC	Sida	Swedish Res. Council	VINNOVA	IDRC	Rockefeller Foundation
Year	2005	2004	2005	2005–2006	2005 2004	
Total grants given (M SEK)	847	b 12000	2520	g 1100	j 986	914.3 m
Total staff	43	c 863	e 183	h 192	k 425	186
Ratio Grants/ Total staff	20	13.9	13.8	5.7	2.3	4.9

Sources: (b–c): SAREC Internal tables 2006 given to evaluators; (e): Sida Annual Report 2004 p.147; (g): “Swedish research Main Financing Bodies”; (h): Swedish Research Council website; (i): A driving force for growth – VINNOVA 2005; (k): VINNOVA website; (l) IDRC Annual Report 2004–5, C\$145.6 million; and (m): Rockefeller Foundation Annual Report 2004.

It is noteworthy that in this slightly crude exercise, the allocation of funds per staff person is highest at Sida/SAREC. It is surprisingly higher than even for Sida as a whole, given that the bulk of Sida support should be in simpler categories of expenditure than for Sida/SAREC and that many new modalities for aid disbursement, such as budget support, should reduce the ratio of staff to contributions⁹⁵. A study of staff to research budget allocations for DFID and UK institutions⁹⁶ shows that these ratios are slightly worse for DFID than for Sida/SAREC. Again, the ratios for five UK research grant-giving institutions were at about similar levels as for the two Swedish Research Councils above.

In discussions with the Swedish Research Council and with VINNOVA, both estimated that Sida/SAREC should have at least 50% more staff per unit of research allocation as its tasks are more complicated than for the councils working in Sweden alone. The shortage in staff leads to several comments such as “that there is no one at SAREC to talk to.” In one case the recipient did not know whom to contact; another mentioned that “instead of a valued professional interlocutor, we get a benevolent administrator,” and another that they “want to know what does Sida/SAREC need from us to continue helping us?” Nevertheless, all interviewees emphasized that it is engagement and not more paperwork that they seek.

There is a need for valid interlocutors that would overcome the high rotation of program officers with whom recipients interact. High rotation results in a loss of institutional memory for Sida/SAREC and requires time for new program officers to learn the background, current situation, and future objectives of the programs they supervise. This creates uncertainty and prevents meaningful interactions on the content of the programs and projects.

Program officers work in relative isolation from each other, partly due to their heavy workload, and partly due to the management style. In addition, Sida/SAREC lacks an adequate information technology platform that could help in retrieving past records and facilitate communications. This exacerbates the problems of internal communication and of interactions with recipients⁹⁷.

Sida/SAREC has almost no field-based staff⁹⁸, which limits its programming, monitoring, and evaluation activities to incorporate the context to the degree desirable. There is a need to explore innovative

⁹⁵ This is a rough indicator, and does not account for central functions undertaken in Sida that support Sida/SAREC. The organizational study of Sida/SAREC would possibly comment on this issue.

⁹⁶ See Silvia Anton and Jonathan Grant, Review of the Department for International Development’s role in the national research effort, August 2003, RED-03109-01. We also understand from several discussions that the situation for Denmark and Norway is worse than for Sida/SAREC. This small sample suggests a lower priority accorded to research for development than research for domestic purposes. This would be normally expected but does not keep up with the new commitments to mobilize and align all national instruments to make international development support more effective.

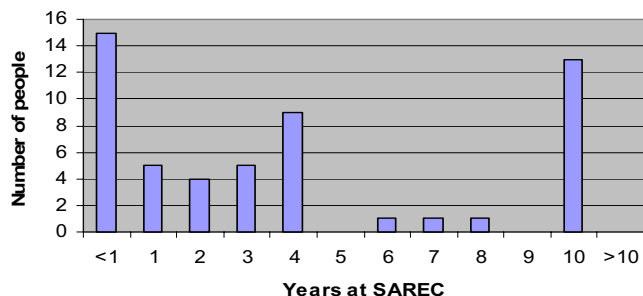
⁹⁷ And with the evaluation team.

⁹⁸ The review team is unaware of the location of field-based staff but has been assured that they exist.

arrangements to increase the field presence of Sida/SAREC. This could include small numbers in key locations, increased agreements with possible Sida staff as appropriate, and possible other modes such as agreement with partners, to use their scientific advisors, and work with staff from regional/thematic networks.

Sida/SAREC program officers work under a lot of pressure and have developed rather unique skills, experience, competence, and capacity in building research capacity in poor countries⁹⁹. But, there is a dichotomy in the efforts to ensure that the staff members working in Sida/SAREC have an adequate balance of experience. A small core of professional staff members have been involved for more than 10 years (some intermittently), while a large number of staff have been in the organization between 1 and 4 years (see Chart 3).

Chart 3: Number of years spent by staff at SAREC.



Source: Provided by SAREC.

The pattern of distribution of experience supports the conclusion that greater attention needs to be placed on achieving and maintaining the human resources and skill sets required¹⁰⁰. There are concerns that bilateral agencies are becoming increasingly deprofessionalized with organizations that used to pride themselves on their strong in-house technical expertise cutting down on specialist staff¹⁰¹. While this trend towards “efficiency” may or may not prove valid for development funding, such a trend will remove any special value of a knowledge agency such as SAREC.

3.4.7 Stakeholders and governance¹⁰²

Sida/SAREC:s work involves many stakeholders:

- Swedish authorities: Parliament, Ministry for Foreign Affairs (Development Policies Directorate), Sida Director General, Sida Project Committee, SAREC Research Committee. In addition, there are the embassies in countries where Sida/SAREC operates, especially with bilateral programs.
- Swedish universities and academic institutions – particularly in view of expansion of higher education, limited resources for academic research and increases in the development assistance envelope, including resources allocated to Sida/SAREC for research support mostly in developing countries. Approximately 20% of Sida/SAREC resources eventually end up in Swedish institutions¹⁰³.

⁹⁹ It is important to note that the job demands several cross-domain skills – scientific discipline, research management and capacity building and specific developing country context. Usually only the first is acquired through formal education and the other two must be acquired on the job and supplemented by some formal training.

¹⁰⁰ Many stakeholders in Stockholm have mentioned that this issue may well be difficult to deal with by SAREC alone, as it may be common with Sida and the national style of human resource planning.

¹⁰¹ Summary of discussions at a recent seminar on “What’s Happening with KM in Multilateral and Bilateral Development Agencies?” available at http://www.km4dev.org/wiki/index.php/Main_Page

¹⁰² Note that here governance is meant to focus on the larger institutional rules within which SAREC operates, and is separate from management, the functions performed under the larger rubric of institutional rules. There is an overlapping grey area of organization styles that are a combination of the two.

¹⁰³ Given the data problems this number is a rough estimate. Another estimate is available in a parallel study.

- Developing country authorities (research councils, ministries of education, health, agriculture, science and technology, and international cooperation agencies).
- Developing country researchers and academics (primarily in universities, but also in independent research entities).
- Regional bodies and networks focusing on research capacity building and knowledge generation.
- International institutions with research programs on developing country issues.
- Swedish and international development policy consultants and professionals.

Until 1995, SAREC was an independent agency with its own governance structure. *The integration process with Sida has been slow and involved culture clashes*, and although it has improved noticeably, it has not addressed the governance issues that emerged. At present, SAREC is formally a Department of Sida, although it maintains its own Research Committee that decides on the thematic programs and projects to be supported. Bilateral programs have a separate structure for approvals with Sida regional and country departments.

The governance problems refer in particular to the partially overlapping mandates and roles of the SAREC Research Committee, the Sida Project Committee, and Sida's Director General. Although there are no open conflicts there is potential for confusion. All members of the Research Committee are highly respected scientists and researchers. But relatively few current members have direct, hands-on experience in developing countries. Visits to developing country institutions supported by Sida/SAREC have helped considerably in broadening their perspectives on support for research capacity building, but this takes time. Sida is a large organization with its own policies and operational procedures that are not well known to Research Committee members.

Some members of the Sida/SAREC Research Committee are actively engaged in programming activities and with some programs in the field. This may ensure good communications between Research Committee members, management, and partners, but it has the potential for conflicts of interest. Recent changes in Research Committee membership may have led to a *“loss of institutional memory.”* A relatively high degree of continuity in Research Committee membership (and in any other governance body) is important because of the long-term nature of the programs and activities supported by Sida/SAREC.

There appear to be rather blurred accountability procedures with respect to the portfolio composition and resource-allocation patterns, and also to the results, effectiveness, and impact of Sida/SAREC programs. This is the case in particular with developing countries being in the “driver's seat,” with the insistence on maintaining international research standards and with the specific mandates given by Swedish government authorities. In spite of its declared intention of putting developing countries in the “driver's seat,” none of Sida/SAREC's governance structures involves developing country participants¹⁰⁴.

3.4.8 Management

Sida/SAREC has a strong, competent, and dedicated senior management and there is high regard for senior management. This, combined with staff shortage and their experience profile, leads to a relatively high degree of concentration of information and decision-making. This appears to be the case particularly with regard to strategic matters, for few (if any) other persons involved in Sida/SAREC activities (including Research Committee members) has a complete picture of the organization's programs and ways it operates.

¹⁰⁴This contrasts with the International Development Research Centre, which is a Canadian Crown Corporation and subject to strict rules that apply to their governing bodies, but nevertheless has 10 non-Canadians (six of which are from developing countries) in its 21-member Board of Governors.

Some Research Committee members indicate that documentation and material for specific projects are very good, but that they do not have enough information about Sida/SAREC:s overall context of operations. Their difficulties are compounded by the lack of an annual plan and overviews and context documents. This makes it difficult for them to evaluate the specific program documentation submitted by management for their consideration.

There appear to be important limitations in the capacity of Sida/SAREC to communicate with broader Swedish and international constituencies. Relatively little information is made available by Sida/SAREC to the general public about the programs supported and their impact.

There are limitations regarding the need for more frequent and intense interactions with recipients, with improving the quality of monitoring, and with taking into account the results of evaluations of Sida/SAREC programs. This has led to the call for some sort of decentralization of authority, which is closely linked to the perceived need for greater presence of Sida/SAREC staff in the field.

There are also concerns regarding plans for senior management succession. This is related to the perceived need that future senior managers should ensure that Sida/SAREC:s unique programs and style of operation are maintained, while brought more in line with Sida and other Swedish policymaking. In addition, there is concern to preserve the unique experience and knowledge of staff who have been involved in research support activities for a long time.

There is a need to improve information and communication technology platforms to facilitate access to records (including those that go back to the early years of SAREC) and to improve communications with partners.

3.4.9 Communication and dissemination of knowledge

Sida/SAREC has limited range and capacity for communications with the range of stakeholders with whom they need to network. They include broader Swedish and international policy and development constituencies, and with the broad range of stakeholders involved more directly in its operations, particularly with reference to international and regional thematic research programs. There is a need to improve communications with current and prospective partners, as well as with the range of persons that are interested in the specifics of the thematic research and knowledge development given the general lack of information on results and impacts. These require priority attention and resources, and will need simultaneous improvement in the information and communication technology platforms used for day-to-day work.

During three decades, Sida/SAREC has acquired a wealth of experience in supporting the creation and consolidation of research capacities in developing countries. To some extent, it has documented its most interesting and visible successes, but much of it remains tacit. It has not as yet created the continuous feedback loops to professional staff, current and prospective partners, and to the general public that would allow it to take full advantage of this experience and communicate it to others.

This is of particular importance to consolidate and extend support from Swedish constituencies and other donors, to research capacity building in developing regions. Although there is great interest and awareness in development assistance in general, there is usually little appreciation for the role that knowledge in general, and research capabilities in particular, play in the development process. This is the case even for senior government policymakers and aid officials, whose familiarity with development issues should sensitize them to the importance of science, technology, and innovation to improve living standards in poor countries. Outreach and dissemination initiatives have acquired great importance in a vastly changed context for development assistance in general, and for research support in particular.

An important shift in research management stemming from an increased concern for use and applications (this emerges both in the linear as well as the innovations model) is the increased recognition of

the need to strengthen the linkages between the producers of knowledge and the potential users of the knowledge generated. Dissemination alone is too passive an approach, but must be a first step in any research program. Best practice has moved beyond the required communications with the scientific and specialist audience, to larger groups such as national and international policymakers and also to specific poor communities and their organizations. The appropriate audience for agricultural research includes farmers, NGOs, extension services, and the private sector, beyond traditional researchers, with each having different requirements. An increasingly minimum requirement for all public research programs is that the research results must be available for the specialist audience. The practices in the supported organizations range from outstanding to abysmal, and minimum practices must be ensured across the board.

4. Main Findings and Conclusions

4.1 SAREC Achievements

Sida/SAREC is a highly appreciated organization and valued partner by developing country research institutions, regional programs and thematic networks, and the international organizations it supports. Its staff has been doing a commendable job under difficult conditions, which are exacerbated by the rapidly changing international and Swedish context for research capacity building and problem solving in LMIC:s. In general the quality of research outputs of the thematic programs from the international and the well-established regional organizations is high.

The themes chosen and supported are broadly in agreement with Swedish development cooperation goals, the MDGs, and the needs of developing countries, more specifically LMIC:s. A special and positive characteristic of Sida/SAREC support is its holistic vision of building scientific capacity. Building capacities across all disciplines to a level considerably higher than currently attained by almost all LICs is definitely a requirement for development.

The choice and channels for the thematic research are, on the whole, appropriate. The rationale for participation in these well-established institutions emerges out of the need to participate in major international research institutions and efforts, because these shape many global efforts and influence country-level research and development. They tend to produce relatively high-quality research, with improving attention to good processes for dissemination of results. The international institutions also meet with Swedish government development policies and priorities favouring multilateral institutions and participation of Swedish interests in these global efforts. A major advantage for SAREC is that these grants require minimum supervision by SAREC staff because many of the required processes are in place. They reduce risks of non-performance and misuse of resources. The value of adopting a regional and international network approach to Sida/SAREC support for research capacity building was consistently highlighted.

There is universal recognition of the uniqueness and irreplaceable nature of Sida/SAREC core institutional support. Most large research centres and well-established regional networks indicated that Sida/SAREC is often one of between five and ten other donors that continue to provide core support. Even when the Sida/SAREC contribution represented a relatively small percentage of the funds of a recipient institution (5–15%), its core and unconditional nature provided a flexibility that was considered most important and crucial for the recipient institutions. In addition, even with the 3-year cycle, the long-term character of Sida/SAREC support was considered most valuable, for it allowed medium and long-term planning. Because core support has different manifestations, features and uses, there is a

need for a more thorough analysis of the varieties and modalities of core support and of their relative impact.

The composition of the current portfolio of contributions is relatively efficient given various constraints on Sida/SAREC. There is also scope for a number of small but significant shifts in the portfolio composition to improve efficiency, and can be done by reducing funding to some organizations by small amounts and increasing resources for well-performing regional institutions or possibly supporting new regional efforts. These have been discussed in the previous section.

The somewhat unchanging character of institutions funded is partly due to the long-term nature of most of the support and the good principle of not exiting quickly when times may be unexpectedly bad – such as temporary leadership vacuums and other chance events. Such longer-term commitments are also a natural result of combining the “supply-driven” goals and objectives – the need to participate in major international research institutions such as the CGIAR, WHO, supporting the generation of global public goods, and ensuring coverage of the multiple high-level goals and objectives that stem from Swedish government policies and priorities. The importance and potential value of these institutions reduce the perceptions that many portfolio options are available in the international portion of the portfolio. The degrees of freedom are further reduced given the need to be “present” in these international consortia, which require minimum sums to be relevant, and, in total, amount to a significant percentage of the resources available. This is compounded by the lack of clear entry and exit strategies and the limited number of professional staff. Altogether, this then makes it difficult to explore new areas, problems, approaches, and institutions, for Sida/SAREC research cooperation activities.

4.2 Main Challenges, Limitations and Constraints

Sida/SAREC faces several limitations and constraints that limit its effectiveness and impact on S&T capacity building in LMIC:s, and on helping to solve problems in these countries. These affect negatively its prospects for reducing poverty and improving living standards in the countries and regions where it has chosen to work. These limitations arise for several reasons.

4.2.1 Severe staff shortages

Sida/SAREC operates with an exceedingly small number of staff members, both in absolute terms and in comparison with other similar organizations. Moreover, about half of the total staff (professional and administrative) of Sida/SAREC have less than 2 years in the organization, and hence do not have a deep knowledge and experience of its operations.

4.2.2 Responsiveness to government policy directives

The Swedish Policy for Global Development provides an overall framework for all development assistance activities, including research. Its general provisions are made more specific through the cooperation strategies for countries and regions (prepared at least every 5 years), the Annual Appropriations Directive that specifies goals, and Sida’s Activity Plan that partitions these goals into subgoals. This top-down priority-setting process gives guidance to Sida/SAREC and has to be matched to initiatives emerging from LMIC:s, so as to configure a responsive stance to support for capacity building that puts institutions in LMIC:s in the “driver’s seat.” It is unclear how this matching process takes place within Sida/SAREC, although senior management, professional staff, and Research Committee members are doing their best to ensure that Swedish government “supply-driven” priorities are reconciled with “demand-driven” requests for support from LMIC:s.

4.2.3 Institutionalized strategic planning processes and capabilities

There are no formal overall strategic planning and decision-making processes in place at Sida/SAREC. Senior managers have produced many thoughtful and well-argued policy papers on a range of subjects germane to the institution, and Research Committee members provide valuable insights and advice.

There is, however, no systematic procedure for transforming these inputs into strategic options and choices, and for linking these to management processes (resource allocation, staff management, grants processing, monitoring, and evaluation). As a result, Sida/SAREC operations and activities emerge out of: intuitive and informal strategic but mostly tactical decisions made by senior management; professional staff interpretations of the policy and appropriations directives given by the Swedish government; past experience with grantees; Swedish commitments to international development; and the experience and knowledge of Sida/SAREC's staff.

4.2.4 Unclear governance structures

Decision-making and accountability structures have been somewhat problematic since SAREC was fully integrated into Sida in 1995. The Sida Research Committee decides on contributions to the thematic (international and regional) research programmes as well as Swedish development research.

The Director of SAREC may decide on contributions below 10 million SEK. The Research Committee approves contributions above that.

The bilateral research support provided by Sida/SAREC moves through a different process and route. In relation to contributions for bilateral research cooperation, the Sida Research Committee reviews proposals and makes recommendations. Bilateral contributions above 50 million SEK are also reviewed by the Sida Project Committee, which makes recommendations, for decisions, by the Sida Director General. Decisions on Bilateral contributions below this level are taken by the Director of SAREC following the recommendation by the Sida Research Committee.

The Research Committee has 11 members (two of whom represent Sida) who are prestigious Swedish academics and researchers who work in a variety of research fields. Most of them mentioned in the interviews that they have limited developing country experience, and concerns about their own capacity to direct SAREC on strategic issues.

In spite of the desire to put developing countries in the “driver’s seat,” there is no (and has never been) representative from a developing country on the Research Committee. By and large, although they appreciate the quality of specific contributions and idea memos submitted by management, committee members do not consider themselves sufficiently empowered to think their decisions really matter. They also feel that they do not actually engage in meaningful discussions regarding research support strategies at Sida/SAREC. These features of governance structures are difficult to reconcile with the idea that Sida/SAREC is a responsive organization that caters to the demands of LMIC:s.¹⁰⁵ Moreover, the stakeholder representation from Sweden (and possibly other countries) could be widened.

4.2.5 Operational shortcomings

There are some operational shortcomings that emerge largely out of the sparse human resource capabilities of SAREC. Several partners perceive a disconnect between professional and administrative functions, particularly in view of their experience of delays in contribution processing and disbursements. Program and project monitoring is in most cases undertaken in clear cycle, which is likely to be sufficient for the management of individual projects, but appears to be rather limited in scope. In other words they usually focus only on the project parameters and rarely on outcomes and larger strategic issues. And many partners were dissatisfied with the frequency of contacts with staff, and although this may appear to ease burdens on partners, some of them perceive this as a diminishing level of interest and involvement by Sida/SAREC once a contribution has been approved (and until it comes up for renewal). The lack of strategic studies and evaluations appears striking in their absence, in spite of the

¹⁰⁵By comparison, IDRC has a 21-member fully autonomous Board of Governors, ten of whom should be non-Canadians. By tradition, at least six of these have been from developing regions. IDRC's legal standing is that of “Crown Corporation,” which subjects it to all the good governance provisions and requirements for Canadian public corporations. The Board of Governors approves all major program, budget, staff, organizational, process and strategy decisions, but has delegated specific project approvals to the President and the Senior Management Committee.

rather large number of evaluations that Sida/SAREC has conducted of the institutions and programs it supports. With some exceptions, mainly in the bilateral programs, the rather limited number of professional staff and their frequent rotation deprives partners of suitable Sida/SAREC counterparts with whom to discuss progress, problems, results, and impact of the contributions they receive.

4.2.6 Increasing demand from stakeholders

Sida/SAREC occupies a distinctive position in the international development cooperation scene because it focuses on long-term capacity building in very poor countries. And, it involves Swedish researchers and scholars in its programs to the extent that they contribute to this overall focus and objective, and constitute a repository of knowledge on development issues.

There appear to be growing pressure for greater involvement of Swedish scholars and researchers in Sida/SAREC programs resulting in larger allocations by SAREC to Swedish institutions (see table 3). This could be because of recent financial stringency in overall Swedish support for research, especially in universities. This in turn stems from the expansion of higher education institutions at a time when development assistance funds (including for research support) have kept on growing.

There are also increased demands from partners and stakeholders outside Sweden and increased activity, new actors, new models of research support and competition in the area of research for development. This has been discussed at several places in the text.

4.3 Consequences

There are several important consequences of these limitations and constraints.

4.3.1 Missed Opportunities

Sida/SAREC is not always able to take advantage of new and emerging opportunities that may enhance its impact and influence on the international development cooperation scene. The drastic changes taking place in the structure, content, and modalities of development assistance, especially in science, technology, and innovation, require research support organizations to be fully aware of the rapidly changing context, to develop strategic outlooks and options, and to be able to respond and shift emphasis as the situation requires. This is difficult for an institution that does not have a well-developed strategic planning process, and where a large component of its funds is committed to certain multilateral institutions and appropriately to other capacity building and gap-filling efforts that last for 20 years or more.

4.3.2 Limited organizational learning capabilities

During the last 30 years, Sida/SAREC has acquired a wealth of experience in supporting the creation and consolidation of research capacities in LMICs. To a limited extent, it has documented some of its most interesting and visible successes, but has not as yet created the continuous feedback loops to management and professional staff that would allow it to take full advantage of this experience. Learning appears to be a highly individualized and idiosyncratic process, which does not readily translate into organizational capabilities. Evaluations are open to all staff but in practice invitations to participate, while welcome in principle, are more often turned down by staff not directly involved, largely due to pressing demands to service the portfolio.

4.3.3 Linkages and complementarities

With Sida

There are many cases in which Sida/SAREC and regular Sida programs should complement each other. Sometimes there are good examples of coordination¹⁰⁶ and in other cases there do not appear to

¹⁰⁶A good example of coordination and linkage and their value is shown in CGIAR examples. See “Implications for SAREC; comments and thoughts” in 06/40:1.

be any deliberate strategies and decisions. In some cases this leads to overlaps without any synergy (e.g. Lake Victoria) that diminishes overall effectiveness. There is, in general, a lack of strategic linkages and explicit complementarities between Sida/SAREC research support activities and regular Sida programs and contributions.

Other donors and funders

This need for increased linkages and coordination applies even more when considering potential synergies and leverage with other research support agencies and institutions (e.g., increased support from private foundations for problem solving and capacity building: Gates, Moore, Carnegie Corporation; stronger linkages with EU, coordination with other research donors). Again, while there are a number of such joint activities and they are increasing, the constraints prevent greater participation.

The impact of Sida/SAREC on capacity building and problem solving in LMIC:s, and its influence on the international community of science, technology, and innovation support entities, could be significantly enhanced if many of these limitations can be addressed. Addressing the challenges is important for the increased effectiveness of Sweden's contributions and its standing in the international community.

5. Recommendations

This assessment of Sida/SAREC:s international and regional thematic programs has reached the conclusion that —on the whole and since the creation of SAREC in the mid 1970s— these programs have clearly fulfilled their mandates. They have satisfied the dual objectives of creating research capabilities in LMIC:s, and of supporting research that produces knowledge that addresses the problems of the poor. Sida/SAREC occupies a relatively unique standing, with its focus on long-term capacity building for knowledge in poor countries. It provides a key role for Sweden by the involvement of Swedish researchers and knowledge; the contributions that Swedish researchers have made; and the fact that this builds a repository of knowledge on global and development issues for Sweden.

Thus the recommendations are not only addressed to SAREC; a number of them need the attention of the Swedish Government, particularly the Ministry of Foreign Affairs, and Sida.

5.1 Strategic Issues

1. The government needs to pay greater attention to the following: the growing interests of Swedish stakeholders in international and developing country problems; the perception that these linkages are not adequately funded; the potential decline in Swedish capacity in international issues; and the relevance of greater linkages to specific areas of Swedish national needs, such as agriculture, natural resources, climate change and energy, infectious diseases, and a number of social and economic issues arising from globalization. This could build on the coherence arguments clearly stated in the Swedish Policy for Global Development, extending them to the support of research for development. One possibility, which has been put in practice by FORMAS and Sida/SAREC (discussed earlier), and is now in place in other countries such as the United Kingdom and Canada, would be to establish additional research funds in partnership with Swedish agencies. The latter could include the Ministry of Education, Health, and/or other councils, with the mandate of supporting joint activities by Swedish and developing country researchers. Sida/SAREC should explore and suggest to the government alternative ways of supporting Swedish researchers without compromising the mandate and resources of Sida/SAREC, which alone is very small compared to the national budget for R&D.

2. We recommend no immediate, major, or abrupt changes in the resource allocation patterns observed. This is especially important given the long-term nature of Sida/SAREC programs and partnerships. We believe there is a need for a more strategic approach to programming and resource allocation, which must be based on the costs, benefits, outputs, and impacts from different channels and the nature of work supported. Such strategic rethinking must be based on further studies by Sida/SAREC, combined with systematic consultations with all stakeholders as an integral part of a broader strategic planning process. It is not possible for this review to suggest possible shifts by channels and themes without more detailed background data than is currently available. It is also not desirable for external reviewers to pre-empt national policy. Both areas covered here, however, need to be thought through, together with those not covered: the international programs, because the allocations are relatively large, and the regional, because there are many more and their performance can be more uneven. Allocations should not be revised based on size but based on better information on outcomes and their value on the different and multiple objectives; this is lacking at present.
3. The governance structure for Sida/SAREC contributions should be improved. One option would be to modify current arrangements and have one single Management Committee or Research Board for all approvals. It should be possible to expand the scope and enlarge the Sida/SAREC Research Committee, possibly (but not necessarily) with the title, Sida Research Board. It would have authority to review and approve all programs and projects related to research capacity building in LMIC:s and to research for development. To preserve the unity of development assistance programs, the new governing council would be within Sida and would be chaired by its Director General. Emphasis on the reorganization should be: (1) to put representatives from developing countries (possibly weighted to Swedish priorities toward LICs or LMIC:s-professionals, researchers, policy makers) somewhere near the “driver’s seat”; and (2) to reach out and add other stakeholder groups such as policymakers, users, from Sweden and possibly other donor countries. This could assist Sida/SAREC to intensify and expand its alliances with other research support agencies and programs, both within and outside Sweden, exploiting comparative advantages and to leverage resources. The high-level council can and should delegate a number of tasks, especially assessment of research areas, to specialist reference groups.
4. The above restructuring can potentially be used to define better the division of labour between Sida/SAREC and the regular Sida program. It would also ensure improved linkages between the larger sectoral investments made by Sida with the knowledge components.
5. A number of information and data gaps that exist stem from, and require solutions at, a higher level than Sida/SAREC. The difficulties start with the fact that OECD/DAC does not have disaggregated data, nor provide guidelines, studies, and recommendations with regard to research, knowledge, S&T inputs for development agencies. Data on such indicators are particularly weak or missing in the LICs, the priority countries for Sida/SAREC based on national priorities. Such data and methodologies, standards, and guides were prepared by OECD almost 40 years ago, and are followed in all OECD countries and in many developing countries as a result of efforts by OECD. With the increase in donor and national interest and funds, for research and S&T, a coordinated effort to build basic indicators is required if the resources are to be allocated efficiently and their effects judged over time. Sida, through the OECD/DAC and SAREC through the International Forum of Research Donors (IFORD) could take the lead in such an effort.
6. Concerns have been raised on the applications of sectoral concentration via the Paris Agenda, on research, S&T, and knowledge generation activities. It is understood by us that research is a more holistic, cross-sectoral activity, and the recommendation for concentration does NOT mean that Sida will be forced to choose between research and education or between research and health.

7. There are several issues of particular importance for Africa that require more focus. This would respond to the special priority in allocations to the needs of the region, the weaker national support for S&T, and renewed interest on the part of the international donor community to support science, technology, and innovation in this region. In addition to funding research and capacity building, support should also help regional networks to improve their accounting, financial, procurement, and management systems, to become more effective partners. Sida/SAREC should explore in more detail ways of spreading best practice and making more efficient and effective regional thematic networks. Special attention should be given to sustainability issues, to building up their management skills, financial and administrative capabilities, and to fostering cross-network linkages and learning. There is also a need to consider the renewed interest of the international donor community and of African countries in science and technology issues, and particularly the possibility that a new African Science and Innovation Facility (ASIF) may emerge out of the 2007 African Heads of State Summit.
8. Considering the administrative burden placed on the management of regional research networks, Sida/SAREC should harmonize its narrative and financial reporting requirements with those of other donors and, to the extent possible, with those of recipient institutions. This should focus on simplifying and standardizing reporting formats, establishing a common level of detail for accounting procedures, and coordinating the frequency and timing of reports. This would reduce the administrative burden on recipients, help in establishing more efficient monitoring and evaluation procedures for Sida/SAREC, and increase the effectiveness of recipient oversight.

5.2 People Issues

People are the most valuable resource in a knowledge-generating and support organization such as SAREC. Money is only one of the complementary resources that the organization uses, in combination with the complementary tools of people, processes, IT infrastructure, and knowledge management. Knowledge includes both formal or codified forms, such as documents and processes. Often unrecognized, but at least as important, is the tacit knowledge that only resides in people, and which improves through experience and engagement with others in similar enterprises.

Considering the widely recognized staff limitations of Sida/SAREC, several suggestions are made to overcome the limitations and their consequences:

- Use the domestic Swedish benchmarks, from comparable research support institutions, for the staffing to contribution ratios for SAREC as a minimum. This will involve an increase in the number of professional Sida/SAREC staff over time.
- With or without staff increases, Sida/SAREC should establish some regional presence of its staff, in specific areas such as Eastern Africa, and possibly Southeast Asia and Central America, where the volume of funds and partner institutions is large. This can be between 10 and 20% of the total staff. Closer presence of its own staff, who might be based at partner institutions (or in the embassies, as is common for Sida staff) will help bring greater local context, and faster and better response to parts of the portfolio.
- Review and explore new mechanisms to increase knowledge and engagement. Examples include arrangements with Sida departments for joint work, use of part-time researchers and scholars in other Swedish institutions to act as liaison with institutions, themes, and recipients, as appropriate. This would build on the links already in place between Sida/SAREC and a large number of Swedish universities and academic institutions.
- Use regional network partners (CODESRIA, FLACSO) or international programs (IFS) with which Sida/SAREC has had long experience, to provide additional knowledge services: program identification, monitoring, and supervision services to Sida/SAREC, possibly under cost recovery arrange-

ments (this would be similar, in some sense, to what the International Science Program at Uppsala University is doing at present). FLACSO faculty members could be placed on a retainer to allocate part of their time to these functions. It would be possible to use the extensive network of IFS advisors from developing countries (more than 400 strategically placed active advisors at present). This would follow Swedish development cooperation policies of supporting South–South collaboration. Sida/SAREC should encourage recipients in international research programs and institutions to foster and support regional networking in their specific areas of concern.

- In areas such as communications and dissemination, outside resources should be used to deliver outputs with small staff inputs.
- Create a program for human resource development and retention specific to identified needs, beyond that required by Sida.
- While exploring the options above, further studies should be undertaken that would assist in changing the portfolio, mainly the type and the number of organizations funded, to balance the workload with available staff.

5.3 Operational Issues

- Improve strategic frameworks. This should begin with wider analytical work, leading to improved regional strategy by theme, region, and alternate channels, and to develop entry and exit criteria.
- Strengthen monitoring and evaluation activities. Enhanced and more effective reporting and monitoring systems should be integrated into monitoring of all resources and donors.
- Develop approaches and criteria that will allow the measurement of research capacity building.
- Consider context, coordination, and capacity, particularly in Africa, with both donor and recipient partners. This should help build governance and management capacity so that “core program” support can be gradually extended to the research networks as they achieve the requisite capacity to manage – and account for –resources. When this is achieved the research support will facilitate the unification of expenditure management (irrespective of the source of revenue) in pursuit of agreed research agendas.
- Assess beneficiary involvement in governance of research networks.
- Benchmark the time taken for routine and non-routine funds transfer, and reduce the time and routines involved.
- Take advantage of the very strong organizations to free up internal resources for the more critical activities, by increasing the agreements with selected partners to five years instead of three.
- Improve information and communication technology platforms to facilitate access to records.
- Create opportunities for more interest and interaction between recipients and Sida/SAREC program officers, primarily on substantive issues.

The relatively successful track record of Sida/SAREC during the past 30 years should not give rise to complacency within the organization or by key stakeholders. This should motivate increased efforts at understanding which programs are more and less useful, the reasons, and keeping in mind the changes in the international context. How can Sida/SAREC continue to improve the structure and impact of its portfolio, its governance, management, and organizational practices? How can Sida/SAREC partner more effectively with the wider range of agents and initiatives? Continuous attention to Sida/SAREC operations is required, going beyond this one-time exercise, including periodic, streamlined and more focused studies and strategic planning exercises, involving senior management, all staff, and relevant stakeholders within and outside Sweden

Annex 1: Terms of Reference

Assessment of Sida/SAREC support to international and regional thematic research programs

1. Evaluation Purpose

The evaluation purpose is to assess the processes for activity planning, preparations, decision-making, and follow-up of the support by the Swedish Development Cooperation Agency, Department for Research, Sida/SAREC, to research that helps combat poverty and contributes to equitable and sustainable global development. The composition of the current portfolio of contributions should be reviewed in relation to the overall goal of Swedish development cooperation, i.e. to contribute to an environment supportive of poor people's own efforts to improve their quality of life, and to the goals for research cooperation as expressed in the appropriation directions to Sida.

The evaluation is commissioned in the context of an overall assessment by Sida of the objectives and results of SAREC research cooperation and contribution to management, to be carried out during 2006.

The evaluation shall provide an independent view on SAREC support to international and regional thematic research programs and will be used both as an input to the overall assessment of SAREC activities and to see what lessons can be learned for SAREC:s continued support in this field.

2. Intervention Background

SAREC has supported international and regional thematic research programs for many years. Some contributions have been initiated by the government and others by Sida. Several of the programs financed have a long history.

Different channels are used such as international organizations, regional organizations and networks, but also institutions hosting thematic research programs. Some research structures have been initiated by Sida, whereas most support has been given to organizations and networks already in operation. Sometimes Sida is the only donor, whereas in most cases Sida is just one of many financiers.

SAREC declares that the international research programs supported should identify neglected research areas and promote relevant research in order to fill those gaps. They should address issues of high relevance for poverty reduction and contribute to the creation of global public goods. The support is channelled through organizations linked to the UN-system or in other ways have a broad-based constituency. SAREC contributes in the form of core funding to an agreed research agenda or earmarks funds to activities focusing on least developed countries or other priority areas.

SAREC is also giving core funding to some regional organizations. These may serve as focal points for research cooperation, mobilize researchers for specific research tasks and/or act as research councils in the region.

SAREC also supports regional research networks formed to enhance national capacity and/or addressing thematic research priorities. Collaborating institutions, faculties, or professionals may form such networks for information sharing, exchanges and joint activities. They may serve to enhance research capacity in collaborating institutions, to promote joint development of knowledge and/or to form a basis for joint action.

Swedish scientists may be involved in international research programs if relevant and competitive. However, according to SAREC the involvement of Swedish researchers is not a requirement for funding, but may be chosen as means to reach set objectives.

New initiatives within established organizations or networks with a broad financial basis are preferred rather than the creation of new structures.

Over the years, however, SAREC has taken several initiatives to create new research programs and networks. Such initiatives have been taken for areas of perceived urgency or areas of central relevance where Swedish expertise is relevant and competitive. SAREC:s current orientation is to move away from this approach and to identify and support organizational structures capable of managing research programs and networks.

The evaluation shall focus on the support given during the period 2000 to 2005.

3. Evaluation Questions

The overall aim of the thematic research program is to support research that contributes to combat poverty and an equitable and sustainable global development. The evaluation should review the SAREC processes for activity planning, preparations, decision-making and follow-up of contributions. It should also assess the appropriateness of the organizations supported and the balance of the composition of the portfolio in relation to the main goal for Swedish aid and the appropriation directions to Sida. There are four main evaluation questions:

- 1 To what extent do the activity planning and preparation processes ensure that the organizations and activities supported are relevant?
 - How are overall goals of Swedish development cooperation and the Millennium Development Goals being considered? How and by whom are research fields being identified and introduced? What is the role of Government Offices of Sweden and Sida/SAREC in selection of different themes, steering (allocations and alterations) and influencing programs. Are the processes for activity planning and preparations transparent? How could these processes be improved?
- 2 Does the process of follow-up, i.e. control, monitoring and evaluation, ensure that the contributions are effective?
 - How are the contributions followed up with regard to success in achieving research objectives (scientific quality, quality of project management and collaboration), adoption of research results (transfer system and users of research results), and impact on institutional capacity? Have the contributions been critically evaluated at reasonable intervals? How has SAREC acted on evaluation recommendations? How have corruption issues been handled? How can the process of follow-up be improved?
- 3 Are the choices of channels for the thematic research support appropriate?
 - Which are the advantages and disadvantages, costs and benefits in terms of risk, sustainability etc. of the different channels? How are the channels being assessed in terms of their capacity, internal organizational environment and the external environment in which they operate? What is the rationale behind SAREC:s current choice of channels? Can the choices be made better?
- 4 Is the composition of the current portfolio of contributions efficient?
 - What is the balance between different areas (themes) of intervention, international and regional support, and different channels used? What is the rationale behind SAREC:s current portfolio? Can the balance be improved?

4. Lessons Learned and Recommendations

What are the lessons learned and recommendations that can be given for continued Swedish support of thematic research that contributes to combatting poverty and ensuring equitable and sustainable global development? Are there better alternatives for Sida/SAREC support to international and regional thematic research programs? Is there a need for Sida to revise its strategy for support in this area?

Areas where important lessons may be learned include the processes for activity planning, preparations, decision-making, and follow-up of the support, the channels to be used, and the portfolio of contributions.

What are the recommendations that can be made for the future in recognition of the Paris Agenda on aid effectiveness?

5. Methodology

An overview of the whole SAREC portfolio of support to thematic research should be made. Amongst the international research programs the support to health (through WHO) and agricultural research (through CGIAR) should specifically be looked into. As for regional contributions, a sample of contributions should be studied in more detail.

The evaluators should use the documentation available at Sida and the research organizations concerned. This should include SAREC policies and annual reports, contribution decisions and agreements, research proposals and applications, progress and evaluation reports, and other related documentation.

The evaluators are expected to conduct interviews with selected persons at the Government Offices of Sweden and Sida/SAREC, as well as at research organizations that are directly or indirectly involved in the international and regional thematic research programs. This may include interviews by telephone or e-mail.

6. Work Plan and Schedule

The evaluation should be carried out between April and August 2006.

The team leader should prepare a work schedule for the study.

7. Reporting

A draft evaluation report should be submitted electronically to Sida not later than September 1, 2006. Sida will provide comments within two weeks of receipt of the draft. The final report, not exceeding 50 pages excluding annexes, shall be delivered to Sida not later than September 30, 2006. Subject to Sida's decision, the report may be published and distributed within the Sida Evaluation series.

The evaluator should adhere to the terminological conventions of the OECD/DAC Glossary on Evaluation and Results-Based Management as far as possible. The evaluation report should also consider the report format presented in Annex B, and a completed Sida Evaluations Data Work Sheet should be presented along with the report.

8. Evaluation Team

The evaluation should be carried out by a team of three to four independent international experts in the field out of which one person will be appointed team leader. The team leader will be responsible for planning and reporting.

Annex 2: Evaluation Team

Amitav Rath

Amitav Rath is the team leader for the evaluation. He was trained in science and engineering at the undergraduate level in India. He then worked on his Masters and Ph.D. at Berkeley in Operations Research with a focus on economics and systems analysis. He has taught in India, Canada, Jamaica, Sweden, and the USA in areas of management, economic planning, technology and innovation, and, on energy and environment. He worked at the International Development Research Centre (Canada) for over ten years and was the manager of programs in Science, Technology, Energy and Economics during this period. At present he directs a consulting practice at Policy Research International based in Ottawa. Currently he is a member of the Technical Advisory Group for the World Bank trust funds on energy, and is an editor of the journal *Comparative Technology Transfer and Society*. He has recently completed work on Biotechnology for Development, a review of selected S&T issues for IDRC, on South-South cooperation for the UNDP, and a synthesis of the use of innovations framework in the natural resources research funded by DFID.

Francisco Sagasti

Francisco Sagasti is Executive Director of FORO Nacional/Internacional in Lima, Perú, a not-for-profit civil association that promotes dialogue and consensus on critical development issues, and Director of its Agenda: PERÚ program. In addition to various academic, private sector and government advisory positions in Peru and other countries, he has been an advisor and consultant to a large number of international organizations, government agencies, and private firms. He has been visiting professor at the University for Peace in Costa Rica, Chief of Strategic Planning at the World Bank, Chairman of the United Nations Advisory Committee on Science and Technology, visiting professor at the Wharton School of the University of Pennsylvania, a member of the Board of Governors of the Canadian International Development Research Centre (IDRC). He holds a Ph.D. in operations research and social systems sciences from the University of Pennsylvania and engineering degrees from the National Engineering University in Lima, Peru, and Pennsylvania State University. He has published more than 20 books on development strategies, science and technology policy, development financing and related themes.

Gunilla Björklund

Gunilla Björklund has a PhD in Physical Geography from Uppsala University and is consultant on international water policy issues, climate change and land degradation issues. She has undertaken consultancy services for among others Stockholm International Water Institute, Sida, Global Water Partnership, the Swedish Ministry for the Environment, UN, UNEP, GEF/World Bank, and UNDP through GeWa Consulting. She has been doing expert reviews for International Waters as well as Sustainable Land Management projects as a GEF/STAP expert. She has evaluated SAREC's climate policy and climate, energy and environment program at AIT. She was the executive secretary for the UN/SEI Comprehensive Assessment of the Freshwater Resources of the World, and worked closely with UN/DESA, UNEP, UNDP, FAO, WHO, WMO, UNESCO, UNIDO and the World Bank (1994 to 1997). Prior to that, she was special advisor at the Swedish Ministry for Foreign Affairs, with responsibility for multilateral assistance for the environment, including the GEF and chief negotiator to the UNCCD, and negotiator for the UNFCCC. She worked at the Swedish UNCED secretariat, responsible for Agenda 21 chapters on science and research, on freshwater and on desertification issues. She has worked as an assistant professor at Uppsala University and continues to teach at several Swedish universities.

Mary Ann Lansang

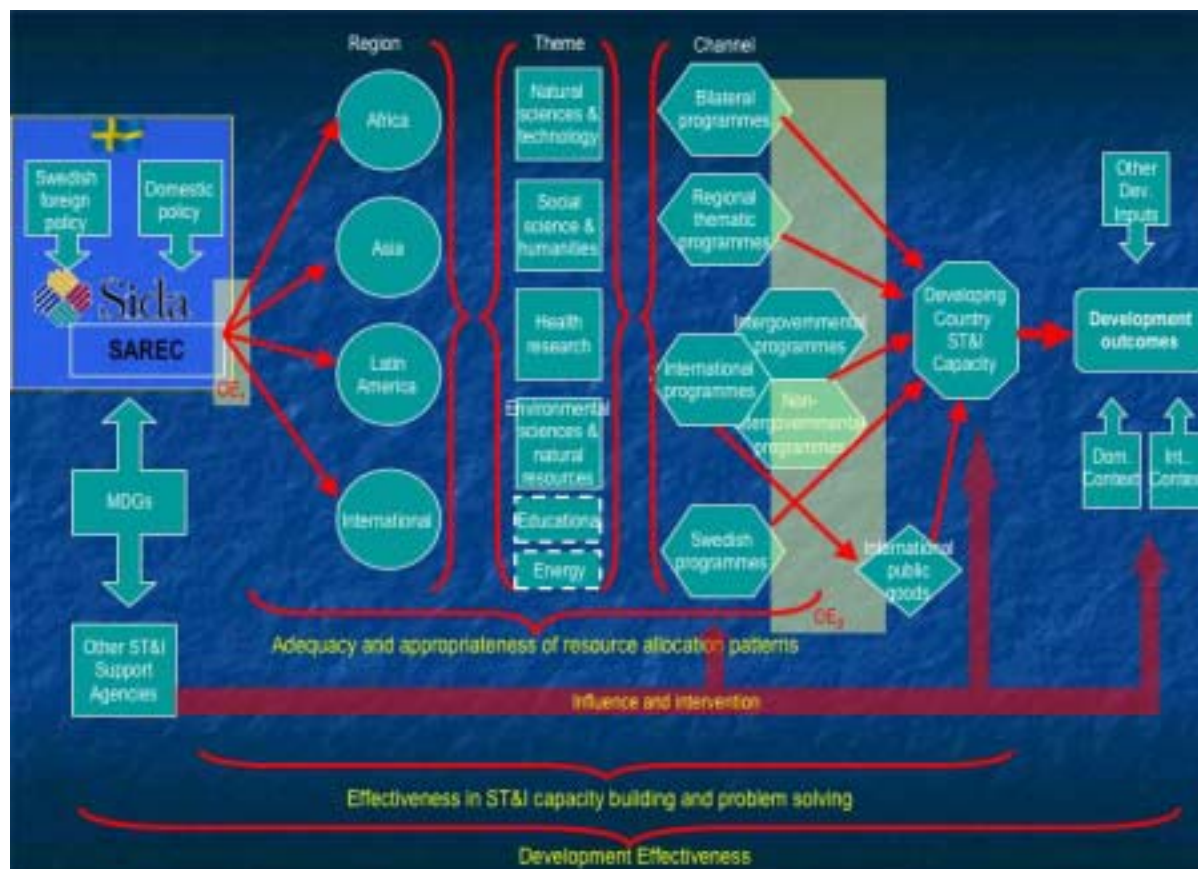
Dr Mary Ann Lansang is Professor of Medicine and Clinical Epidemiology at the University of the Philippines. She was the immediate past Executive Director of INCLEN Trust International, Inc. (the International Clinical Epidemiology Network), 2000–2004, a global network dedicated to improving equity, efficiency, and quality in health care, through training and the production and application of the best evidence on interventions. She currently serves on the Board of Trustees of the Centre for Health and Population Research (ICDDR,B), Bangladesh, Dhaka, as well as a member in various expert committees of WHO: Scientific & Technical Advisory Committee, WHO Special Programme on Research & Training in Tropical Diseases (WHO/TDR); the Strategic Advisory Group of Experts (for vaccines and immunization); the WHO Western Pacific Advisory Committee on Health Research; and the editorial board of the Bulletin of WHO. She has also served on the boards or advisory committees of other international bodies such as the Council on Health Research for Development, the Global Forum on Health Research, the Alliance on Health Policy and Systems Research, and the WHO Initiative on Vaccine Research. She has published widely on infectious and tropical diseases, clinical epidemiology, health policy and systems research, knowledge management, research capacity development, health research policy and research ethics.

Oliver Saasa

Oliver Saasa, a professor of International Economic Relations, is the Managing Consultant/CEO of Premier Consult Limited, a consulting firm based in Lusaka, Zambia. Previously, he worked at the Institute of Economic and Social Research (University of Zambia) where he served as Director from 1988 to 2000. A Rhodes Scholar, Prof. Saasa has published widely in the field of international relations, concentrating mainly on regional integration and trade promotion in Southern Africa. In the past 10 years, he has released several publications on the relations between developed and developing countries, focusing primarily on the aid flows and donor-recipient structures for aid management. His most recent publications in this field include the book, *Aid and Poverty Reduction in Zambia: Mission Unaccomplished* (NAI, Uppsala, 2002). Prof. Saasa has developed aid policies for Ethiopia and Zambia and has assisted several governments in Southern Africa in the field of donor harmonization and alignment. He has served as a consultant for many regional and international organizations, including the World Bank, OECD/DAC, Sida, NORAD, COMESA, SADC, UNDP, and USAID, mainly evaluating their support to developing countries.

Annex 3: Evaluation Framework and Matrix

The following framework can be used to assess support for science, technology, and innovation in developing countries.



Evaluation Matrix

	Major questions	Indicators	Data sources
Relevance	Congruence with local and global development problems and goals	National policies and problem identification – Sweden and developing country	Policy documents
		MDGs	Agreements and project documents
		Project/program objectives	Progress reports
		Outputs compared to objectives	Monitoring and evaluation reports
	Process – Who initiates? How accepted or developed?	Judgments based on interviews	Interviews with Sida staff
	Transparency and Ownership		Southern Partners
	Value Added		Northern Partners
Role of Swedish Government?			
How can these be improved	Judgments based on interviews	Other key stakeholders	

	Major questions	Indicators	Data sources
Effectiveness	Role of follow-up processes: Control, monitoring, evaluation	Interviews and documents	Project documents
	Output quality:	Peer reviews and documents Judgments based on interviews	Progress reports
	Scientific, project management, collaboration and partnership, dissemination, transfer, adoption of research results		Monitoring and evaluation reports
	Impact on improved capacity: individual and institutional	Judgments based on interviews	Interviews with Sida staff
	Evaluation quality and timeliness	Evaluation and project document review	Southern Partners Northern Partners
	Actions taken on recommendations?	Evaluation and project document review	Other key stakeholders
	How have corruption issues been handled?	Interviews	
	How can the process of follow-up be improved?		
Appropriateness	Is this choice and channel for the thematic research appropriate?	Judgments based on interviews	
	What are advantages and disadvan- tages, costs and benefits, risks, sustainability etc.?	Output quality Outcomes Sustainability	
	Organizational assessment in terms of capacity, and the environment in which it operates?		
	What is the rationale behind SAREC:s current choice of channels?	Judgments based on interviews	
	Can the choices be made better?	Judgments based on interviews	
Efficienc	Is the composition of the current portfolio of contributions efficient?	Judgments	Comparative data with other agencies
	What is the balance between themes, international and regional support, and different channels used?	Judgments	SAREC Data
	What is the rationale for the current portfolio?	Judgments and interviews	
	Can the balance be improved?	Judgments	

Annex 4: Tables

Table 1: SAREC funding by sector and sub-sectors (2000–05)

Sector Code	Sector	Institution	Continent	Outcomes 2000–2005	%
11182	Research on education	Chalmers Tekniska Högskola	Globalt	1,500,000	
				1,500,000	
11420	Upper education	Misc	Amerika	2,044,969	
11420		Makerere University	Afrika	2,000,000	
11420		Göteborgs Universitet	Globalt	257,760	
11420		Dep of Arts Cult Sci Techn	Afrika	77,000	
				4,379,729	
	Education			5,879,729	0.19
	Healthcare policy	Dep of Arts Cult Sci Techn	Afrika	930,000	
12110		Global Forum Health Research	Globalt	9,000,000	
12110		Global Forum Health Research	Globalt	9,000,000	
12110		Council Health Research develo	Globalt	9,000,000	
12110		Council Health Research develo	Globalt	6,750,000	
12110		Global Forum Health Research	Globalt	6,000,000	
12110		Global Forum Health Research	Globalt	6,000,000	
12110		Global Forum Health Research	Globalt	4,500,000	
12110		Global Forum Health Research	Globalt	3,000,000	
12110		Malmö Högskola	Globalt	1,800,000	
12110		World Health Organization	Globalt	800,000	
12110		Not stated individual agreement	Globalt	166,256	
12110		Not stated individual agreement	Globalt	8,720	
				56,024,976	
12182	Medical Research	World Health Organization	Globalt	90,000,000	
12182		IAVI Int Aids Vacc Initiative	Globalt	4,500,000	
12182		Council Health Research develo	Globalt	4,500,000	
12182		Global Forum Health Research	Globalt	4,500,000	
12182		Global Forum Health Research	Globalt	3,000,000	
12182		IVI Internat Vaccine Institute	Globalt	3,000,000	
12182		IAVI Int Aids Vacc Initiative	Globalt	2,000,000	
12182		Int.Partnership Microbicides	Globalt	2,000,000	
12182		Not stated individual agreement	Globalt	1,343,914	
12182		Misc	Globalt	1,170,008	
12182		Not stated individual agreement	Globalt	332,356	
12182		Int Centre Diarrhoeal Disease	Asien	8,059,579	
12182		Karolinska Institutet	Amerika	9,000,000	
12182		FAURGS	Amerika	2,100,000	
12182		Inst for Toxic Substance Stud	Amerika	1,600,000	
12182		Not stated individual agreement	Afrika	39,300,000	
12182		Karolinska Institutet	Afrika	4,700,000	

12182		Internal decision Letter of Co	Afrika	3,900,000
12182		World Health Organization	Afrika	3,000,000
12182		Karolinska Institutet	Afrika	2,533,000
12182		Not stated individual agreement	Afrika	2,000,000
12182		Dep of Arts Cult Sci Techn	Afrika	214,380
				102,753,238
12191	Healthcare	Mekelle University College	Afrika	891,913
12191		Dep of Arts Cult Sci Techn	Afrika	890,000
12191		Dep of Arts Cult Sci Techn	Afrika	45,000
12191		Karolinska Institutet	Amerika	9,000,000
12191		Inv Biotechn Univ Nac Gen San M	Amerika	5,000,000
12191		Karolinska Institutet	Amerika	2,000,000
12191		Int Centre Diarrhoeal Disease	Asien	22,077,000
12191		Int Centre Diarrhoeal Disease	Asien	10,000,000
12191		National Inst Hygien Epidemiol	Asien	600,000
12191		Int Centre Diarrhoeal Disease	Asien	155,000
12191		World Health Organization	Globalt	60,000,000
12191		World Health Organization	Globalt	56,000,000
12191		Bergen University	Globalt	15,000,000
12191		IVI Internat Vaccine Institute	Globalt	9,000,000
12191		Stockholms Universitet	Globalt	5,050,000
12191		Bergen University	Globalt	4,500,000
12191		Bergen University	Globalt	3,100,000
12191		Not stated individual agreement	Globalt	737,368
12191		Not stated individual agreement	Globalt	541,291
12191		Karolinska Institutet	Globalt	270,000
12191		Not stated individual agreement	Globalt	245,000
12191		Not stated individual agreement	Globalt	207,655
12191		Not stated individual agreement	Globalt	200,000
12191		Not stated individual agreement	Globalt	136,048
12191		Not stated individual agreement	Globalt	-250,702
				205,395,573
12220	Basic health care	Dep of Arts Cult Sci Techn	Afrika	440,000
12220		Dep of Arts Cult Sci Techn	Afrika	50,000
12220		Stockholms Universitet	Amerika	1,798,000
12220		World Health Organization	Globalt	8,000,000
12220		World Health Organization	Globalt	4,000,000
12220		Not stated individual agreement	Globalt	1,453,823
12220		Not stated individual agreement	Globalt	200,000
12220		Not stated individual agreement	Globalt	155,519
12220		Not stated individual agreement	Globalt	150,000
12220		Not stated individual agreement	Globalt	120,000
12220		Not stated individual agreement	Globalt	23,750
12240	Basic nutrition	Not stated individual agreement	Globalt	9,287
				16,400,378
12261	Hälsupplysning	Indepth Network	Globalt	6,000,000

12261		Indepth Network	Globalt	4,500,000
				10,500,000
12281	Training of healthcare workers	Not stated individual agreement	Globalt	200,000
12281		Dep of Arts Cult Sci Techn	Afrika	50,000
				250,000
13020	Reproductive health	University of Zimbabwe	Afrika	2,000,000
13020		ECS Afr Ass Obstetrical Gyna	Afrika	305,000
13020		Dep of Arts Cult Sci Techn	Afrika	50,000
13020		World Health Organization	Globalt	25,000,000
13020		World Health Organization	Globalt	20,000,000
13020		Not stated individual agreement	Globalt	1,645,753
				49,000,753
13040	Sexually transmitted diseases/HIV	Smittskyddsinstitutet	Afrika	13,500,000
13040		Council for the Development of	Afrika	6,076,175
13040		Union for African Population S	Afrika	5,919,000
13040		Muhimbili University	Afrika	5,400,000
13040		Göteborgs Universitet	Afrika	4,500,000
13040		Org Social Science Research	Afrika	4,237,908
13040		Göteborgs Universitet	Afrika	3,900,000
13040		Smittskyddsinstitutet	Afrika	3,700,000
13040		Göteborgs Universitet	Afrika	600,000
13040		Union for African Population S	Afrika	595,400
13040		Not stated individual agreement	Afrika	338,546
13040		Karolinska Institutet	Afrika	170,000
13040		Dep of Arts Cult Sci Techn	Afrika	35,000
13040		Australian National University	Afrika	-275,360
13040		Karolinska Institutet	Globalt	1,600,000
13040		Not stated individual agreement	Globalt	818,968
13040		Not stated individual agreement	Globalt	240,514
13040		Not stated individual agreement	Globalt	180,310
13040		Not stated individual agreement	Globalt	100,000
13040		Not stated individual agreement	Globalt	86,459
13040		Not stated individual agreement	Globalt	39,529
				51,762,448
	Health			492,087,365 16.0
13010	Population policy and admin.	Union for African Population S	Afrika	2,500,000
13010	Population policy and admin.	Union for African Population S	Afrika	3,000,000
	Population			5,500,000 0.2
14010	Water resources policy	IUCEA Inter-UnivCouncil EastAf	Afrika	25,100,000
14010		Misc	Afrika	2,247,986
14010		Not stated individual agreement	Afrika	2,000,000
14010		Misc	Afrika	1,500,000

14010		Consultative Group on Internat	Globalt	2,500,000	
14010		Consultative Group on Internat	Globalt	1,500,000	
				34,847,986	
14015	protection of water resources	Dep of Arts Cult Sci Techn	Afrika	125,000	
14050	waste management	Ministry of Science and Techno	Asien	2,000,000	
14050		Dep of Arts Cult Sci Techn	Afrika	42,000	
				2,042,000	
		Water & sanitation		37,014,986	1.2
15120	Financial admin. off sector	African Centre Technology Stud	Afrika	750,000	
15120		African Centre Technology Stud	Afrika	143,770	
				893,770	
15140	Governmental admin.	Birzeit University	Globalt	1,125,000	
15140		Misc	Globalt	240,620	
				1,365,620	
15162	Human rights	Not stated individual agreement	Globalt	88,000	
				2,347,390	0.1
16030	Housing policy & admin.	Dep of Arts Cult Sci Techn	Afrika	93,000	
16061	Culture & spare time	Uppsala Universitet/ISP	Afrika	2,360,000	
16061		University of Zimbabwe	Afrika	2,276,500	
16061		Dep of Arts Cult Sci Techn	Afrika	48,000	
16061		Uppsala Universitet/ISP	Asien	1,600,000	
16061		Not stated individual agreement	Globalt	292,288	
16061		Not stated individual agreement	Globalt	140,050	
16061		Not stated individual agreement	Globalt	8,996	
				6,725,834	
16064	Social issues on HIV/AIDS	Council for the Development of	Afrika	2,460,000	
16064		Org Social Science Research	Afrika	568,787	
				3,028,787	
		Culture/soc		9,847,621	0.3
22040	Info.& communication techniques	Not stated individual agreement	Globalt	6,275,000	
22040		Not stated individual agreement	Globalt	522,326	
22040		Not stated individual agreement	Globalt	120,854	
		Info & communication techniq.		6,918,180	0.2
23010	Energy policy & admin.	African Energy Policy Research	Afrika	7,000,000	
23010		Dep of Arts Cult Sci Techn	Afrika	500,000	
23010		Asian Institute of Technology	Asien	12,750,000	
23010		Asian Institute of Technology	Asien	9,849,565	
23010		Stockholm Environment Institut	Globalt	440,000	
				30,539,565	
23030	Energy prod. renewable energy	Asian Institute of Technology	Asien	11,750,000	

23030		Indian Inst Techn, Chennai	Asien	2,000,000	
				13,750,000	
23040	Transmission dist. av el	Dep of Arts Cult Sci Techn	Afrika	44,500	
23081	Education on energy	African Energy Policy Research	Afrika	39,000,000	
	Energy			83,334,065	2.7
24010	Finance and administration policy	Not stated individual agreement	Globalt	800,000	
	Finance administ.			800,000	0.03
31110	Agriculture policy and admin.	University of Nairobi	Afrika	7,652,000	
31110		Org Social Science Research	Afrika	5,800,000	
31110		Org Social Science Research	Afrika	5,300,000	
31110		Nong Lam University	Asien	32,100,000	
31110		Ministry of Forestry	Asien	3,700,000	
31110		Consultative Group on Internat	Globalt	125,000,000	
31110		ICRPE Int Centre Insect Phys	Globalt	24,500,000	
31110		Not stated individual agreement	Globalt	16,000,000	
31110		ICRPE Int Centre Insect Phys	Globalt	7,000,000	
31110		Consultative Group on Internat	Globalt	6,000,000	
31110		Consultative Group on Internat	Globalt	6,000,000	
31110		Consultative Group on Internat	Globalt	5,000,000	
31110		Consultative Group on Internat	Globalt	4,100,000	
31110		Consultative Group on Internat	Globalt	4,000,000	
31110		Consultative Group on Internat	Globalt	3,500,000	
31110		Consultative Group on Internat	Globalt	3,500,000	
31110		Consultative Group on Internat	Globalt	3,500,000	
31110		Consultative Group on Internat	Globalt	3,500,000	
31110		Consultative Group on Internat	Globalt	3,000,000	
31110		Consultative Group on Internat	Globalt	3,000,000	
31110		Consultative Group on Internat	Globalt	2,500,000	
31110		Consultative Group on Internat	Globalt	2,300,000	
31110		Consultative Group on Internat	Globalt	2,000,000	
31110		Consultative Group on Internat	Globalt	2,000,000	
31110		Consultative Group on Internat	Globalt	1,850,000	
31110		Uppsala Universitet	Globalt	1,591,548	
31110		Consultative Group on Internat	Globalt	1,500,000	
31110		Consultative Group on Internat	Globalt	1,500,000	
31110		Uppsala Universitet/ISP	Globalt	1,235,747	
31110		Uppsala Universitet/ISP	Globalt	766,643	
31110		Sveriges Lantbruksuniversitet	Globalt	732,051	
31110		Not stated individual agreement	Globalt	360,000	
31110		Not stated individual agreement	Globalt	100,000	
				290,587,989	
31130	Agriculture	Dep of Arts Cult Sci Techn	Afrika	95,000	
31130		Stockholms Universitet	Amerika	502,000	

				597,000
31182	Agricultural research	University of Dar es Salaam	Afrika	1,690,000
31210	Forestry administration	African Academy of Sciences	Afrika	23,500,000
31210		African Academy of Sciences	Afrika	11,750,000
31210		African Academy of Sciences	Afrika	5,000,000
31210		Not stated individual agreement	Afrika	1,500,000
31210		Dep of Arts Cult Sci Techn	Afrika	82,000
31210		Rakyat Berjaya Sdn Bhd	Asien	2,500,000
31210		Ministry of Science and Techno	Asien	2,080,000
31210		Sabah Forest Industries	Asien	210,000
31210		Not stated individual agreement	Globalt	8,400,000
31210		Consultative Group on Internat	Globalt	2,200,000
31210		Consultative Group on Internat	Globalt	1,000,000
31210		Not stated individual agreement	Globalt	385,800
31210		Not stated individual agreement	Globalt	250,000
				58,857,800
	Agriculture & forestry			351,732,789 11.4
31310	Fishing policy	Dep of Arts Cult Sci Techn	Afrika	500,000
31320	Development of fishing	West Ind Oce Marine Sci Ass	Afrika	24,245,513
31320		West Ind Oce Marine Sci Ass	Afrika	20,808,360
31320		Not stated individual agreement	Afrika	3,497,255
31320		Swedmar	Afrika	2,261,348
31320		West Ind Oce Marine Sci Ass	Afrika	1,484,371
31320		Swedmar	Afrika	645,874
31320		Dep of Arts Cult Sci Techn	Afrika	430,000
31320		Kinondoni Municipal Council	Afrika	246,112
31320		Universidad de Concepcion	Amerika	1,500,000
31320		Int Coral Reef Initiative	Globalt	14,207,408
31320		Swedmar	Globalt	12,975,661
31320		Int Coral Reef Initiative	Globalt	9,000,000
31320		Not stated individual agreement	Globalt	2,208,731
31320		Consultative Group on Internat	Globalt	2,000,000
31320		Not stated individual agreement	Globalt	1,661,000
31320		Consultative Group on Internat	Globalt	1,500,000
31320		Not stated individual agreement	Globalt	635,000
31320		Swedmar	Globalt	604,101
31320		Not stated individual agreement	Globalt	443,233
31320		Not stated individual agreement	Globalt	100,000
31320		Not stated individual agreement	Globalt	54,519
31320		Not stated individual agreement	Globalt	17,275
				100,525,760
	Fishing			101,025,760 3.3

32182	Natural sciences & technology	Stockholm Environment Institut	Afrika	56,000,000
32182		Dep of Arts Cult Sci Techn	Afrika	10,341,684
32182		The AfricanTechPol.Res.Network	Afrika	1,800,000
32182		Internal decision Letter of Co	Afrika	1,000,000
32182		Dep of Arts Cult Sci Techn	Afrika	381,120
32182		Misc	Amerika	1,247,541
32182		Asian Institute of Technology	Asien	24,000,000
32182		Asian Institute of Technology	Asien	16,114,859
32182		Asian Institute of Technology	Asien	6,500,000
32182		International Science Programs	Globalt	76,500,000
32182		Internat Foundation Science	Globalt	56,000,000
32182		Internat Centre Theore Physics	Globalt	21,000,000
32182		Third World Academy, Science,	Globalt	15,000,000
32182		Third World Academy, Science,	Globalt	13,000,000
32182		Misc	Globalt	935,421
32182		Not stated individual agreement	Globalt	583,972
32182		Universiteit van Amstvedam	Globalt	550,000
	Natural sc. & technology			300,954,596 9.8
41010	Environment policy & admin.	National Museum of Kenya	Afrika	19,650,000
41010		National Museum of Kenya	Afrika	6,750,000
41010		African Centre Technology Stud	Afrika	3,000,000
41010		African Centre Technology Stud	Afrika	1,500,000
41010		Swedish Embassies	Afrika	78,684
41010		Misc	Globalt	5,700,000
41010		Consultative Group on Internat	Globalt	4,000,000
41010		Consultative Group on Internat	Globalt	3,500,000
41010		Consultative Group on Internat	Globalt	3,400,000
41010		Swedish Environmt. Protection Agency	Globalt	3,200,000
41010		Consultative Group on Internat	Globalt	2,500,000
41010		Consultative Group on Internat	Globalt	2,150,000
41010		Consultative Group on Internat	Globalt	2,000,000
41010		Consultative Group on Internat	Globalt	2,000,000
41010		Not stated individual agreement	Globalt	1,973,000
41010		Consultative Group on Internat	Globalt	1,250,000
41010		Not stated individual agreement	Globalt	823,221
41010		International Development Rese	Globalt	400,000
41010		Not stated individual agreement	Globalt	200,000
41010		Not stated individual agreement	Globalt	125,000
41010		Not stated individual agreement	Globalt	120,000
				64,319,905
41082	Environment research	African Academy of Sciences	Afrika	3,000,000
41082		Dep of Arts Cult Sci Techn	Afrika	374,880
41082		Misc	Globalt	1,355,928
41082		Not stated individual agreement	Globalt	454,255

41082		United Nations	Globalt	240,000	
				5,425,063	
	Environment			69,744,969	2.3
43030	Urban development & taking care	Not stated individual agreement	Globalt	216,830	
	Urban			216,830	0.01
43040	Development of rural areas	University of Nairobi	Afrika	5,800,000	
43040		Dep of Arts Cult Sci Techn	Afrika	472,500	
43040		Dep of Arts Cult Sci Techn	Afrika	98,000	
43040		Not stated individual agreement	Afrika	77,994	
43040		Consultative Group on Internat	Globalt	127,587,250	
43040		Consultative Group on Internat	Globalt	100,000,000	
43040		Sveriges Lantbruksuniversitet	Globalt	1,729,007	
43040		Not stated individual agreement	Globalt	64,990	
43040		Not stated individual agreement	Globalt	22,820	
	Rural			235,852,561	7.7
43082	Social science research	Council for the Development of	Afrika	55,000,000	
43082		African Economic Research Con	Afrika	51,500,000	
43082		Stockholm Environment Institut	Afrika	33,000,000	
43082		Council for the Development of	Afrika	28,405,394	
43082		Org Social Science Research	Afrika	19,000,000	
43082		Misc	Afrika	19,000,000	
43082		Org Social Science Research	Afrika	15,000,000	
43082		African Association of Politic	Afrika	14,000,000	
43082		African Economic Research Con	Afrika	10,000,000	
43082		Dep of Arts Cult Sci Techn	Afrika	8,030,778	
43082		University of Dar es Salaam	Afrika	8,000,000	
43082		Union for African Population S	Afrika	7,000,000	
43082		Inst Southern Afr stud Lesotho	Afrika	6,930,000	
43082		Southern African Political Eco	Afrika	4,700,000	
43082		University of Dar es Salaam	Afrika	4,670,000	
43082		Southern African Political Eco	Afrika	4,475,000	
43082		Not stated individual agreement	Afrika	4,350,000	
43082		Dep of Arts Cult Sci Techn	Afrika	4,054,120	
43082		African Association of Politic	Afrika	3,766,634	
43082		Org Social Science Research	Afrika	3,200,000	
43082		African Economic Research Con	Afrika	3,000,000	
43082		Council for the Development of	Afrika	3,000,000	
43082		Inst Southern Afr stud Lesotho	Afrika	2,000,000	
43082		African Association of Politic	Afrika	2,000,000	
43082		Kungliga Vetenskapsakademin	Afrika	2,000,000	
43082		University of Pretoria	Afrika	2,000,000	
43082		Dep of Arts Cult Sci Techn	Afrika	1,326,099	
43082		Göteborgs Universitet	Afrika	744,030	

43082	Dep of Arts Cult Sci Techn	Afrika	699,500
43082	Instituto Nacional de Estudios	Afrika	600,000
43082	NUSESA Network of Users of Sci	Afrika	500,000
43082	Centre for Basic Research	Afrika	450,000
43082	Consejo Latinoamericano de Cie	Amerika	43,000,000
43082	Consejo Latinoamericano de Cie	Amerika	35,200,000
43082	Facultad Lationamericana de Ci	Amerika	15,200,000
43082	Facultad Lationamericana de Ci	Amerika	12,500,000
43082	Not stated individual agreement	Amerika	6,300,000
43082	Facultad Lationamericana de Ci	Amerika	6,000,000
43082	Facultad Lationamericana de Ci	Amerika	3,000,000
43082	Facultad Lationamericana de Ci	Amerika	3,000,000
43082	Facultad Lationamericana de Ci	Amerika	3,000,000
43082	Facultad Lationamericana de Ci	Amerika	3,000,000
43082	Facultad Lationamericana de Ci	Amerika	1,500,000
43082	Centro Agronómico Tropical de	Amerika	1,000,000
43082	Misc	Amerika	890,094
43082	Facultad Lationamericana de Ci	Amerika	400,000
43082	Facultad Lationamericana de Ci	Amerika	400,000
43082	Facultad Lationamericana de Ci	Amerika	400,000
43082	Centro de Documentacin y Estud	Amerika	100,000
43082	Not stated individual agreement	Amerika	59,421
43082	Not stated individual agreement	Amerika	47,214
43082	Not stated individual agreement	Amerika	40,921
43082	Universiti Sains Malaysia	Asien	20,000,000
43082	International Development Rese	Asien	9,000,000
43082	International Union for the Co	Asien	4,325,447
43082	APISA Asian Pol & Int Studies	Asien	3,000,000
43082	Ministry of Science and Techno	Asien	2,600,000
43082	International Development Rese	Asien	2,000,000
43082	International Union for the Co	Asien	2,000,000
43082	Ministry of Science and Techno	Asien	1,500,000
43082	Misc	Asien	1,198,021
43082	Not stated individual agreement	Asien	548,475
43082	APISA Asian Pol & Int Studies	Asien	500,000
43082	Not stated individual agreement	Asien	305,574
43082	Not stated individual agreement	Asien	93,972
43082	Not stated individual agreement	Asien	40,403
43082	Not stated individual agreement	Asien	22,077
43082	Not stated individual agreement	Globalt	501,827,539
43082	Misc	Globalt	56,421,786
43082	International Science Programs	Globalt	46,500,000
43082	UN Research Institute for Soci	Globalt	38,000,000
43082	UN Research Institute for Soci	Globalt	24,500,000
43082	Not stated individual agreement	Globalt	20,071,556
43082	International Science Programs	Globalt	19,000,000
43082	Internat Foundation Science	Globalt	15,640,000

43082	Internat Foundation Science	Globalt	15,000,000
43082	Internat Foundation Science	Globalt	15,000,000
43082	Internat Centre Theore Physics	Globalt	13,000,000
43082	Third World Academy, Science,	Globalt	10,000,000
43082	Göteborgs Universitet	Globalt	8,100,000
43082	Third World Academy, Science,	Globalt	6,500,000
43082	Lunds Universitet	Globalt	5,251,720
43082	International Science Programs	Globalt	5,000,000
43082	Not stated individual agreement	Globalt	4,440,000
43082	Göteborgs Universitet	Globalt	4,063,000
43082	International Science Programs	Globalt	4,000,000
43082	Lunds Universitet	Globalt	3,950,000
43082	Consejo Latinoamericano de Cie	Globalt	3,500,000
43082	Misc	Globalt	3,280,000
43082	Not stated individual agreement	Globalt	2,544,138
43082	International Science Programs	Globalt	2,500,000
43082	World Institute of Developmen	Globalt	2,500,000
43082	Uppsala Universitet	Globalt	2,405,000
43082	Kungliga Vetenskapsakademin	Globalt	2,400,000
43082	Not stated individual agreement	Globalt	2,360,054
43082	World Institute of Developmen	Globalt	2,000,000
43082	Göteborgs Universitet	Globalt	1,820,000
43082	Not stated individual agreement	Globalt	1,724,217
43082	Not stated individual agreement	Globalt	1,718,866
43082	Misc	Globalt	1,571,293
43082	Not stated individual agreement	Globalt	1,537,199
43082	Not stated individual agreement	Globalt	1,410,000
43082	UN Education, Science and Cult	Globalt	1,400,000
43082	Stockholms Universitet	Globalt	1,395,000
43082	Uppsala Universitet/ISP	Globalt	1,165,000
43082	Not stated individual agreement	Globalt	1,127,441
43082	International Development Rese	Globalt	1,000,000
43082	University of Oslo	Globalt	995,000
43082	Not stated individual agreement	Globalt	941,917
43082	Birzeit University	Globalt	920,000
43082	Not stated individual agreement	Globalt	874,406
43082	UN Development Programme	Globalt	850,000
43082	University of Oslo	Globalt	733,000
43082	Göteborgs Universitet	Globalt	700,000
43082	Utkal University	Globalt	415,000
43082	Kungliga Vetenskapsakademin	Globalt	381,206
43082	University of Witswatersand	Globalt	300,000
43082	Uppsala Universitet/ISP	Globalt	300,000
43082	Jawaharlal University	Globalt	210,000
43082	Uppsala Universitet/ISP	Globalt	200,000
43082	Stockholm Environment Institut	Globalt	198,000

43082		Not stated individual agreement	Globalt	119,506	
43082		Not stated individual agreement	Globalt	34,793	
Social sciences				1,365,369,810	44.4
99810	Not bounded sector	Dep of Arts Cult Sci Techn	Afrika	2,747,101	
99810		Universiteit van Amstedam	Asien	900,000	
99810		Not stated individual agreement	Globalt	164,046	
99810		Not stated individual agreement	Globalt	140,000	
99810		Not stated individual agreement	Globalt	98,622	
99810		Not stated individual agreement	Globalt	11,430	
99810		Karolinska Institutet	Globalt	-145,000	
99810		Stockholm Environment Institut	Globalt	-220,000	
99810		Not stated individual agreement	Globalt	-400,000	
99810		International Labour Organizat	Globalt	-652,154	
Not bounded				2,644,046	0.1
99820	Development of collaboration	about development of collaboration	Globalt	1,886,281	
99820		Misc	Globalt	190,011	
99820		Misc	Globalt	186,000	
Cooperation development				2,262,291	0.1
Total				3,073,532,989	100

Source: SAREC:s table entitled "Insatser som haft utbetalningar under 2006 t o m 20060404 där ansvarig enhet i PLUS varit SARECs enheter 756 och 759".

Notes: This is the table provided by Sida/SAREC to the team of the universe of contributions made during 2000–05 to the thematic programs.

Several problems exist with the data in this table. First, it includes Swedish institutions that are NOT a part of the thematic program. Second, it divides the grants into two major administrative categories – Human Sciences for Social Development and Natural Sciences for Sustainable Development. At a later time, the administrative groupings were expanded into four themes – Social Sciences and Humanities; Health Research; Natural Sciences and Technology; and Environmental Sciences and Natural Resources.

Initially the team assumed that the five digit code for each contribution would provide the requisite detail to group the allocations by different themes and sub-themes and regions. That procedure proved fruitless. A manual and somewhat subjective process was then used to develop a broad understanding of the themes, regions, and institutions supported. The table was compared with the SAREC Annual Reports for 2000 and 2005. The Annual Reports provide a listing of the thematic research programs, and under each theme list the main organizations supported and the distribution of funds by theme and region. (There were also small differences often between numbers within the SAREC Annual Reports and between Sida and SAREC annual reports. These do NOT suggest any concerns on the part of the team that there are inadequate financial controls. But they do suggest that significant attention needs to be placed on how data are generated for analysis and reporting purposes.)

Careful review of the data as presented in the table and the Annual Report suggested that the Annual Report provided more robust information for further analysis. For sampling purposes, pivots were made on the institutions funded. All uncategorized and Swedish organizations that appeared to be outside the thematic category were first excluded. Then all contributions to the remaining institutions were first grouped together and then summed to provide an estimate of the SAREC contributions to each. Finally, the institutions were re-organized by the four major themes as reported in the Annual Report.

This final table was used to draw the sample of institutions to be visited, and some broad numbers on the allocation of resources by themes and sub-themes.

It was the judgment of the team leader that much larger time allocations had been made to sort out the basic data and further work to refine the percentage allocations by theme and sub-theme would be a less than useful trade-off against the other requirements of the study. The allocations by organizations covered (Table 2) are the most robust; the thematic and regional allocations are relatively robust, and the final table on sub-thematic allocations are relatively weak.

Table 2: Institutions coverage of the evaluation (2000–05 funding)

	Location	Institutions	SAREC support 2000–2005	Consultants
		International		
		CGIAR	442,837,250	
1	Colombia	CIAT		F. Sagasti
		CIFOR		
		CIMMYT		
2	Peru	CIP		F. Sagasti
		ICARDA		
		ICLARM		
3	Kenya	ICRAF		G. Bjorklund
		ICRISAT		
		IFPRI		
		IITA		
4	Kenya	ILRI		G. Bjorklund
		IPGRI		
5	Philippines	IRRI		A. Rath
		ISNAR		
		IWMI		
		WARDA		
		World Health Organization (WHO)	246,800,000	
		African AIDS vaccine program/AAVP		
6	Switzerland	Alliance for health policy and systems research		M-A Lansang
7	Switzerland	Child and adolescent Health and development/CAH		M-A Lansang
8	Switzerland	Department of research policy and cooperation/RPC		M-A Lansang
9	Switzerland	Initiative on vaccine research/IVR		M-A Lansang
10	Switzerland	Program of research development and research training in human reproduction/HRP		M-A Lansang
11	Switzerland	Special program on research and training in tropical diseases/TDR		M-A Lansang
12	Switzerland	Council on Health Research for Development	47,250,000	M-A Lansang
13	Switzerland	Global Forum for Health Research (GFHR) *	25,000,000	M-A Lansang
14	Sweden	Uppsala University/International Science Programs (ISP)	162,623,938	F. Sagasti
15	Sweden	International Foundation for Science (IFS)	101,640,000	G. Bjorklund & F. Sagasti
16	Canada	IDRC	12,400,000	A. Rath
17	Ghana	Indepth Network	10,500,000	M-A Lansang
18	Sweden/India	Democracy and Human Rights (Utkal University)	415,000	A. Rath
			1,049,466,188	

		AFRICA		
19		Council for the Development of Social Science Research in Africa (CODESRIA)	94,941,569	O. Saasa
20	Sweden	BIOEARN (Stockholm Environment Institute)	89,638,000	G. Bjorklund
21	Kenya	African Economic Research Consortium (AERC)	64,500,000	O. Saasa
22	Ethiopia	Org Social Science Research in Africa (OSSREA)	53,106,695	O. Saasa
23	Kenya	Western Indian Ocean Marine Science Association (WIOMSA/MAMSA)	46,538,244	G. Bjorklund
24	Kenya	International Centre of Insect Physiology and Ecology/ICIPE	47,000,000	G. Bjorklund
25	Kenya	African Academy of Sciences/AFORNET	43,250,000	G. Bjorklund
26	Kenya	National Museum of Kenya/RPSUD	26,400,000	O. Saasa
27	Uganda	Vic Research (IUCEA Inter-University Council in East Africa)	25,100,000	A. Rath
28	Kenya	Coral Reef Degradation in the Indian Ocean/CORDIO	21,750,000	G. Bjorklund
29	Tanzania	University of Dar es Salaam	14,360,000	G. Bjorklund
30	Senegal	Union for African Population Studies (UAPS)	12,014,400	O. Saasa
31	Tanzania	Kinondoni Integrated Coastal Area Management Programme/KICAMP *	9,500,000	G. Bjorklund
32	Kenya	The AfricanTech Pol. Res.Network (ATPS)	1,800,000	O. Saasa
			549,898,908	
		ASIA		
33	Thailand	Asian Institute of Technology (AIT)	34,349,565	A. Rath
34	Bangladesh	ICDDR,B *	32,000,000	M-A Lansang
35	Singapore	Economy & Environment Program for South East Asia (EEPSEA)*	2,730,000	A. Rath
			69,079,565	
		LATIN AMERICA		
36	Argentina	Consejo Latinoamericano de Ciencias Sociales (CLACSO)	81,700,000	F. Sagasti
37	Costa Rica	Facultad Lationamericana de Ciencias Sociales	45,400,000	F. Sagasti
38	Costa Rica	Centro Agronómico Tropical de Investigacion y Ensenanza	1,000,000	F. Sagasti
			128,100,000	
Total			1,796,544,661	

* Estimates/Source: Table 1 and supplemented by contribution memoranda.

Table 3: SAREC commitments by programs 1980–05 (million SEK)

	1981	1986	1991	1998	2000	2003	2005
Thematic research	91.50	125.36	172.45	291.69	378.19	462.146	457.253
Bilateral research cooperation	16.81	40.18	115.33	115.75	192.30	182.035	249.057
Swedish development research	12.50	17.88	33.00	41.67	64.10	87.670	133.900
Administration	4.00	5.84	17.30				
Special programs			77.72				
Miscellaneous /other			11.5	13.89	6.41	11.145	7
Total	124.81	189.26	427.29	463.00	641.00	743.000	846.780

Source: SAREC Annual reports. Note that this differs from table 1 for reasons discussed.

Table 4: SAREC commitments by programs 1980–05 (total percent)

	1981	1982	1986	1991	1998	2000	2003	2005
Thematic research	73	70	66	40	63	59	62	54
Bilateral research cooperation	13	18	21	27	25	30	25	29
Swedish development research	10	9	9	8	9	10	12	16
Administration	3	3	3	4				
Special programs				18				
Miscellaneous /other				3	3	1	2	1
Total	100	100	100	100	100	100	100	100

Source: Table 3

Table 5: SAREC contributions by regions 2000–05

Region	2000	2001	2002	2003	2004	2005	2000–05
Africa	107,895,231	116,173,288	141,231,422	138,174,222	129,311,430	123,008,263	755,793,856
Asia	30,245,000	44,850,000	37,831,068	43,177,453	29,191,424	30,785,026	216,079,971
Latin America	25,414,969	29,586,321	28,081,329	26,150,000	28,397,541	30,200,000	167,830,160
International	300,853,105	338,286,158	322,187,980	342,563,918	349,607,656	380,260,186	2,033,759,003
Grand Total	464,408,305	528,895,768	529,331,799	550,065,592	536,508,050	564,253,475	3,173,462,989

Source: SAREC table entitled "Utbetalningar under 2000–2005 på SARECs enheter 756 och 759 per region".

Remark: This table includes a total of approximately 553 MSEK for Swedish development research in the final row. It was not possible to remove these individual contributions from this table.

Table 6: SAREC International and Regional research programs 1998–05(million SEK)

Type of Assistance	1998	1999	2000	2001	2002	2003	2004	2005	2000–05
International research programs	169.5	146.0	217.7	229.7	215.9	225.3	220.3	236.5	1345.4
Regional research programs	89.2	115.4	128.9	159.8	179.5	186.5	188.5	196.7	1039.9
Other research contributions	0.1		0.6	0	0.75	0	4.3	9.8	15.45
Special projects, research	41.5	35.2	34.8	46.6	44.9	34.0	29.4	29.4	219.1
Total	300.3	296.6	382.0	436.1	441.1	445.8	442.5	472.4	2619.9

Source: SAREC Annual Reports and consultations at Sida offices.

Remark: This table excludes Swedish development research shown in Table 6.

Table 7: SAREC disbursement by region 2000–05 (total percent)

Region	2000	2001	2002	2003	2004	2005	2000–05
Africa	23	22	27	25	24	22	24
Asia	7	8	7	8	5	5	7
Latin America	5	6	5	5	5	5	5
International	65	64	61	62	65	67	64
Total	100	100	100	100	100	100	100

Source: Table 6, inclusive of Swedish research.

Table 8: SAREC disbursement by institutions category 2000–05 (total percent)

Institutions Category	2000	2001	2002	2003	2004	2005	2000–05
Industrial country	2	2	4	3	4	4	3
Developing country	10	7	7	8	9	9	8
International institutions	12	13	13	16	17	16	14
International partnerships	57	58	59	58	55	55	57
Swedish entities	20	20	17	16	16	17	18
Total	100	100	100	100	100	100	100

Source: Based on Table 1 and Table 6 with extensive work to correct for discrepancies as far as possible as discussed in the notes of following Table 1.

Note: International institutions (United Nations agencies, multilateral and regional development banks), developing country organizations (government agencies, research centres, universities), developed country organizations (government agencies, research centres, universities), international science, technology and innovation partnerships (international networks, international research centres, regional organizations), and Swedish entities (research centres, universities, among others)

Table 9: SAREC disbursement by institutions sub-category (total percent)

Institutions sub-category	2000	2001	2002	2003	2004	2005	2000–05
International research centre	12	11	12	13	15	16	13
International research network	39	30	24	25	24	25	28
International research network – NGO	3	0	0	0	0	0	1
National institute	0	0	0	0	0	0	0
Government institute	1	2	1	0	0	0	1
Regional research network	19	25	31	29	31	30	27
Regional research network – intergovernmental	1	0	0	0	0	0	0
Regional research network – NGO	1	4	3	5	4	3	3
Regional research program	4	5	7	7	4	4	5
Research centre	0	0	0	0	0	0	0
Swedish research network	0	0	0	0	0	1	0
United Nations	12	13	13	15	16	16	14
University	5	7	5	4	3	5	5
University – Regional research program	3	5	2	2	3	2	3
University – Research centre	0	0	0	0	0	0	0
Total	100	100	100	100	100	100	100

Source: Based on Table 1 and Table 6 with extensive work to correct for discrepancies as far as possible

Table 10: SAREC disbursement by Thematic Research Programs (total percent)

Thematic Research Programs	2000	2001	2002	2003	2004	2005	2000–05
Environmental Sciences & Natural Resources	47	38	30	32	33	34	36
Health Research	17	18	19	20	21	23	20
Natural Sciences & Technology	23	24	29	24	20	18	23
Social Sciences and Humanities	13	20	22	24	26	25	21
Total	100	100	100	100	100	100	100

Source: Based on Table 1 and Table 6 with extensive work to correct for discrepancies as far as possible

Table 11: SAREC disbursement by Sub-Thematic Research Programs (total percent)

Sub-Thematic Research Programs	2000	2001	2002	2003	2004	2005	2000–05
Social Sciences and Humanities							
Democracy and Human Rights Program	0.3	0.4	0.1	0	0	0	0.1
Economy	3	2	5	5	7	4	4
Social Sciences	12	20	20	21	23	24	20
Swedish multidisciplinary networks	0	0	0	0	1	1	0
Natural Sciences & Technology							
Basic Sciences	22	21	22	21	19	18	20
Energy, Climate and Environment	8	12	13	8	7	5	9
Health Research							
Health research and policy	5	5	4	4	5	5	5
HIV/AIDS and related sexually transmitted diseases	2	2	2	1	1	1	1
Regional program for environmental and health research in Central America	0	0	0	0	0	0	0
Research training and networking in biomedicine in Central America	1	0	0	0	0	0	0
Sexual and reproductive health	0	0	0	0	0	0	0
Tropical and other infectious diseases	2	2	3	5	5	6	4
Other	11	13	13	14	14	16	13
Environmental Sciences & Natural Resources							
International agricultural research, food security and genetic resources	24	3	2	2	2	3	6
Other international organizations	4	5	5	5	6	7	5
Other regional programs	2	3	5	6	7	6	5
Regional marine research programs	4	8	4	4	5	6	5
Others (a)	2	5	2	3	1	1	2
Total	100	100	100	100	100	100	100

Note: (a) Includes support to several organizations that may or may not belong here – University of Zimbabwe, Zimbabwe; Universiti Sains Malaysia, Malaysia; Nong Lam University, Viet Nam; Mekelle University College, Ethiopia; Makerere University, Uganda; Lunds Universitet, Sweden.

This table needs to be interpreted with the greatest caution. Essentially as the note after Table 1 points out this has the scope for errors of classification that are most serious. For instance, while here the allocation for democracy and human rights seems as low as 0.1%, going through a number of individual projects and their themes suggests that it could be as high as 4%. Other issues include the classification of energy and environment in one theme and environment and natural resources as another theme. It should also be noted that while some of the data can be improved some other issues are fundamental to classification problems and are beyond easy solutions.

Table 12: Sida & SAREC evaluation studies

	1996–99	2000–05	Total
All Sida	179	280	459
SAREC	22	27	49
SAREC/Sida	12.3%	9.6%	10,6%

Source: Evaluation Database of Sida

Table 13: Comparison of SAREC:s ratio staff and budget with four other institutions (M SEK)

	SAREC	Sida	Swedish Res. Council	VINNOVA	IDRC	Rockefeller Foundation
Year	2005	2004	2005	2005–06	2005	2004
Total grants given (M SEK)	847	b 12000	2520	g 1100	j 986	914.3
Total staff	43	c 863	e 183	h 192	k 425	186
Ratio Grants/Total staff	20	13.9	13.8	5.7	2.3	4.9

Sources: (b–c): SAREC Internal tables 2006 given to evaluators; (e): Sida Annual report 2004 p.147; (g): “Swedish research Main financing bodies”; (h): Swedish Research Council website; (i): A driving force for growth – VINNOVA 2005; (k): VINNOVA website; (l) IDRC Annual Report 2004–05, C\$145.6 million; and (m): Rockefeller Foundation Annual Report 2004.

Table 14: Geographical coverage of the evaluation (2000–05 funding)

Regions	SAREC support 2000–05	Coverage by the evaluation	% Evaluation coverage
International	2,033,759,003	1,049,466,188	52
Africa	755,793,856	549,898,908	73
Asia	216,079,971	69,079,565	32
Latin America	167,830,160	128,100,000	76
Total (a)	3,173,462,990	1,796,544,661	57
Total Thematic (b)	2,619,900,000	1,796,544,661	69

Sources: “SAREC support 2000–2005” data are from Table 6 “Coverage by the evaluation” data are from Table 2. (a) Note that the actual amounts for thematic research is less by 553 MSEK. See Table 5. (b) from Table 6.

Table 15: Thematic coverage of the evaluation (2000–05 funding)

Themes	Sums for covered themes 2000–05	Total sums by themes 2000–05	% covered
Social Sciences and Humanities	555,745,664	1,392,006,841	40
Health	336,550,000	492,087,365	68
Environmental Sciences & Natural Resources	679,159,432	795,587,895	85
Natural Sciences & Technology	225,089,565	391,206,841	58
Not bounded sector	0	2,644,046	0
Total	1,796,544,661	3,073,532,988	58

Source: Table 1

Remark: The thematic breakdown of different themes/institutions may be arbitrary, due to SAREC coding system and cross-disciplinary work done by institutions.

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Annex 6: Persons Met and Interviewed

Sida/SAREC

Ulla Andrén, Evaluation Department, Sida

Berit Olsson, Director, SAREC

Barbro Carlsson, Head of Division, HUMAN

Eva Ohlsson, Head of Division, NAV

Tekaligne Godana, Social Sciences

Robert Nygårds, Natural Resources and Environment

Staffan Wikteliuss, Natural Resources and Environment

Sara Gräslund and Claes Kjellström, Natural Resources and Environment

Hanna Akuffo, Head of Division, UNI

Marianne Boquist, Social Sciences

Pär Svensson and Viveka Persson, Health Research

Tomas Kjellqvist, Deputy Director

Lena Trojer, member SAREC Research Committee

Arne Svensson, Team leader organizational study

Måns Lönnroth, member SAREC Research Committee

Lennart Wohlgemuth, member SAREC Research Committee

Olle Stendahl – missed, member SAREC Research Committee

Ad Boeren, Team Leader study on Bilateral Cooperation

Swedish Ministry of Foreign Affairs

Mats Hårsmar

Torgny Holmgren

Andreas Ershammar

Royal Academy of Sciences

Gunnar Öquist, Permanent Secretary, member SAREC Research Committee

Stockholm University

Sven Hesse, Department of Social Work, member SAREC Research Committee

Swedish Research Council

Anette Moth Wiklund, Director International Affairs

FORMAS (Swedish Research Council for Environment, Agricultural Science and Spatial Planning)

Uno Svedin, Director of International Affairs.

IFS

Michael Ståhl, Director

Swedish University of Agricultural Sciences

Barbara Ekbom

ISP, Uppsala

Lennart Hasselgren

Swedish Institute for Studies in Education and Research

Enrico Deiacò

Svensson & Svensson

Börj Svensson

Third World Academy of Sciences

Erik W. Thulstrup, Professor, Fellow of the Norwegian Academy of Sciences

International Potato Center

Pamela K. Anderson, Director General

CATIE

Francisco Alpízar, Director

José Joaquín Campos, Deputy Director General

FLACSO

Dr. Carlos Sojo, Director

CLACSO

Atilio A. Borón, Executive Secretary

AIT

Said Irandoust, President,

S. Kumar, Professor

M. Hussain, Co-ordinator

VicRes

Zadoc Ogutu, Coordinator

BIO-EARN

Bananuka John Armstrong, Coordinator

CGIAR: ILRI

Carlos Seré, Director General

Bruce Scott, Director, Partnerships and Communications

A. Okeyo Mwai, Animal Geneticist

Etienne P. de Villiers, Scientist, Bioinformatics Group Leader

Julie M. Ojango, Animal Geneticist

Veyrl Adell, Public Relations Manager

Erik Bongcam-Rudloff, Swedish scientist from SLM on the FORMAS-program

CGIAR: ICRAF

Jan Laarman, Deputy Director General for Programmes

Chin Ong, Plant Physiologist and RELMA Project Manager

Maimbo M Malesu, Regional Coordinator GWP Associated Programme and RELMA

Keith D Shepherd, Principal Soil Scientist

Thomas Yatich, Research Analyst in Environmental Policy

Jean-Marc Boffa, Senior Tree Scientist

Meshack Nyabenge, GIS Unit Manager

CGIAR: IRRI

Robert Zeigler, Director General

M.T. Jackson, Director, Program Planning and Communications

CGIAR: CIP

Pamela K. Anderson, Director General

ICIPE

Christian Borgemeister, Director General

Onesmo K. Ole-MoiYoi, Director, Research and Partnership

Roger Finan, Director of Finance and Administration

Ahmed Hassanali, Head, Behavioural and Chemical Ecology

John I Githure, Head, Human Health Division

Ian Gordon, Principal Scientist, Environmental Health Division

Swedish Embassy, Nairobi

Eidi Genfors, Counsellor, Rural Development, Sub-Saharan Africa

Swedish Embassy, Bangkok

Anders Granlund, Regional Adviser Environment

AFORNET

Iba Kone, AFORNET Coordinator

Godwin Kowero, Leader, Sustainable Forest Management in Africa (SFMII), chair of
Technical Committee

August B. Temu, Chair of the Board

Ingvar Backéus, Board member (Professor in Ecological Botany, Uppsala – met in Sweden)

Björn Lundgren, Board member, Royal Swedish Academy of Agriculture and Forestry

AFORNET – East and Northeastern Africa Ecoregion

Eby Chagala-Odera, Assistant Director, Kenya Forest Research Institute

Ben Chikamai, NGARA Coordinator

African Academy of Sciences

Stephen G. Agong, Executive Director

CORDIO

Olof Lindén, World Maritime University, Malmö (met in Sweden)

WIOMSA/MASMA

Vesa-Matti Loiske, Co-coordinator MASMA, Södertörn University College (met in Sweden)

Per Wramner, Coordinator COMREC, Södertörn University College (met in Sweden)

Julius Francis, Executive Secretary, WIOMSA

Melckzedeck Osore, Research Coordinator

Anna Blomberg, Communication and Extension Coordinator

IMS, University of Dar es Salaam, Zanzibar

Alfonse Dubi, Director

Ntahondi Nyandwi, Associate Director

Matern Mtolera, Senior Research Fellow, Living Resources and Ecology

Stockholm Environment Institute/BIO-EARN

Ivar Virgin, Swedish Coordinator (met in Sweden)

International Foundation for Science

Michael Ståhl, Director (met in Sweden)

Council on Health Research for Development

Carel Ijsselmuiden, Director

Sylvia Dehaan, Head of Projects and Programmes

Global Forum for Health Research

Stephen Matlin, Executive Director

Andres De Francisco, Deputy Director

IDRC

David Glover, Director, Economy and Environment Program for SE Asia (EEPSEA)

Brent Herbert-Copley, Director, Social and Economic Policy

Jean Woo, Program Officer, Innovation, Technology and Society

The Rockefeller Foundation

Charles A. Gardner, Associate Director for Health Equity

ICDDR,B: Centre for Health and Population Research

David Sack, Executive Director

F. Qadri, Scientist, Immunology Lab

Rubhana Raqib, Immunology Lab

Ishtiaque Zaman, External Relations & International Development Office

Swedish Institute for Infectious Diseases

Gunnel Biberfeld

Goteberg University

Lennart Freij, (formerly with Sida/SAREC)

Karolinska Institute

Goran Tomson, IHCAR

Hans Rosling, Division of International Health

Vinod Diwan, IHCAR

World Health Organization

Timothy Evans, ADG, EIP

Sara Bennett, Manager, AHPSR/EIP

Marie-Paule Kieny, Director, IVR

Elizabeth Mason, Director, CAH

Tikki Pang, Director, RPC/EIP

Robert Ridley, Director, TDR

Paul Van Look, Director, RHR

Catherine D'Arcangues, RHR

Bruce Dick, ADH/CAH

Olivier Fontaine, NCH/CAH

Craig Lissner, RHR

Cathy Wolfheim, CAH

Utkal University

Amareswar Mishra, Professor, Political Science

African Economic Research Consortium (AERC)

Olusanya Ajakaiye, Director of Research

Njuguna Ndung'u, Director of Training

Grace S. Amurle, Chief, Resources

African Technology Policy Studies Network (ATPS)

Osita Ogbu, Executive Director

Sheila Maina, Research Manager

Kennedy Auka, Finance and Administration Manager

National Museums of Kenya

Helida A. Oyieke, Research and Scientific Affairs

Union for African Population Studies

Elizabeth Annan Yao, Executive Director

UN African Institute for Economic Development and Planning (IDEP)

Diery Seck, Director

Centre for the Development of Social Science Research in Africa (CODESRIA)

Adebayo Olukoshi, Executive Secretary

Mohamed Cherif Diara, Programme Coordinator, Finance and Education

Francis Nyamnjoh, Head, Department of Publications and Dissemination

Ebrima Sall, Head, Department of Research

Carlos Cardoso, Programme Office, Department of Research

Takayi Chibanda, Director of Administration and Finance

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SE-105 25 Stockholm, Sweden
Tel: +46 (0)8-698 50 00. Fax: +46 (0)8-20 88 64
E-mail: sida@sida.se. Homepage: <http://www.sida.se>