

Danish Institute for International Studies

External evaluation

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1 Summary

Introduction

This evaluation provides an assessment of the extent to which the mission, vision and objectives of the Danish Institute for International Studies (DIIS) are fulfilled. The evaluation analyses the strategic development and aims of DIIS and the expediency of DIIS strategy. It does so by focusing on DIIS organisation and activities with regard to research, policy studies, teaching, dissemination and networking. The analyses, assessments and recommendations are the responsibility of an international panel of distinguished experts from the academic and practical fields of international studies.

Overall conclusions

The evaluation concludes that, overall, DIIS has been successful in establishing an effective research organisation. The institute of today is the result of a 2003 merger of four research institutions plus a 2006 internal re-organisation, and it is evident that DIIS has been able to bridge the former institutions so that the institute now appears as a consolidated research institution with a common identity and platform. This has been achieved by applying a de facto strategic approach to the reorganisation of DIIS. However, for the further development of the institute, it is no longer sufficient to rely on informal strategic considerations, and there is a need for a public strategy encompassing the totality of DIIS activities.

DIIS conducts and publishes independent research and policy studies of good, and in some cases excellent quality. The institute has a broad mandate defined by law, and international competition is tough in the domains DIIS is active in. DIIS does not have the resources required for achieving international excellence in all fields. Even so, its wide portfolio, the mix of research and policy studies and the broadness of theoretical and methodological approaches are what make DIIS special and constitute an important comparative advantage for the institute.

The present organisational structure enables DIIS to be innovative and flexible in its research approach, and it seems to support the activities of the institute well. DIIS staff and activities are or-

organised in thematic research units, which provides valuable assistance in bringing together researchers with different disciplinary backgrounds who work on similar research topics. The research unit structure has helped break down old barriers of the former merged institutions and has also created a dynamic framework for thematically defined research agendas. The units are established for a period of three years, following which they must be positively evaluated in order to be allowed to continue. This three year time frame provides stability, and at the same time it enhances dynamic and relevant research agendas.

DIIS is characterised by centralisation and informality, which creates a challenge to organisational communication and decision making. In some ways, DIIS is characterised by a flat structure, but in reality the power is in many respects centralised with the Director. Accordingly, almost all decisions are made by the Director alone or as a result of bilateral and informal meetings. Whereas this is accepted in the organisation and seems to work well under the current Director, it also means that the transparency of organisational decisions is low. This is emphasised by the fact that DIIS is characterised by a high degree of informality, e.g. it does not have a written strategy, a management group, or effective and broadly-based representative bodies. This means that there are no formal or public links to facilitate internal communication between the strategic management level and the individual researcher regarding organisational issues and the research agendas within the units.

There is a good working atmosphere at DIIS, and staff express satisfaction with their jobs and the working conditions. However, the career prospects for staff at DIIS are not very clear. The use of non-permanent positions, especially for junior researchers, and the flat organisational structure leave scarce possibilities for career planning, career incentives and upward mobility. The panel considers it a challenge for DIIS to continue to attract and retain excellent researchers.

Central recommendations

Develop a comprehensive strategy addressing all DIIS activities

DIIS should give a strong priority to developing a comprehensive strategy addressing the entire range of DIIS activities and their interrelations. At present the organisation lacks the tools to prioritise and deal strategically, coherently and transparently with its activities and challenges, e.g. to realise potential synergies between different activity areas. A comprehensive and public strategy could help this by communicating the institute's aims, means and values to both internal and external stakeholders. The development of a comprehensive strategy should take place in processes that involve both staff and management in order to ensure organisational ownership and the beneficial effects thereof.

Strengthen the organisation through strengthening the intermediary management level

DIIS should begin an internal process of strengthening the intermediate level of the organisation in order to further consolidate the organisation as a whole, but without creating unnecessary hierarchies. The Director of DIIS has a hands-on approach to management and decision making, e.g. being responsible for staff development interviews with all permanent researchers. The panel believes that the Director's time could be better spent on strategic challenges and overall organisational development. A strengthening of the intermediate management level should relieve the Director of some of her tasks. Furthermore, a strengthened intermediate level could encourage effective and transparent structures and procedures for manoeuvring, prioritizing and decision making in the research units and the organisation in general. Today, only the Director seems to have a grasp of the totality of activities, and over time this might lead to a fragmentation of the organisation. Strengthening the intermediate management level should commit the research unit coordinators to not only their respective units, but to DIIS as a whole.

Develop an internal career path at DIIS

DIIS should develop an internal career plan to attract and retain excellent staff, as this is a prerequisite for conducting high quality research. In relation to this, it may be expedient for DIIS to consider the possibility of introducing research professors among the staff categories. Furthermore, DIIS should pay attention to the further mentoring of junior researchers in their academic work and help them to acquire skills and experiences that equip them for a future move should they so desire, e.g. to policy-oriented careers such as ministerial analysts, private-sector consultants or careers at the universities.

About the recommendations

The recommendations are the responsibility of the international expert panel. They reflect the panel's prioritisations of the many possible recommendations to be derived from the documentation submitted, and should be interpreted as the panel's accentuation of key points in the evaluation. However, the report contains other recommendations than those outlined above. These are presented in context in chapter 10 and are listed in total in appendix E. The recommendations concern many areas and aspects of the organisation and its activities, but are primarily targeted at the DIIS management.

2 Introduction

This report presents the outcome of an evaluation of the Danish Institute for International Studies (DIIS). The evaluation has been conducted by the Danish Evaluation Institute (EVA) in cooperation with an international panel of experts within DIIS research fields.

The evaluation focuses on the organisation of DIIS, the effectiveness of DIIS strategy, and DIIS ability to fulfil its mission, vision and objectives. The evaluation process has involved a large number of DIIS employees and has been characterised by openness, self-reflection and a willingness to improve and develop the organisation.

This chapter begins with a short introduction to DIIS, and is followed by a presentation of the purpose, organisation and methodology of the evaluation.

2.1 Short on DIIS

DIIS was established 1 January 2003 as the result of a merger of four institutions: Danish Institute of International Affairs (DUPI), Centre for Development Research (CUF), Copenhagen Peace Research Institute (COPRI) and Danish Centre for Holocaust and Genocide Studies (DCHF). DIIS together with the Danish Institute for Human Rights constitute the Danish Centre for International Studies and Human Rights (DCISM), sharing a common administration and library.

DIIS is an independent and self-governing institution under the Ministry of Foreign Affairs of Denmark and is situated in Copenhagen. DIIS carries out research, dissemination, teaching and revenue-generating activities within the fields of conflict, foreign affairs, genocide, holocaust, security and development. The institute has its own Board, and its daily operations are managed by a Director. The institute is organised into ten research units covering the following fields of specialisation:

- foreign policy;
- EU internal dynamics;
- defence and security;

- trade and development;
- holocaust and genocide;
- migration;
- natural resources and poverty;
- religion, social conflict and the Middle East;
- politics and governance;
- political violence, terrorism and radicalisation.

According to DIIS' Annual Report 2007, 94 people are employed at the institute: 41 research staff; 17 PhD candidates; 17 technical administrative staff; and 19 student assistants and interns. In 2007, the total income of the institute was DKK 69.2 million.

2.2 Purpose

The purpose of this evaluation is to examine and assess the extent to which DIIS fulfils its mission, vision and objectives according to a set of predefined criteria, which are presented in Appendix B. Furthermore, the evaluation examines the expediency of DIIS strategy with regard to fulfilling its mission, vision and objectives.

2.3 Expert panel and project group

An international expert panel and a project group from EVA have carried out the evaluation. The international panel is responsible for the academic content of the evaluation and for the assessments, conclusions and recommendations. The members of the expert panel are:

- Director, Raimo Väyrynen (Chairman), Finnish Institute of International Affairs;
- Professor, Hanne Foss Hansen, University of Copenhagen;
- Professor, Peter Uvin, Tufts University;
- Professor, Roger Jeffery, University of Edinburgh.

Curriculum vitae information on the members of the expert panel is available in Appendix C.

The project group from EVA has been responsible for the methodological and practical aspects of the evaluation. The members of the EVA project group are:

- Special Advisor, Inge Enroth (Project Manager);
- Evaluation Officer, Simon Holmen Clemmensen;
- Evaluation Officer, Søren Poul Nielsen;
- Evaluation Assistant, Nadja Lysen.

2.4 Methodology

DIIS has asked EVA to carry out the evaluation and be responsible for project management, methodological and organisational planning, and to support the expert panel appointed by EVA in writing the evaluation report. Assessment focus, evaluation process and objectives, as well as evaluation methodology, are accounted for in the terms of reference, which can be found in Appendix A.

Criteria

The evaluation is based on criteria that are elaborations of the seven overall evaluation themes.¹ The criteria are intended to clarify the focus of the evaluation, and as such the themes and criteria have formed the structural framework of both the self-evaluation report, which DIIS prepared for the evaluation, and for this final evaluation report. The criteria are intended to ensure openness and transparency, as the use of criteria exposes the bases for the assessments and conclusions of the evaluation. A total list of the criteria is available in Appendix B.

The report mentions the relevant criteria at the beginning of each chapter (or sub-section when there is more than one criterion in a chapter), and these form the bases for conclusions at the end of the same chapter (or sub-section). The criteria appear in chapters 3 – 9.

The criteria are derived from central documents of DIIS and interviews with DIIS stakeholders, and they reflect the expectations to research institutions such as DIIS and to the activities of DIIS expressed by these sources. The EVA project group initially sketched a gross list of criteria, which was prioritised, commented on and approved by the panel. Finally, the criteria were commented on and approved by DIIS management.

Documentation

Two types of documentation form the basis of the evaluation:

- self-evaluation report and supplementary documentation;
- site visit to DIIS.

The self-evaluation and the site visit have been designed to provide documentation for the work of the panel, but also to motivate internal discussions at DIIS on strengths and weaknesses related to the issues of the evaluation and to enhance the process of continuous improvement of the quality of DIIS activities.

¹ Six themes were noted in the terms of reference, and subsequently the expert panel decided to add a seventh theme: activities in combination.

The two types of documentation are weighted equally and illustrate mainly the same issues. They will now be described in more detail.

Self-evaluation report and supplementary documentation

DIIS has prepared a self-evaluation report during the period February – May 2008. The self-evaluation report is based upon self-evaluation guidelines sketched by EVA and endorsed by the panel. The guidelines presented the criteria and, for each criterion listed, some points that DIIS were expected as a minimum to report on in order to illustrate whether the criterion was fulfilled. The guidelines also contained a list of supplementary documentation requested by the panel. The majority of this documentation was provided by DIIS.

The DIIS self-evaluation report appears to be the result of a thorough and comprehensive effort by a dedicated management and staff. DIIS established an internal self-evaluation working group comprised of members from the DIIS Research Committee and Executive Committee, as well as research unit coordinators. The group discussed the self-evaluation criteria and the draft chapters of the DIIS self-evaluation report. DIIS appointed one or two writers for the various chapters, and a draft of the report was the subject of discussion at a personnel seminar. Thus, taken in combination, the self-evaluation served the purpose of stimulating internal debate and reflection on the fulfilment of the DIIS mission, vision and objectives.

The self-evaluation report has in general been useful to the panel in assessing the institute and its activities. The self-evaluation report contains good descriptions and frank reflections on the activities of the institute and, together with the appendices, provides a useful introduction to the activities conducted. The information provided was mainly of a qualitative nature. Some quantitative data was also provided.

Site visit

The panel visited DIIS in Copenhagen over the period 10 – 12 June 2008. The site visit was arranged by EVA in cooperation with DIIS in order to provide the panel with an opportunity to elaborate on the information in the self-evaluation report. The site visit also served to validate the information provided in the self-evaluation report. The programme for the visit was initiated by interviews with representatives from the Ministry of Foreign Affairs and the Ministry of Defence. There were also talks with the Board, the Director and various DIIS staff groups. The full site visit programme is available in Appendix D. All participants contributed with their knowledge and views in a very constructive and committed way.

2.5 Content of the report

The report contains an executive summary, an introductory chapter, eight main chapters and five appendices.

The executive summary in chapter 1 presents the main conclusions and recommendations of the evaluation. Chapter 2 introduces the background to the evaluation as well as relevant methodological aspects of the evaluation.

Chapters 3 – 9 discuss the seven overall evaluation themes: strategy; organisation; activities in combination; research; policy studies and ad hoc assignments; teaching and dissemination; and finally cooperation and networking. These chapters present the panel's analyses and assessments of the documentation and conclusions based on the criteria.

Chapter 10 also contains assessments, but here they serve the purpose of looking forward and substantiating the panel's recommendations, which are gathered together in this final chapter. A total list of the recommendations is available in Appendix E.

3 Strategy

This chapter presents the panel’s analyses of the overall strategic approach of DIIS, its views regarding DIIS strategy and the relevance of the strategic approach in relation to the DIIS vision and objectives (criterion 1).

3.1 DIIS regulatory framework

The legal framework for the overall objectives and scope of DIIS activities is laid out in the act governing the establishment of the Danish Centre for International Studies and Human Rights, thus including the establishment of DIIS itself (henceforth referred to as “the DIIS Act”²). The Act stipulates that:

For the purpose of strengthening research, analysis and information activities in Denmark relating to international matters, these being understood to be the areas of foreign affairs, security and development policy, conflict, holocaust, genocide and politically motivated mass killings, as well as human rights at home and abroad, a Danish Centre for International Studies and Human Rights is established. (Section 1)

The Act further lays out the specific activities to be undertaken by DIIS to achieve its objectives. These include: independent research on international affairs; analyses and statements upon request from the Danish Parliament or government, or on its own initiative; communication of results, documentation and information activities; participation in research capacity building in developing countries, in research education, and in international networks.

3.2 DIIS strategic approach

A comprehensive strategy for DIIS and its activities does not exist. In the self-evaluation report, DIIS considers the main strategic document to be the DIIS Vision Paper, which was prepared and

² Act no. 411, 2002

approved by its management in 2004 and shortly after presented to the Board. The Vision Paper presents the management's vision for DIIS, its goals and the means by which they are to be realised. The Vision Paper presents the following vision for DIIS:

To achieve national and international recognition for independent and accessible research of the highest quality.

The vision statement continues, to state that DIIS:

Shall be recognised in Denmark and abroad as a leading institute, producing research at the highest level.

The vision is underpinned by "Four goals for DIIS", which are: 1) research of the highest quality; 2) effective research dissemination; 3) independence; and 4) attractive workplace. Each goal is elaborated to describe the means for its achievement. However, these are formulated in general terms only and thus do not present real strategies.

At the operational level, the Vision Paper is supplemented by an internal Norm Paper from 2003. The Norm Paper sets targets for the distribution of time between basic research, policy studies and other activities, as well as publication targets for each researcher over a three year framework. In this way, the Norm Paper has strategic implications.

During the site visit, the Director called attention to the strategic goals which she has been working to realise in order for DIIS to achieve recognition for high research quality:

- to merge the four former institutions into one, and to establish a common DIIS identity;
- to establish a structure which facilitates the continuous development of the institute and its activities (instead of getting stuck within a fixed structure);
- to strengthen and emphasise the research profile of the institute.

Assessment and conclusion

As DIIS is a special kind of institution that mixes research with policy studies, the result is a hybrid organisation with elements from both universities and think tanks. A hybrid organisation often experiences problems in balancing its activities in a way that allows it to obtain the positive effects of these various activities individually and in combination, both at the organisational and individual level. The panel notes that in the Vision Paper, DIIS is primarily reflected as a research institution. Much attention is also given to the dissemination of research, to the question of how to safeguard independence and to DIIS as an attractive place to work. However, reflections on policy studies as well as the interplay between research, policy studies and other activities are absent. The panel finds this problematic, as the panel believes such reflections to be a precondition for

making the most of such a hybrid organisation and ensuring that all core activities and their interplays are dealt with strategically.

According to the self-evaluation report, a new vision statement, building on the Vision Paper, is under preparation. The self-evaluation report presents a small, but central draft section of the new vision statement. Against this background the panel is, of course, not able to thoroughly assess the ongoing work, but welcomes the initiative of revising the vision statement. The vision seems to be moving from a strong emphasis on research towards a more hybrid self-image, covering all the key activities undertaken at DIIS. The panel applauds this possible move as more truly and fairly reflecting DIIS, and considers it important that DIIS strategically relates to its hybrid nature in order to, not resolve, but engage with and tackle the fundamental conundrum.

The strategic approach as accounted for by the Director seems relevant to achieving the DIIS vision and objectives concerning DIIS as a recognised research institute. It is clear that it has been necessary to prioritise the consolidation of the institute in order to create the appropriate working conditions that are preconditions for carrying out high quality research. In this sense there is coherence between the strategic approach and the vision. The panel notes that the strategic role of the Board does not seem very significant, and that the strategic work appears to be handled by the Director.

Thus, the panel concludes that while DIIS does not have a written strategy, the de facto strategic approach, partly grounded in the Vision Paper, has in many respects worked well for DIIS. It has been crucial to initially focus on the reorganisation of DIIS to create a well-functioning institution, but now the panel considers that it is also time to move on towards a more comprehensive and formalised strategic approach.'

4 Organisation

This chapter has a broad scope, as it concerns the organisational structure and overall funding of DIIS. It also includes matters concerning the organisational standard, such as quality assurance and organisational culture.

4.1 Organisational structure

In this section the panel focuses on the organisational structure of the institute. The various levels of the organisation are described and their corresponding functions are accounted for. The panel also presents its assessment of the organisation of DIIS and whether the organisation supports the carrying out of DIIS activities (criterion 5).

Past and present organisation

When DIIS was established as a merger of four research institutions, the institute was organised in a departmental structure with five largely autonomous departments, which on the whole corresponded to the pre-merger institutions. Each of the five departments was managed by a Head of Department who, together with the Heads of the Management Secretariat and the Publication Unit, constituted the Management Committee, which in turn assisted the Director.

In 2006, the Departments were abolished, and the present organisation of DIIS centred on research units was introduced.

Board

The Board has overall responsibility for activities conducted as well as for the general, strategic and budgetary development of DIIS, including finances and operations, personnel structure, performance contracts, research strategy, and commissioned reports. The Board comprises 11 members, each appointed in their personal capacity for a four-year term by the following bodies:

- one member appointed by the Social Science Research Council;
- one member appointed by the Research Council for the Humanities;
- one member appointed by the Board of Danida;

- four members appointed by the Danish Rectors' Conference;
- one member appointed by the Prime Minister;
- one member appointed by the Minister of Foreign Affairs;
- one member appointed by the Minister of Defence;
- one member elected by the staff of the institute.

The Board is obliged to convene at least four times annually.

Director

The Director is responsible for the overall daily management of DIIS. According to the documentation provided, this includes:

- strategic research management, including chairing the DIIS Research Committee (with veto power), deciding on strategic planning and the development of the DIIS research profile, establishing research units, deciding on resource allocation between research units, facilitating regular meetings with research unit coordinators, and holding responsibility for the contents of DIIS reports;
- financial management, including preparing budget proposals to the Board, negotiating DIIS funding, determining overall resource allocation, and deciding on budget revisions;
- general and administrative management, including developing and maintaining relations to external stakeholders, staff management (including direct responsibility for permanent staff and salary settlement), organisational development, negotiating performance contracts with MFA and MoD, deciding on policies for internal and external communication, and chairing the DIIS Executive Committee.

DIIS does not have a management group. The Director is supported operationally by a Management Secretariat. Furthermore, an Executive Committee and a Research Committee advise the Director.

In the self-evaluation report, DIIS states that the rather flat structure of the institute creates a portfolio for the Director that may not be appropriately dimensioned. As an example, the report mentions staff management as being a very time consuming task. The report discusses whether having to conduct staff development interviews with all permanent staff, as is currently the case, reflects an optimal prioritisation of the Director's time.

Assessment

The panel agrees with this self-assessment by DIIS. The Director has a very hands-on approach to management, and it follows from the centralisation of the management power with the Director that she is responsible for staff development interviews with all permanent researchers. In the panel's view, it is doubtful whether this is an efficient use of the Director's time, which could be

better spent on strategic challenges or overall organisational development, and more staff management issues could be delegated to research unit coordinators as part of a general effort to strengthen the intermediary level at DIIS, cf. section 10.3.

Research units

Since 2006, DIIS activities have been organised into ten research units, one of which is specified in the DIIS founding Act as a special section (Department) of the institute: Holocaust and Genocide Studies. The intention behind the research unit structure is to organise the academic activities of DIIS in a way that breaks down old departmental barriers and promotes dynamic development by bringing together researchers with different approaches, yet similar interests.

The research units are defined by their thematic research areas, and vary with regards to personnel and budget resources. The largest research unit, Defence and Security, employs 13 researchers, while the smallest unit, Holocaust and Genocide, employs 3. In some units the activities are closely coordinated, whereas others function more as thematic frameworks for diverse research projects. The annual budgets of the research units are set individually by the Director in response to proposals from the units and on the basis of certain general allocation principles, e.g. with regard to travel budgets for researchers.

Each research unit is established for a period of three years on the basis of a research agenda and prepares annual work plans and intermediary targets which are monitored by the Director and the Research Committee (see below).

The research unit structure was discussed in depth both during the site visit and in the self-evaluation report. The units have now been in existence for two years, and in 2009 both their structure and the units themselves are to be evaluated. According to DIIS, it may be expedient to consider the number and scale of the research units, as well as the issue of cross-unit cooperation, as part of the upcoming evaluation.

Research unit coordinators

Each research unit is headed by a research unit coordinator appointed by the Director, either selected from the pool of senior researchers or recruited externally.

The coordinators' general and administrative tasks include supporting the Director within the remit of each of their units, generating research statistics and managing the non-permanent staff. Unit coordination includes managing the unit activities and preparing its annual work plans, facilitating the realisation of these, deciding on resource allocation within the unit, participating in quality control of the activities conducted, facilitating scholarly development, and attracting external funds. Furthermore, the financial management responsibilities for research unit coordina-

tors include monitoring the unit's budget, reporting on consumption, handling external contracts in cooperation with the Director and assessing future budget needs. Finally, according to the written documentation, the unit coordinators are supposed to meet with the Director on a regular basis. The site visit revealed, however, that no formalised forum exists for the coordinators to meet across the units.

Assessment and conclusion (regarding the organisational structure)

The panel finds both advantages and disadvantages to the current organisation. Among the advantages are that the present structure allows the organisation to be rather innovative and flexible. The three-year time frame creates stability and makes it possible to achieve results, i.e. outputs, generation of external resources, etc. At the same time, the time constraint ensures that the research units do not stagnate and, together with the setting of intermediate targets for the units, helps ensure the relevance of the units' work and its correspondence with DIIS strategic aims. A unit that does not perform well or is no longer found to be relevant may in principle be discontinued. Furthermore, the panel sees it as a valuable asset of the research unit structure that researchers who work on similar research topics, but who have different disciplinary backgrounds are brought together. However, three years may be too short a period to attract leading researchers and produce innovative research at an international level.

Among the disadvantages, the panel finds that the intermediate level, which the research unit coordinators de facto constitute, has little capacity for making decisions. Decision making is the remit of the Director, which makes the research units less manoeuvrable.

The coordinators refer to the Director, but are not part of the management. This means that their formal interests are limited to their unit, and do not in principle encompass DIIS as a whole. Only the Director seems to have a grasp of the totality of activities, as issues are resolved one-on-one between the Director and the individual coordinator (or researcher) and not at coordinating meetings where all coordinators are present. Along with the lack of formalised procedures or fora for decision-making, this can lead to a lack of transparency and a fragmentation of the organisation.

In addition, there seems to be significant variation in the ways that research unit coordinators manage their units. The panel believes that the role of research unit coordinators is central to the work of the institute, but that this role and the responsibilities belonging to it are not yet adequately defined and clarified.

Overall, the panel concludes that the restructuring into research units has supported the activities of the institute well. It has been a good move for DIIS to replace the former departments with transverse research units. The reform has broken down old and seemingly entrenched barriers

and has created a dynamic framework for thematically defined research agendas. According to the evidence presented, the new structure has not led to a diminished fund-raising capability, which is important. However, as the research units have not yet completed a full three-year cycle, it is too early to fully pass judgment on the new structure. Hence, the upcoming evaluation of the structure and the current research units in 2009 is crucial.

Yet, the panel also concludes that the unit structure currently lacks a formal link between the strategic management level and the research agendas in the units. In the panel's view, this means that all possible advantages of the structure may not yet be fully exploited.

Research Committee

The DIIS Research Committee was established in 2006 with the main purpose of advising the Director on research-related matters. The Research Committee is chaired by the Director, and presently also includes two researchers elected by DIIS research staff and two senior researchers appointed by the Director. The members of the committee are elected or appointed for a 3-year term and, according to the Director, in future all members (apart from the Director) will be elected. The Director has veto power over decisions made by the Research Committee.

According to the self-evaluation appendix on "Management processes...", the Research Committee deals with strategic research matters. These include: advising the Director on strategic planning and on the DIIS research profile; in cooperation with the Director approving the annual work plans of the research units and giving feedback on output and results; advising the director on establishing new research units and "bubbles"; commenting on the research units' accumulative three-year reports; taking responsibility for quality control of programme applications; and advising the Director on research resource allocation and the establishment of research chairs.

The site visit showed very different interpretations of the remit of the Research Committee, which according to some of those interviewed was reflected in uncertainty regarding the work division between the research unit coordinators and the Research Committee. Indeed, the panel's meetings with DIIS staff, including members of the Committee, showed very different conceptions of the functions of the Research Committee than those stated in the documentation and reported by the Director. The general view expressed by staff was that the Research Committee does not have a lot to say, as it is merely an advisory committee to the Director. Thus, it was said, it is common to bypass the committee and go directly to the Director to get issues settled. But though there was broad approval to the committee's quality control of larger programme applications, only a few considered the present conditions to be all together well-functioning, and most were of the opinion that the committee should be given more status and decision making power.

Assessment

The panel finds that the role of the Research Committee is not presently deployed in the best possible way. As it is, the question presents itself as to whether there is enough value added by the committee in its current configuration as it is apparently primarily consulted by the Director on an ad hoc basis on her initiative. Or whether the committee should be formalised and play a more significant role with regular meeting slots, open agendas and minutes to make sure that decisions are properly communicated among the staff.

Finally, the panel wishes to point out the unclear inter-relationship between the Research Committee and the research unit coordinators, which bears a risk of duplication of work and confusion, as their respective areas of responsibility are closely related and not clearly delimited.

Executive Committee

The DIIS Executive Committee was set up in 2006 to serve as a formal link between the Director and the staff concerning administrative, non-research related matters.

The Executive Committee is chaired by the Director and is presently composed of the Head of Management Secretariat, the Head of the Publication and Information Unit and four staff members appointed by the Director.

According to the self-evaluation appendix on "Management processes...", the remit of the Executive Committee covers general, administrative and financial matters. This includes: ensuring mutual communication between the Director and staff; drafting policies for internal communication; assisting the Director in formulating administrative principles; ensuring that thematic institute meetings are held; contributing to target and result management with respect to DIIS development and support functions; and advising the Director on non-research related expenses and use of resources.

The responsibility of the Executive Committee is thus clearly described in the documentation submitted, but the site visit revealed that the actual functioning of the Executive Committee is quite different. Members of the Executive Committee and other staff members expressed uncertainty and lack of confidence with regard to its functions, purpose and anchoring.

Assessment

During the site visit, the panel gained a very strong impression that the function of Executive Committee is more a formality than actually deployed. Numerous reasons may exist for this. Nevertheless, the panel finds that formalised bodies must have a remit as well as a degree of visibility and transparency concerning their work and results in order to fulfil their purpose, and this does not seem to be the case today.

Management Secretariat

In 2003, the DIIS Management Secretariat was established. The secretariat supports the Board and Director in administrative and financial functions, and it supports the research units and staff in a range of administrative matters, practical tasks and support functions, e.g. proofreading, language editing and layout. Since 2006, DIIS budgets have been administered centrally in the secretariat, including monthly monitoring of spending. In addition to this, the Management Secretariat's Conference Section coordinates and supports conferences and seminars at DIIS.

The panel gained the impression that the administration is becoming increasingly professionalised, not least in relation to budgeting and preparing matters for the Board's agenda, with which the Board expressed satisfaction during the site visit. Apart from this, the documentation contains very little evidence of the functioning of the Management Secretariat, and at the site visit, it was only briefly touched upon. However, no major discontent was aired, which may be cautiously interpreted as a sign that there are no serious problems. Yet this is of course an inadequate basis for any clear and valid conclusion regarding the functioning of the administration (criterion 8).

As the need for centralised services is unquestionable, the panel suggests that DIIS evaluates the functioning of the secretariat and how it supports key elements of the organisation's work and structure, preferably after the wider review of the institute's structure in 2009 has been concluded.

4.2 Overall funding

This part covers both the DIIS funding situation and the allocation of resources.

Funding

This section presents the funding of DIIS and the panel's assessment of whether the funding of DIIS supports the carrying out of the institute's activities (criterion 4).

DIIS receives its funding from several sources. The main funding sources are the core grants provided by the Ministry of Foreign Affairs and the Ministry of Defence via DCISM to DIIS. According to the self-evaluation report, the DIIS share of the core grants to DCISM in 2007 was DKK 38 million, plus 9.7 million in various supplementary appropriations. While the funding from the Ministry of Defence is granted as a lump sum for general DCISM activities, the grant from the Ministry of Foreign Affairs is to a large extent required to be spent on activities that are in accordance with the standards established by the OECD's Development Assistance Committee.

In addition, DIIS has entered into a Defence Agreement with the Ministry of Defence for the years 2005 – 2009. In 2008, the revenue from this agreement is DKK 7.6 million for projects concern-

ing defence and security issues. The Defence Agreement guarantees DIIS more than DKK 7 million annually for the duration of the agreement, thus allowing for some long-term planning. The projects under the agreement are suggested by the Ministry of Defence and decided upon through consultations between DIIS and the Ministry of Defence on an annual basis.

DIIS receives external funding from many sources and in many different ways, e.g. through research grants won competitively or through income generating activities such as consultancies or work commissioned by other public institutions (typically the Danish Government, Parliament or ministries). In 2007, the combined total of external funding attracted by DIIS was DKK 24 million. On average, DIIS has attracted DKK 10.69 million from the research councils annually over the past four years, although with great variations from year to year. DIIS perceives a gradual shift towards increasing emphasis on external funding, with core funding slowly shrinking (a 2 per cent annual cut has been imposed on all public Danish institutions and organisations). Out of a total DIIS income of DKK 69.2 million for 2007, core funding makes up two thirds, with external funding supplying the final third.

Assessment and conclusion

The panel believes that in order to create and maintain a dynamic organisation that is able to produce high quality research and commissioned work, a mix of core funding and external funding is important, and the present balance of two-thirds core funding to one-third external funding seems healthy. Although core funding has been declining slowly, the panel has seen no compelling reasons to conclude that this is a major problem (although the initial 20% cut at the time of the merger clearly was).

As ever more Danish research funds are moved from core grants to competitive grants, it is important for DIIS to be able to attract external funding. Even though DIIS seems capable of competing successfully for research grants, it is unclear to the panel whether this is the result of proactive, strategic management or ad hoc decisions by individual researchers and research teams to ensure the necessary income to pay salaries.

In spite of the challenges mentioned, the panel must draw the overall conclusion that no evidence has been presented to indicate any major problems concerning current DIIS funding. Still, the gradual move from core to project funding is a concern, as it may result in DIIS being less capable of acting autonomously and of planning for the medium- or long term. And if this happens, it is the panel's experience that basic research activities are the first to suffer.

Resource allocation

This section considers the extent to which resource allocation conforms to the strategy (criterion 2).

In 2006 the budgeting procedure was centralised, replacing a department-centred approach with a top-down budgeting process in order to increase efficiency and transparency in resource allocation. At the same time, certain allocation standards were established, such as guaranteeing each senior researcher the same travel budget and each research unit the same opportunity to arrange conferences. In the view of the management there is now transparency on allocation of resources, and all information regarding this is available on the intranet.

It was widely acknowledged among staff during the site visit that centralising the budgeting process has created a more transparent and appropriate overall budgeting system, and one that is preferable to the previous system. Yet, while there is wide acceptance of the actual decisions made on resource allocation, the processes leading to the decisions are considered opaque and are being strongly questioned. Several employees expressed the perception that many decisions regarding resource allocation are made informally during bilateral meetings between the Director and researchers or research unit coordinators. And nobody thought that the advisory bodies - the research and executive committees - fulfilled any particular or discernible role in this process.

The perceived lack of transparency covers many areas of resource allocation, from issues of allocating seed money to decisions concerning the hiring of new researchers. Among the interviewed people at DIIS, many made the distinction that the decisions may be the right ones but the processes by which the decisions were made are the problem.

Furthermore, the panel met diverse assessments from staff regarding the underlying principles of the central budget. Some expressed the view that not all units are "pulling their weight", i.e. not raising enough external resources through consultancies and research grants. Also, that those units which are successful at raising external funds are not rewarded for this, but rather penalised by having central budget resources taken away from them. Others counter-argued that while some topics may be (temporarily?) en vogue on the consultancy market, this should not alone drive research and budgetary decisions. However, most staff fell somewhere in the middle, understanding quite well the difficult balance between these competing forces.

Assessment and conclusion

It appears that the management has followed an approach of spreading resources and supporting units through resource allocation. The Director and Management Secretariat have attempted to introduce transparency to the resource allocation and decision making processes, and the panel commends this effort. However, the criteria and the processes for resource allocation are not as clear and transparent to staff as the management seems to think.

In the view of the panel, actual resource allocation currently seems to depend on bilateral relations with the Director and is influenced by external factors (third party requests for projects), thus making the allocation process reactive rather than driven by a clear and public strategy.

While staff generally see the individual decisions of the Director as good and just, they lack the conditions for relating the decisions to a wider context of intentions, as could be stated in a comprehensive strategy. The dissatisfaction expressed among staff could either be due to the lack of a clear strategy or bad communication. Whatever the cause, the absence of a clear basis for decisions means that staff members make up their own explanations for why decisions are made.

Unfortunately, this has the potential to feed into old antagonisms that exist between some people and units, as outlined above in the discussion of contributions to the budget. This is a typical situation that prevails in many, if not all, institutions of a similar nature, and also within universities (between departments that bring in research funds and those that do not). It is nevertheless a situation that needs to be tackled by DIIS.

Overall, the panel must conclude that it is unclear whether resource allocation conforms to the strategy, partly because DIIS has not yet formulated a strategy and partly because reasons or criteria for the actual resource allocation have not been made clear.

4.3 Quality assurance

This section concerns DIIS methods and procedures for quality assurance of both research and commissioned works (criterion 6). The panel finds there are four important areas of quality assurance to be considered. One concerns assessment of applications for new projects (of all kinds). The next concerns the processes during work on a project. The third concerns the output, and the fourth concerns the organisational aspects.

New projects

DIIS has established and implemented quality assurance procedures for research applications. Major applications to research councils or foundations, i.e. collective or programmatic applications, are assessed by the Research Committee, whereas individual applications must be quality-controlled by the individual research units. DIIS reports that due to the implementation of these procedures the institute has been able to raise its success rate regarding research council applications from 9 per cent in 2005 to 44 per cent in 2007. The total number and size of grants applied for – and won – varies greatly from year to year. The success rate is subject to major fluctuations, and it is apparent from the submitted documentation that it is primarily the small projects that have been successful in attracting funds in recent years.

DIIS does not have the same systematic approach to quality assurance when undertaking new commissioned work. The self-evaluation report mentions a number of criteria regarding selection of projects, e.g. relevance to the remit of DIIS and the research unit in question; whether the required resources are available at DIIS; and whether synergy can be expected between research and the commissioned work. But both the self-evaluation report and the site visit indicated that there is no standard practice and that the criteria are used with great variation from unit to unit and case to case.

Work in progress

DIIS has documented few procedures for assuring the quality of work in progress. The Norm Paper mentions that continuous quality control, e.g. through presentation at department seminars, is expected to take place, and according to the self-evaluation report quality assurance is conducted in the case of 'development' work through peer assessment. During the site visit the panel was presented with a few examples of researchers subjecting their ongoing work to internal debate and critique. This seemed, however, to be based on individual initiatives and there was no report that this occurred systematically.

The only case of systematic quality assurance of work in progress at DIIS is with regard to the major commissioned works, which are submitted to either Parliament or the government under the responsibility of the Board. Regarding these projects, staff, management and the Board informed the panel that the Board takes a keen interest and comments on both process and content in an ongoing process, as considered in more detail in section 7.2

Output

The main emphasis regarding quality assurance at DIIS is on the output side, as DIIS research results are subject to the traditional methods of quality assurance in the academic world, such as peer-review and presentations at seminars and conferences.

In continuation of these academic principles and to encourage researchers to aim at publishing in leading journals, DIIS in 2007 implemented an incentive system which rewards international peer-reviewed publications with salary supplements. According to the self-evaluation report, the quality of research can to some extent be measured by the number of peer reviewed articles, book chapters and externally published books produced. The publication supplement system will be further discussed in chapter 6 concerning research.

While basic research is thus subject to peer-review before being published, the self-evaluation report notes that there is a lack of a full and consistent set of DIIS guidelines for securing quality in all types of policy studies and ad hoc works. DIIS has found it difficult to standardise quality as-

surance procedures for commissioned works, as they are targeted at a broad range of commissioning authorities and target groups, and result in diverse types of publications.

Furthermore, DIIS has an internal Institute Information system to which research staff must regularly report their outputs. The information is analysed by the Research Committee at least biannually, and is compared to the annual output targets set up by the individual research units. In the talks about quality assurance during the site visit, some staff expressed concerns that, currently, articles were counted, but little more was being done in terms of evaluating and discussing research quality.

Organisation

In 2007 DCISM carried out a workplace assessment (APV) of both physical and psychological working conditions. According to the self-evaluation report, the assessment showed room for improvement, and DIIS has undertaken follow-up initiatives such as more flexible workstations.

Staff development interviews are conducted annually, and according to the self-evaluation report DIIS has a number of sub-policies on personnel policy, internships, master students, etc., while policies on family and diversity are under preparation. It is, however, too early to say whether these policies have achieved their desired aims.

The planned evaluation of research units after a three year period should also be pointed out as a central quality assurance mechanism.

Finally, it must be also mentioned that DIIS does not currently include assessment of impact or systematic dialogue with stakeholders in the institute's range of quality assurance procedures.

Assessment and conclusion

Judging from the evidence presented in the self-evaluation report and during the site visit, the procedures that have been institutionalised regarding external publications and applications for research grants have been successful.

Regarding work in progress, the panel finds that organisational quality assurance mechanisms are less developed at DIIS. There is little evidence that the quality of research and commissioned work produced at DIIS is the subject of systematic discussions among staff at DIIS. Though internal debate and training may still be happening, it is not organised or supported by organisational procedures, making it dependent on the initiatives and goodwill of the individual researchers.

Furthermore the panel is confident that the research results are quality assured through peer-review. However, it must be considered a weakness that DIIS does not conduct stakeholder and

impact analyses, especially concerning the quality of commissioned works, but also concerning more general issues, e.g. communication and co-operation.

The panel is puzzled by the interpretation of the mandate stating that the Board is responsible for and approves major commissioned works. This is an unusual practice, both from a national and international perspective.

The panel concludes that DIIS employs some reasonable means of quality assurance, but that a lot could be gained by developing this area. The panel considers that DIIS would be well advised to carefully review its various internal processes. As the fundamental structure of the institute is falling into place, and the internal strains that followed from earlier turbulent years are subsiding, DIIS should be in a good position to profit rather easily in terms of efficiency and quality from looking systematically at its own daily routines.

4.4 Organisational culture

This section concerns the organisational culture at DIIS. It starts with the DIIS assessment of its own organisational culture, which is followed by the panel's assessment (criterion 7).

The merger of four institutions with very different histories and organisational cultures gave the institute a difficult start, with financial battles between departments and work often carried out in an atmosphere of internal conflict and distrust.

It is now just as evident that both staff and management believe that the institute has now overcome this difficult initial period. An example that was often quoted during the site visit was that people at DIIS now tend to say "we", meaning "us at DIIS", rather than "our unit". This example was used to exemplify that a common identity has now been developed.

It was frequently expressed by the people interviewed during the site visit that they were happy to be working at DIIS. When asked to describe the organisational culture at DIIS, the following rather positive expressions were used: *human face, caring, supportive, fun, a nice place to be, flexible, dynamic, close to society, relevant, up-to-date, professionalism, confused but well-meaning, organised chaos, individualistic, not very diverse*. At the same time, concern was often expressed as to what would happen when the current Director steps down and is replaced.

Assessment and conclusion

The panel is convinced that the working atmosphere has improved substantially over the past couple of years. Based on the evidence received, the organisational culture is generally positive, even though the panel had become aware of simmering tensions by the end of the site visit. This underscores that there is still work to be done in consolidating DIIS as a single entity, but great strides have surely been made, and there is much to build on, not least the palpable satisfaction with their workplace that researchers express.

Given the short time the panel spent at DIIS, it is not possible to fully and comprehensively conclude whether the organisational culture encourages and enhances excellent and innovative research and attracts highly qualified researchers. However, on the basis of what was said at the site visit and the panel's observations of the climate and the fashion in which the talks were conducted, the panel would like to say that the overall organisational culture seems to be conducive to a good working atmosphere and to frank discussions. People discuss openly and constructively, and freely agree and disagree, and even the most critical people expressed that DIIS is a good place to be, which suggests that there is enough room for differences and innovative ideas.

However, the panel wants to add to this rather positive picture of a caring and inclusive organisational culture that it may be worth remembering that there can be aspects of other organisational cultures that are valuable in motivating towards high quality results, e.g. more competitive aspects. In that respect, the current DIIS incentive structure may not be strong enough to create beneficial competition.

5 Activities in combination

This chapter addresses the central issues of balance between activities and whether synergy is achieved.

5.1 Balance between activities

In this section, the extent to which there is an appropriate and beneficial balance between different types of activities at DIIS is assessed (criterion 14).

The range of activities undertaken at DIIS is wide and encompasses:

- research;
- policy studies of shorter and longer duration;
- consultancies;
- educational activities;
- capacity building in developing countries;
- organisation of and participation in conferences and seminars;
- publishing;
- participation in public debate, including media appearances.

The internal Norm Paper establishes a ratio for the division of researchers' time to ensure an appropriate balance between these activities, and to provide a safeguard to allow the researchers time to conduct research. The Norm Paper states that researchers should spend 60% of their time on research, 20% on policy studies and ad hoc assignments, and the final 20% on teaching, administration and dissemination. The Norm Paper also specifies that each researcher is expected to raise 20% of her/his salary through external funding.

DIIS does not have a time registration system, so follow-up on each staff member's distribution of work time is carried out on the basis of a common system, called Institute Information, to which each researcher reports his or her activities and results on a monthly basis. According to the self-

evaluation report, the data in the Institute Information system is, among other things, used as input to the annual staff development interviews.

The site visit uncovered wide support for the Norm Paper among both staff and management, in the sense that they warmly welcomed the protection of research time by the norms. But it was equally clear that the interpretation of the Norm Paper varies significantly among members of the research staff. Thus, during the interviews conducted at the site visit, rather different interpretations of the Norm Paper were expressed. Some interviewees found that it gave the researchers the right to spend 60% of their time on research and served as a protection from spending too much time on policy studies. Others found that it was an ambition to strive for, either for each individual researcher or for each research unit, whereas others again perceived the ratio as an average to aim at for DIIS as a whole, and that it should be seen in an annual and even multi-year perspective. At present, some research units allegedly spend significantly more than 20 per cent of their time on policy studies. However, as DIIS does not have a time reporting system, the panel was presented with no hard evidence of this.

The Norm Paper provides a basis for researchers and management to monitor whether a researcher (or a research unit) spends a disproportionate amount of time on one kind of activity and to adjust the workload if this is found to be the case. But there are evidently also varying interpretations of whether and to what extent this basis is being or should be used. As was clearly expressed during the site visit, some indicated that they would prefer a stricter monitoring of the ratio between activities in order to ensure more time for research, whereas others stated that they would like the ratio to remain as a guide only.

The site visit also showed that very different conditions for meeting the ratio apply to the different research units. The units are obviously faced with varying demands for their services in terms of policy studies and consultancies. Consequently, some units conduct more policy studies than others, and some, especially the junior researchers interviewed during the site visit, expressed that they experienced a time-pressure with regard to their research activities caused by the quantity of policy studies.

Assessment and conclusion

The panel believes that it is important to maintain a sound balance between the various activities in order to achieve a successful transfer of insights and competences from one area to another. And the panel believes that the 60/20/20 ratio is a sound ideal to strive for – but not more than that. The panel agrees that the ratio should not be strictly enforced, but rather serve as a general guideline for the researchers' division of time, as seems to be the case today.

The panel has the clear impression that all the researchers appreciate the policy studies, which often take place outside the traditional halls of academia and are clearly more policy oriented, and that the researchers experience that policy studies often add value to their research. Yet, the panel fully understands that the intriguing mix of tasks also entails a risk of time pressure – sometimes policy studies and media appearances take up more time than the researchers would like and this encroaches on their time for research – a point which was also expressed by the interviewed researchers.

The panel notes that a cultural norm seems to exist among the researchers that there ought to be a balance in the time spent on various activities, and that this is generally strived for. Market mechanisms and demands on researchers' time for policy studies may pull in another direction, but in the view of the panel this is the exact reason for adopting the Norm Paper: to give the researchers a basis for regular assessments and discussions about what they are doing and how they divide their time.

The panel concludes that the balance between the different types of activities at DIIS as proposed in the Norm Paper does not always exist, neither at individual nor at unit level. The panel also concludes that this is as it is supposed to be. Strict enforcement of the Norm Paper is not desirable and would counteract the current flexibility and mixture of activities at DIIS. The Norm Paper is good to have, but it is not necessary to enforce it strictly.

5.2 Synergies

In this section it is assessed whether the activities undertaken by DIIS benefit each other so that synergy is obtained between them (criterion 15).

As accounted for above, DIIS strives to ensure that research, policy studies and dissemination activities are in an appropriate balance to be mutually reinforcing. The quality of research conducted is supposed to be enhanced by its closeness to the policy process and through ongoing dialogue with policymakers, other experts and members of the public. Conversely, policy studies are supposed to have a solid grounding in research. In this section, it is assessed whether these synergies are achieved to a satisfactory degree.

The effects of synergy between activities at DIIS would be the ability to produce both policy-relevant and solidly grounded papers at short notice on a variety of issues, to let insights gained from policy studies spill over into research and dissemination and vice versa, and to draw ideas and contributions from more than one unit or discipline, whether for policy advice, research proposals, consultancies or anything else.

According to the self-evaluation report, the organisational reform was based upon a realisation that synergies were not sufficiently harvested. The former departments were replaced by research units, and the special unit on major policy studies (udredningsafdelingen) was discontinued. In this way, research and policy studies were brought together organisationally into research units to promote transfer of knowledge between activities. Also, there is an ideal behind the Norm Paper: to facilitate synergies between activities by maintaining a proper balance.

According to the self-evaluation report and to statements made during the site visit, the organisational reform has increased the extent to which researchers feel that synergies are being achieved. Most of the researchers interviewed indicated that they are free to choose which policy studies to take on, and that those assignments are relevant for their research and that this creates conditions for synergy. However, in the self-evaluation report, DIIS also notes that synergy between research activities and policy studies is not always achieved, as some policy studies are far removed from the research interests of the involved researcher(s), and that this can generate frustration among the researchers if the studies are not well managed by the research coordinators. However, while the self-evaluation report identifies this as a problem, the site visit elicited no evidence that this was a major problem in practice.

According to the representatives of the ministries of Foreign Affairs and Defence that met with the panel during the site visit, DIIS researchers are very able to produce policy-relevant and solidly grounded papers at short notice on a variety of issues. The representatives mentioned the research basis and the fact that DIIS hosts seconded analysts from the ministries as reasons why DIIS is able to produce high-quality policy papers. Furthermore, the representatives commended DIIS for considerably improving their ability in this respect over recent years.

Assessment and conclusion

On the basis of the evidence presented to the panel, it seems that synergies between activities are in fact achieved. The current practice described above has the advantage of being based on the individual researcher to a large extent being able to choose which assignments to undertake, thus allowing each individual to pursue synergy between her/his policy work and research.

The downside to this practice is that there is a lack of clarity as to whether synergies are harvested to the extent they could be. To the panel, it seems that besides the organisational framework provided by the Norm Paper and the budgeting system, little is done systematically at DIIS to achieve and promote synergy between the activities.

DIIS, like other organisations with similar tasks, faces a basic dilemma that needs to be continuously managed. On the one hand there is an explicit wish to achieve synergy, and on the other hand market mechanisms and a continuing demand for external funding place an emphasis on

policy studies, consultancies and other kinds of commissioned works which are more lucrative than most research grants.

Overall, the panel concludes that the conditions for synergy are present: targeted budget allocations, motivated research staff and the Norm Paper all constitute a solid basis for achieving synergy between the activities at DIIS. The panel gained the impression that synergy has to some extent been achieved and has not seen anything in the self-evaluation report or during the site visit to indicate otherwise.

6 Research

This chapter focuses on the research conducted at DIIS. The expert panel has been presented with the analyses and views of DIIS concerning their research activities both in the self-evaluation report and during the site visit. This has been supplemented with examples of high quality research output from each of the ten research units, selected by the units themselves. Together, this input provides the background for the following descriptions and assessments of the research activities conducted at DIIS, including whether DIIS conducts and publishes independent research of a quality that ensures the institute a leading role within the scope of DIIS activities nationally and internationally (criterion 9). The assessment falls into two parts, one concerning independence and the other concerning research quality, each with its own conclusion. It should be noted that the method is not that of peer-review of the individual examples of research, but rather an assessment of the totality of the documentation in order to reach a general conclusion based on the criterion.

Below in section 6.1, some general characteristics of DIIS research activities are presented. Section 6.2 deals with the issue of independence, while the question of research quality is addressed in section 6.3.

6.1 Characteristics

The DIIS Act specifies that DIIS must conduct independent research on international affairs in the following research areas: conflict; foreign affairs; genocide; holocaust; and security and development.

DIIS deploys these research areas in the ten thematically based research units, which all relate to one or more of the areas established in the Act and form a framework for the content of DIIS research.

According to the self-evaluation report, the research topics presently dealt with in DIIS research activities are, among others: Development strategies; EU enlargement; global trade; international

security; peace and conflict; poverty analysis; the transatlantic relationship; topics related to access to natural resources, climate change, inequality and the environment; and trans-nationalism.

DIIS research activities are not organised geographically, but rather according to research themes, each of which may cover several geographic regions. However, some of the researchers at DIIS do represent geographic expertise. Generally speaking, the research activities cover the following geographic areas: Europe; The Americas (Central America and in particular Nicaragua); Africa (East Africa and in particular Uganda and Tanzania); Asia (in particular South-East Asia); and The Middle East.

DIIS research activities are characterised by a high degree of multi-disciplinarity, and DIIS researchers employ a wide range of theoretical and methodological approaches, involving both qualitative and quantitative traditions within the following disciplines: Anthropology; economics; geography; history; international relations; law; philosophy; political science; and sociology.

6.2 Independence

The self-evaluation report points out that as DIIS is a publicly funded institution conducting research and policy studies for the Danish government, Parliament and central administration, the institute needs to be continuously aware of the issue of its independence – actual and perceived. Because of its statutory tasks, DIIS management and researchers often get closer to the politicians and politics than is the case for researchers at a university. Moreover, the core budgets of DIIS are annually negotiated and appropriated in Parliament. DIIS acknowledges that the institute's close linkages to policy and politicians may give rise to questions regarding the independence or impartiality of DIIS research. Being directly funded by Parliament and ministries, the question arises as to whether DIIS will be sufficiently critical and objective in their analyses and potential criticisms of those same politicians, decision-makers and Parliament? As this question interests the media, the self-evaluation report also reflects on the issue that, beyond the crucial importance of the research actually being independent of various interests, the perception of the institute's independence among journalists and the general public is also vital.

The self-evaluation report states clearly that no external party is allowed to interfere with the research conclusions. However, the report also poses the rhetorical question of whether the selection of research topics and the formulation of research questions – i.e. the outset of the research – are equally impartial or are influenced by public discourse, media attention and political pressure. This raises the issue of self-censorship in formulating research projects and questions – a debate that was also brought to light during the site visit.

Both the self-evaluation report and the site visit have made it evident to the panel that DIIS staff and management are very aware of and regularly discuss the issue of independence. DIIS presents this as a subject that has no final solution, but one which must continuously be addressed by the researchers and the management.

Furthermore, the DIIS Board plays a role in relation to the independence of the institute. The composition of the Board (cf. section 4.1) is intended to enhance independence, as its majority are researchers. The Board must approve the major commissioned works as specified in the DIIS Act, but the Board never interferes or has a say in individual research or publications.

Assessment and conclusion

Based on the self-evaluation report, on the research output presented during the evaluation process, and on interviews conducted with DIIS staff and management as well as with representatives from the Ministries of Defence and Foreign Affairs, the panel has been presented with no evidence that the independence of DIIS research has been or is under threat of being compromised. DIIS is taking reasonable measures to avoid external pressure with regard to research activities and their outcomes, e.g. by seeking diversified sources of funding and engaging in internal discussions, and, above all, staff and management alike demonstrate observance and self-criticism with regard to their own proximity to policy making.

The panel consequently concludes that the independence of DIIS research is under no concrete threat that requires action beyond what is already being done. The panel agrees that independence must be continuously safeguarded and should periodically be the subject of internal discussions, and notes that DIIS seems to be doing exactly that.

6.3 Quality

Quality is obviously not a concept that can be measured and assessed objectively once and for all. Factors such as the method and focus for such an assessment are decisive. When asked to assess the quality of DIIS research, without conducting an actual peer-review, the panel has found it appropriate to take DIIS' own aims as the point of departure and to look at how DIIS itself measures and assesses its research quality. Therefore, this section focuses on DIIS aims for its research area, and its targets and criteria for its research area concerning quality. Thereafter, the panel gives its assessment of these.

A leading Institute

In the Vision Paper of 2004, DIIS presents its vision of playing a leading role nationally and internationally, which in the self-evaluation report is interpreted as being among the best, or "cutting edge". The report suggests that it is possible to assess whether this is the case by looking at a va-

riety of parameters, such as publications and reviews, invitations to be guest lecturers, seats on boards and expert committees, peer reviewing for journals and research councils, and membership of PhD committees. However, the self-evaluation report does not provide evidence of, or elaborations on how DIIS researchers score on the aforementioned mentioned parameters, and unfortunately a comprehensive assessment of this falls beyond the scope of this present evaluation.

According to the self-evaluation report, DIIS does play a leading role nationally, positively assisted by its close ties to policy-making and its multi-disciplinary approach. However, the report also mentions that few competing organisations can emulate the position of DIIS nationally.

Regarding a leading role internationally, the assessments of the research staff are somewhat less positive. During the site visit, research staff expressed that they do not perceive DIIS as assuming a leading role internationally, and that DIIS could do more with regard to debating and evaluating whether the desired quality is achieved. Moreover, some research staff members conveyed that DIIS should be better at producing innovative research.

DIIS quality criteria and targets for research

In the self-evaluation report, DIIS suggests that assessment of DIIS research could be done by looking at what DIIS publishes and where. A paper on publication supplements from 2007 presents a model according to which various kinds of peer-reviewed publications (journal, articles, edited volumes/special journal issues, monographs) receive points according to their “academic value”, i.e. whether they are published in a top journal or by a leading publishing house or not. If researchers receive a set number of points, they then receive a salary supplement. The model rewards various kinds of publications according to a points system and lets the researchers themselves decide in each case whether they will go for a top journal (which is often harder, takes more time, but gives more points) or a less demanding journal (which should be easier and faster, but gives fewer points). The paper contains lists of high-ranking journals from 11 disciplines and fields. These lists have been compiled using the Social Science Citation Index (SSCI) as the main key to identifying the leading journals in each of the disciplines and fields covered by DIIS, and then adjusted through internal deliberations aimed at identifying the 15 top journals for each of the 11 fields.

Moreover, DIIS has made the output norms explicit for all researchers at the post-doctoral level or above for a three-year period. These norms are: 3 peer-reviewed articles or 6 peer-reviewed book chapters or a monograph; 6 workshop papers at international conferences; and 3 Danish articles or DIIS working papers.

In addition, Table 1 shows the research targets set by DIIS as well as their degrees of fulfilment:

Table 1
Targets for research 2005-2008

	Target fulfilment 2007				2006	2005	05-07	2008	
	Target	Result	RT %	R/av %	Result	Result	Average	Target	T/aver. %
Peer-reviewed journal articles	35	34	97	117	23	31	29	49	169
Peer-reviewed book chapter	30	25	83	81	27	41	31	29	94
Non-Danish books (as author) with external publisher	3	2	67		7			8	145
Non-Danish books (as main editor) with external publisher	6	7	117	82	6	11	11	8	145
Books in Danish (as author or main editor) with external publisher	1	0	0	0	1	5	2	1	50
Editor-reviewed journal articles	20	14	70	82	19	?	17	15	88
Editor-reviewed book chapters	20	22	110	92	26	?	24	20	83
Books (author or main editor) published by DIIS	3	2	67	40	5	8	5	3	60
Publication of <i>DIIS reports</i>	25	15	60	115	10	15	13	30	231
Working papers	40	36	90	106	38	29	34	40	118
Conference papers	80	69	86	100	?	69	69	65	94

Source: DCISM Annual Report 2007 p. 12 -13 and self-evaluation report appendix 9.

For an assessment of quality, special attention should be given to the peer-reviewed research results. In 2007 DIIS researchers published 34 peer-reviewed articles, 25 peer-reviewed book chapters and 9 non-Danish books (2 monographs and 7 as editor) with external publishers. According to the documentation submitted by DIIS, 19 articles were published by DIIS researchers in one of the high-ranking journals mentioned in the publication supplement paper between 2006 and 2008, of which 8 were published in 2007.

Financial basis

DIIS has increased its rate of success in receiving research council grants in recent years, both as a percentage of applications and of money applied for. Judging by the supplementary documentation to the self-evaluation report and from the annual reports of DIIS and DCISM, DIIS receives many small grants, but does not excel at receiving large grants. Most successful applications have been around or below DKK 1 million, with only a few rising to DKK 3-4 million, and in terms of major international grants, DIIS has not been very successful.

Assessment and conclusion

The panel finds that there is a gap between, on the one side, the aim of being a leading institute and, on the other side, the targets set for the research activities and the actual products that are published. The panel has learned that, regarding the quality of research, there are significant differences between the units as well as between individual researchers. This is documented by information regarding the publication supplement, i.e. information about who got supplements and where they had been published (and also who did not get any supplements). In addition, a quick search at SSCI documents the differences between units and individuals. Against this background, the panel finds that a few DIIS researchers produce research of a very high quality, but also that the majority are not in positions of internationally recognised leadership in their respective fields

However, the panel is eager to stress that this is only what can be expected considering the young age of DIIS and its budget. It is unrealistic that an institute of this size with such a broad research profile and no immediate perspective of substantially increased core funding can maintain a leading international role in more than a very few research areas – and these are likely to arise somewhat serendipitously. It is not realistic to expect world class research unless one has world class funds available to attract the best talents and to nurture them. Furthermore, in the panel's opinion, an institution like DIIS requires a steady stream of relatively large grants to be able to plan strategically for the medium and long term. Therefore, the panel has some concerns regarding DIIS fundraising, as the strategy to win large grants is unclear to the panel.

Thus, the panel concludes that DIIS conducts and publishes independent research of good, and in some cases excellent quality, but the panel is not convinced that DIIS has a leading role in all its research areas internationally.

In this connection, the panel notes that the upcoming vision statement apparently does not include having a leading role nationally and internationally, and the panel welcomes what seems to be a more realistic and workable vision.

7 Policy studies and ad hoc assignments

This chapter addresses the policy studies and other income generating ad hoc assignments undertaken by DIIS as part of the institute's portfolio of activities. Firstly, the character and associated expectations of the range of policy studies and ad hoc assignments are described. This is followed by a discussion of whether policy studies impinge on the independence of DIIS. Finally, the degree to which the policy studies and other ad hoc assignments conducted by DIIS are of a high quality and support the mission, vision and strategy of the institute is assessed (criterion 10).

7.1 Characteristics

Under the terms of the DIIS Act, the institute is expected to conduct analyses and produce statements upon request from Parliament, the government or on its own initiative, and, furthermore, DIIS is allowed to carry out income-generating activities. By undertaking commissioned work such as policy studies, consultancies and topical reports, DIIS supplements its core grants, gains better access to the policy process and decision makers, and supplements its research with work that is directly related to ongoing events.

DIIS undertakes a range of short and long term commissioned works which according to the self-evaluation report include: major commissioned works (*udredninger* and *redegørelser*); commissioned chapters; reports and policy briefs; facilitation of donor agency/NGO workshops; and short consultancies or briefings.

In terms of duration, commissioned work can last anywhere from less than a week to several years, with consultancies and briefings being the shortest variants. At the other end of the scale, major commissioned works can sometimes last for several years with a significant full-time staff.

Major commissioned works are requested by the Parliament or government under the terms of a mandate and budget proposal drawn up by DIIS and agreed upon in consultation with the com-

missioning body. The major commissioned works constitute a special kind of assignment, as they are not just produced and presented as the work of the individual researcher (or group of researchers), but are conducted on the responsibility of the Board. This is a unique construction with its historical basis stemming back to the Committee on Security and Disarmament Policy (SNU) and which is now governed by the DIIS Act. The Board establishes an advisory group for each of these reports (such as the recently published report on the Danish EU opt-outs, commissioned by Parliament), which comments on both process and content in a close dialogue with the involved researchers. In terms of focus, method and context, the major commissioned works differ from most research projects and policy studies, as they often concern highly politicised topics that generate significant interest from the media and the public. Furthermore, as described in the DIIS 2007 annual report, the reports often pose significant methodological challenges, as they can deal with classified or hitherto unavailable and unsorted archival material. Such material may have to be sorted before analysis can commence, often under significant time pressure, even though the commissioned work can have duration of up to several years.

7.2 Independence

In addition to the challenges to the independence of the institute, which are considered in section 6.2 regarding the research area, DIIS identifies a number of challenges to its independence when conducting commissioned work. The most basic of these is the possibility of the commissioning body trying to interfere in the methods applied or even in which conclusions to draw. DIIS seeks to counteract any such problems by drawing up terms of reference for most commissioned works. The terms of reference are designed as a safeguard and to ensure that the methods applied and the inferences drawn from the research are solely decided by the responsible researcher(s). In addition, DIIS seeks to subject policy studies to the same internal quality assurance mechanisms that are applied to research projects. A related challenge in this regard is the role of seconded analysts, i.e. representatives from ministries working at DIIS for limited periods of time, who may be perceived as having their main allegiance with their home institution, which, furthermore, may also be the commissioning body. Also, reports may be seen as biased, both if they agree with the policy line taken by the commissioning body and if they do not. This is largely a question of public perception, where DIIS researchers have to carefully choose their words, especially when dealing with politically contentious issues.

The special role of the DIIS Board in relation to the few, but large major commissioned works has been the subject of public interest. One reason is that three members of the Board are appointed in their personal capacity by the Prime Minister, the Minister of Foreign Affairs and the Minister of Defence, respectively, which has led some politicians and journalists to speculate that their role is to ensure that the conclusions of major commissioned works are in line with government policies. Internally, it has been the subject of some debate that the Board interprets its mandate in a

way that imposes personal responsibility on the members of the Board for the content and form of the products that are published.

The Board's role was discussed during the site visit, and while the DIIS staff, management and Board all agreed that the construction was unique, no member of staff indicated that they had ever felt constrained or subject to pressure from the Board to adapt their findings to fit a political agenda or pre-given conclusions. Rather, it was indicated by experienced researchers that both the present and previous boards had on numerous occasions defended the independent findings of researchers, both in relation to research and major commissioned works.

Assessment

Overall, the Board and DIIS Director together play valuable roles in defending the independence of DIIS. While the main threats to independence seem to be related to those policy studies that attract strong public interest, the panel was presented with no examples that either mainstream research or commissioned works were handled in ways that might endanger intellectual freedom or lead to conclusions being tampered with for political or commercial reasons.

The panel was surprised to learn of the special role of the Board, and to hear that the Board has any direct role in relation to the work produced at DIIS apart from supporting the institute and helping with setting strategic directions. None of the members of the panel knows of other cases where the board of a research institution interprets its statutes in such a way. While everybody was downplaying how major an affair that was, arguing that Board members gave only positive comments that everyone could agree with, it nonetheless constitutes a uniquely interventionist practice, even if well used. This is an unusual practice in both a national and international perspective.

In general the panel considers quality control of commissioned work through ordinary academic peer-review to be preferable whenever possible.

The panel found it reassuring that DIIS obviously has a strong culture of internal discussions on how to ensure and maintain the independence of the institute's research and policy studies, and the panel encourages DIIS to continue these discussions, as awareness of these challenges are prerequisites to ensuring that independence is maintained.

7.3 Quality

DIIS targets and criteria for commissioned work

In its development contracts with the Ministry of Foreign Affairs, in the Defence Agreement, and in the annual work plans for each research unit, DIIS has set targets for the numbers and types of commissioned works to be completed each year. For the years 2005 - 2008, the targets and their degree of fulfilment are presented in Table 2.

Table 2
Targets for commissioned works 2005 - 2008

	Target fulfilment 2007				2006	2005	05-07	2008	
	Tar- get	Re- sult	R/T %	R/av. %	Result	Result	Average	Target	T/av. %
Publication of <i>DIIS Reports</i>	25	15	60	115	10	15	13	30	231
Publication of <i>DIIS Briefs</i>	55	38	69	141	28	15	27	75	278
Preparation/publication of commissioned reviews, reports, evaluations or policy-studies	20	29	145	132	27	10	22	15	68

Source: DCISM Annual Report 2007 p. 12 - 13 and self-evaluation report appendix 9.

As can be seen from the above table, both targets and results are increasing, indicating that DIIS researchers are in demand as producers of policy studies, etc. However, DIIS notes in the self-evaluation report that detailed information on commissioned works and analyses of possible critical features is not available.

The self-evaluation report states that five selection criteria for commissioned works are employed, but also that their use varies between units. The five selection criteria are:

- that the work should fall within the remit of DIIS and the responsible research unit. This entails giving consideration to available resources, priorities and commitments across the range of DIIS activities.
- whether DIIS has researchers with the requisite knowledge and with a solid grounding in research-based knowledge to complete the proposed commissioned work.
- whether the timing of the project fits the plans of the involved researcher(s).
- whether DIIS is able to establish a suitable research team with an appropriate mix of senior and junior researchers.

- whether the proposed commissioned work can help the research unit to realise its 20% target for external funding. This criterion is subsidiary to the other four.

Apart from the contract-based policy studies (e.g. under the Defence Agreements) and the major commissioned works, the responsibility for attracting commissioned works is decentralised to the research unit coordinators. The site visit showed that there are no set procedures for acquiring and accepting commissioned works, and that contacts may liaise with individual researchers, the coordinators or the Director.

Once the commissioned work has been accepted it is handled on an individual basis (except for the major commissioned works). As there are no explicit policies or common guidelines regarding the conduct of commissioned works, their success relies on key individuals and their accumulated experience. The self-evaluation report registers this as a possible weakness.

Assessment and conclusion

The range of policy studies and other ad hoc assignments conducted by DIIS is truly diverse. To ensure the quality and relevance of commissioned works, DIIS has set up selection criteria for deciding on which commissioned works to take on, but it seems that these are not followed systematically. There is a lack of monitoring and registration of the resources that are invested in commissioned works as well as of the results of these. Combined with the absence of internal guidelines for conducting commissioned works, e.g. how to attract staff and report on commissioned works, this means that there is no institutional memory. The panel finds this problematic and it is also a source of concern for DIIS, as great responsibility is placed on the shoulders of a few key staff members, making the Institute less flexible and more vulnerable in this regard.

On the basis of the documentation presented, especially the examples of high quality commissioned works submitted to the panel and the interviews with representatives from the two funding ministries, the panel's overall assessment is that the policy studies are generally competently produced and add value to the research undertaken at the institute.

The panel finds that some of the works are of very high value, high quality and cutting edge. They are innovative and contribute to carving out original fields. However, other parts of the commissioned works are conducted in well-established research fields, and naturally, serve mostly to bring previously published research results to the attention of policy-makers.

It is obvious to the panel that far more field work is reflected in the commissioned works than is usual for products from similar research institutions. It is the panel's assessment that a clear comparative advantage for DIIS with regard to policy studies is in the Institute's ability to produce studies that are well grounded in field research and reflect informed, intelligent and interacting

research. The panel altogether concludes that DIIS conducts policy studies and ad hoc assignments of a high quality.

8 Teaching and dissemination

This chapter focuses on DIIS activities connected with teaching, which is addressed in section 8.1, and dissemination, which is addressed in section 8.2.

8.1 Teaching

It is part of the legal remit of DIIS to participate in research education in collaboration with other research institutions, which includes the enhancement of research capacity in developing countries as well as undertaking supplementary education for users of the institute (DIIS Act, Section 2.4). Together, these activity areas are treated in this section under the headline 'Teaching' and form the basis for the panel's assessment of DIIS participation in research education and capacity building (criterion 11).

DIIS has chosen to fulfil its obligations in this respect through participation in PhD education, capacity building in developing countries and teaching at universities. These three issues will be dealt with in the following sections, but share a common conclusion at the end of section 8.1.

Research education

27 PhD students have been recruited to DIIS since 2003, of whom 10 were inherited from DIIS constituent institutions, and 17 have been recruited subsequently. Of the latter, 8 have been financed competitively through applications to Danish research councils, and 5 have been financed through DIIS.

DIIS targets regarding the PhD area are illustrated in Table 3 below.

Table 3
Targets for the PhD area 2005 - 2008

	Target fulfilment 2007				2006	2005	05-07	2008	
	Tar- get	Re- sult	R/T %	R/av. %	Result	Result	Average	Target	T/av. %
PhD dissertation de- fence (PhD candidates administered and super- vised by DIIS)	10	6	60	150	2	3	4	12	300
Admission of new PhD candidates (PhD candi- dates administered and supervised by DIIS)	7	5	71	100	1	8	5	10	200
Admission of new ex- ternal PhD candidates (PhD candidates supervised by DIIS)	5	3	60	100	6	0	3	5	167

Source: DCISM Annual Report 2007 p. 12-13 and self-evaluation report appendix 9

PhD students come with various backgrounds and agreements with their university departments. There are several ways to obtain PhD funding, e.g. DIIS calls, applications to universities, joint calls or research councils grants. Formally, all PhD students have both a DIIS supervisor and a university supervisor, but some get their supervision at DIIS and some at the university, and some both places. All PhD students are affiliated with a research unit.

Furthermore, between 2003 and 2008 DIIS staff have: participated in supervision of 11 PhD students not based at DIIS; organised or co-organised 28 PhD courses, of which 14 were competitively funded Nordic PhD courses; and participated as PhD examiners in 24 PhD examinations (interim and final).

According to the self evaluation report, DIIS has begun to set targets in relation to PhD recruitment, but the report does not elaborate on the nature of these targets. There is no written policy for the area nor is there any obligation to follow the informal policy of contributing to research education in collaboration with other universities.

Currently, DIIS does not collect data or information on completion time, publication of dissertations and further career paths of PhD's from DIIS. It is, however, a priority that DIIS reports to be addressing in this evaluation period.

During the site visit, the interviewed PhD students expressed satisfaction with the working culture and conditions, which they consider to be better at DIIS than at a university, and most students found the proximity to policy work to be an asset.

However, the interviewed PhD students also found that there is little integration among them. Some also felt that the way things are handled at DIIS fails to make clear what is expected of the PhD students, or what the students can expect of DIIS. It was also noticed that there no strategy or common approach existed for the PhD area at DIIS. Finally, the group of interviewed PhD students reported of cases of problems with different expectations from the university and DIIS as to the direction, contact with and management of the PhD.

Assessment

The panel got the clear impression that the PhD student set-up at DIIS is of great value to both the PhD students and DIIS. Even though PhD students are generally a difficult group to satisfy, and are notorious for being unafraid to speak up about their problems, the panel found that there was a high degree of satisfaction among the PhD students.

In spite of the overall positive impression of the PhD set-up, the panel finds room for improvement. No one seems to have an overview of the PhD area and the related activities. Responsibility for the individual PhD students lies solely with their individual supervisors, resulting in great variation in PhD supervision. The experiences of PhD students, supervisors and others are consequently not gathered together and exchanged, which would be of benefit to both DIIS and the PhD students.

Capacity-building

According to the self-evaluation report, DIIS is currently involved in one formal research capacity-building programme in a developing country. Participation in capacity-building is encouraged by both Board and Director, and in the self evaluation report the current level of activity is assessed as being low and is regretted. A reason given for the lack of further involvement in capacity-building programmes is their high demands on researchers' time in relation to both coordination and supervision.

When discussing this subject with the researchers during the site visit, it became clear that the question of how capacity-building activities are defined is important, i.e. should only formal capacity-building projects be considered, or should other activities count if they actually have the effect of building up the research capacity in developing countries, e.g. the supervision of PhD students in developing countries?

Discussions during the site visit indicated a view among researchers that capacity-building is difficult and time-consuming, as it is not the same as having a local partner for a research project. Rather, capacity-building involves developing local high-quality research institutions, assisting their researchers with their forays into publication, strengthening their access to information and technology, inserting them into professional networks, etc. According to the researchers interviewed, this is very time-consuming, and views were expressed that this sort of work is currently insufficiently recognised and attracts little merit at DIIS. There was a call for internal discussions to provide a clearer definition of capacity-building, of how DIIS should fulfil its obligation in this area bearing in mind the conflicting demands on resources and of how this kind of work can be supported at DIIS.

Assessment

The panel acknowledges that involvement in capacity building programmes is time-consuming, not least because initial capacity levels in partner institutions are typically low. Consequently, the level of activity in this area is something that has to be carefully discussed and considered by management and staff.

However, if DIIS is explicit about the various ways in which the institute currently and actually contributes to capacity-building in the broader sense of the concept, it may emerge that the contribution is not as small as first assumed.

Teaching

According to the self-evaluation report, the DIIS management allows staff to participate in undergraduate teaching and examining, as well as in professional training for stakeholders. Teaching activities take place on a voluntary basis and are individually arranged. Time spent on teaching activities can count towards the 20% work time for teaching and administration, as defined in the Norm Paper.

Since 2003, DIIS staff have organised 59 full university courses and have been members of 36 examination boards at bachelor and master levels. According to the self-evaluation report, a "considerable part" of undergraduate teaching at the universities is performed by DIIS-based PhD students as part of their contracts with the universities.

Apart from teaching at universities, DIIS staff organise other courses on which professional training is provided to stakeholders. DIIS estimates this to be a rather low level activity (ca. 4 occasions since 2003, unofficially).

Assessment and conclusion

Overall, regarding research education, capacity building and teaching, the panel concludes that DIIS conducts these activities appropriately. Throughout the organisation the PhD area generally functions much to the benefit of DIIS and the students, but does leave some room for improvement. The capacity-building activities do not seem to be a high priority at DIIS, but do in fact take place. Finally, teaching below PhD level is carried out on a wider scale upon the initiative of individuals.

8.2 Dissemination

This section presents DIIS dissemination activities and forms the basis for assessing the extent to which DIIS is visible in its communication of research results, analyses and knowledge to relevant target groups, as well as internal knowledge sharing (criterion 12).

Target groups

In the self-evaluation report, DIIS categorises its target audiences for external dissemination into four segments: academia; practitioners and policy-makers; donors and commissioners of assignments; and the general public.

While dissemination to the academic community has been dealt with in chapter 6, this section deals with dissemination to the three remaining target groups.

No impact analyses have been conducted, either by DIIS or as part of this evaluation, but the self-evaluation report indicates that the institute is considering undertaking such analyses in the future. DIIS maintains a contact database of about 4,300 individuals and institutions, divided into target groups of between 1,000 – 2,200 individuals and institutions, who receive various in-house publications directly via e-mail.

In the self-evaluation report, DIIS acknowledges the importance of identifying target groups from the outset of a research project, and states that efforts are underway to strengthen this element of DIIS work. However, there are currently no systematic efforts in this regard. DIIS do, however, state that targeting is an important element in the ongoing work of developing a DIIS communication strategy.

Whether and to what degree DIIS reaches its target audiences is hard to say, as no impact analyses have been conducted, either by DIIS or as part of this evaluation. But DIIS indicates in the self-evaluation report that the institute is considering undertaking such analyses in the future, and furthermore states that most researchers have a good feel for how their research results are being received by peers and stakeholders.

In the self-evaluation report, DIIS acknowledges the importance of identifying target groups from the outset of a research project, and that efforts are underway to strengthen this element of DIIS work. DIIS also acknowledges that specific target groups – and the best way to reach them – vary substantially. It is also stated that targeting is an important element in the ongoing work of developing a DIIS communication strategy.

External dissemination

DIIS is required to communicate results and analyses to the wider public (DIIS Act, section 2.3). The institute meets this obligation in a number of ways, including the dissemination of research results in academic journals and books and through participation in public debate.

The ambitions of DIIS concerning external dissemination are laid out in the 2004 Vision Paper and in the institute's communication strategy. In the Vision Paper, five means of ensuring effective dissemination are identified:

- a multi-pronged dissemination strategy;
- conferences and seminars;
- publishing (policy briefs, research reports, *Den Ny Verden*, etc.);
- lectures and visibility in the media;
- courses and education.

These means are further elaborated in the communication strategy, which aims to support DIIS efforts to realise its goals and vision. Furthermore, DIIS has identified specific dissemination targets. The dissemination targets and their fulfilment are listed in Table 4 below.

Table 4
DIIS dissemination targets and fulfilment 2005 - 2008

	Target fulfilment 2007				2006	2005	05-07	2008	
	Target	Result	R/T %	R/av. %	Result	Result	Average	Target	T/av. %
Organisation of research conferences or workshops	25	25	100	81	38	30	31	26	84
Organisation of public seminars	50	70	140	106	62	66	66	60	91
Publication of research-based popular science books	4	3	75	150	4	0	2	5	250
Publication of research-based popular science articles or book chapters (including the DIIS journal <i>Den Ny Verden</i>)	70	56	80	82	85	64	68	60	88
Interviews with national and international media	480	573	119	106	483	562	539	500	93
Public lectures (e.g. briefings, school classes, societies, etc.)	100	94	94	77	141	131	122	110	90
Publication of 2 issues of the journal <i>Den Ny Verden</i> every six months	4	7	175	233	0	3	3	4	133
Subscriptions to the web newsletter <i>DIIS Notifications</i> (increased by 10% in rel. to 1,292 at year-end 2006)	1,421	1,702	120	114	1,292	?	1,497	1,872	125
Annual hits on DIIS homepage (increase of 10% in rel. to 183,376 at year-end 2006)	201,714	212,282	105	107	183,376	?	197,829	244,124	123
Annual downloads from DIIS homepage (increase of 10% in rel. to 52,736 at year-end 2006)	58,010	47,058	81	94	52,736	?	49,897	54,764	110

Source: DCISM Annual Report 2007 p. 12-13 and self-evaluation report appendix 9

In addition to the publication of research results in journals and books, external dissemination of results is carried out through the many conferences, lectures and seminars either arranged by DIIS or with the participation of DIIS researchers. On average, DIIS has organised 66 open seminars

per annum and given 124 academic lectures at universities or research institutions during the period 2005-2007.

In-house publications

DIIS has some in-house publication activities, overseen by the Publication and Information unit. These include the publication of working papers, reports, briefs or, rarely, books. Furthermore, DIIS publishes a journal in Danish called *Den Ny Verden* targeted at students, practitioners and policy-makers, and to a lesser degree researchers. *Den Ny Verden* is supposed to be a quarterly journal but has had an irregular publication rhythm in recent years. Other in-house publications, *DIIS Reports*, *DIIS Briefs*, working papers and the occasional book are used as dissemination channels either for work-in-progress, the results of policy studies or minor research findings, e.g. on matters of strictly Danish interest.

Media

Table 4 shows that DIIS researchers have logged more than 500 media appearances annually for the past 3 years, and in the self-evaluation report, DIIS points to the importance of professional relationships with journalists as a means of serious media engagement. Both staff and the Director are aware that contributions to the media have to be on the basis of solid research knowledge. If researchers appear in the media on topics that lie outside their areas of research expertise or are highly politicised, it can be construed as being for ulterior motives. This may lead to a loss of integrity by the researcher and bring both the individual researcher and DIIS as an institution into the media crosshairs as nurturing political agendas or towing specific political lines.

Internal dissemination

With regard to internal dissemination, it is a recurring theme in the self-evaluation report that DIIS researchers do not know much about each others' work. Even though most of the researchers interviewed during the site visit agreed that the research unit structure has facilitated internal knowledge-sharing, at least inside the units, there were also varying assessments of cross-unit knowledge-sharing and cooperation. A desire for better internal communication was also expressed.

Assessment and conclusion

The panel acknowledges that DIIS engages in a wide range of dissemination activities and finds that DIIS is good at bringing their results out into the open. However, the panel believes that it is possible to improve DIIS external communication. Furthermore, the panel is not convinced that the information is always in the right place at the right time, or that stakeholders, potential commissioners of policy studies or consultancies and funders have sufficient knowledge of the work undertaken at the institute and the expertise based there. DIIS does not seem to have a strategic

approach to external communication, which is underscored by the communication strategy presented to the panel, which is really more of a process description paper than a strategy.

The panel acknowledges that DIIS researchers participate in the media on an impressive scale. However, the panel also notes that media appearances seem to be the result of the initiative of individual media-savvy researchers and not the outcome of a common approach. While it may be understandable that some researchers appear more often in the media than others the panel finds that DIIS should consider developing a common and coherent policy for dissemination, including media appearances, as will be further described in chapter 10.

The panel believes that the research unit structure has put DIIS in a better position regarding internal dissemination, allowing it to take advantage of its multidisciplinary nature, and there is definitely untapped potential for fruitful mutual inspiration.

The panel concludes that DIIS communicates analyses and results in ways that ensures visibility and internal knowledge sharing. Nevertheless, the panel also notes that DIIS does in fact have scattered approach to dissemination. There is no actual strategy for dissemination, but rather a set of guidelines. The panel finds that developing and deploying a coherent dissemination strategy and approach would improve the chances for DIIS to reach its target groups more effectively.

9 Cooperation and networking

This chapter addresses DIIS research cooperation and networking activities, and assesses whether these enhance the research quality, opportunities, visibility and impact of the institute (criterion 13). The chapter contains a section on research cooperation and a section on networking. The chapter ends with one shared conclusion for both sections.

9.1 Characteristics

The self-evaluation report shows that both DIIS as an institution and the individual researchers are engaged in a wide range of research collaborations and networks. Besides attending conferences and participating in seminars, research collaboration and networking activities are related to teaching obligations (that entail external contacts and relations, cf. chapter 8) and research programmes (that involve other institutions or partners). Moreover, DIIS state that the researchers are in contact with journalists and policy makers as part of their daily work, e.g. when participating in a public debate or under consultancies.

In the self-evaluation report, DIIS describes these activities as a mixture of formal activities (based on institutional practices) and informal activities (based on the relations of the individual researchers). In continuation of this, DIIS mentions that informal research cooperation and networking are hard to quantify, whereas participation in formalised networks and research cooperation is accountable and easier to describe, cf. the sections below.

9.2 Research cooperation

According to DIIS, 47 of its 50 ongoing research projects are conducted in cooperation with Danish and international partners. Three ongoing research projects involve DIIS as the only institution. The 47 forms of research cooperation comprise: 16 PhD projects that involve the university institutions at which the PhD students are enrolled; 2 PhD projects that involve a university and research partners from developing countries; 21 research projects and programmes that involve in-

stitutions from developing countries; 2 research programmes that involve other Danish institutions; and 6 research projects and programmes that involve European or US institutions.

18 of the 47 research projects involving external cooperation described above are PhD projects, whereas 29 are other types of projects. Of the 29 non-PhD cooperative research projects, DIIS has a coordinating role in 15 and a participating role in 14. The number of DIIS researchers involved in non-PhD related cooperation is shown in Table 5 below.

Table 5
Researchers involved in non-PhD research cooperation

	One researcher	Two researchers	Three researchers	Four researchers
Coordinating role	6	3	5	2
Participating role	13	1	2	0

Source: DIIS self-evaluation report

The self-evaluation report states that networks in general and those generated from research collaborations are important assets to the researchers. However the report does not present any strategic goals or purposes for DIIS researcher participation in research cooperation activities, nor any reflections on the strengths and weaknesses of such activities.

The self-evaluation report points to a tendency of growing complexity in the projects involving research cooperation. This is particularly the case with regard to the number of participating institutions in the research cooperation activities. According to DIIS, this number has increased in the period 2003 - 2008 so that today on average 4.5 other institutions participate in the research collaborations that DIIS coordinates or participates in. In addition to this, the self-evaluation report points to a growing tendency for DIIS researchers to assume a coordinating role in the research cooperation activities rather than participation only.

Assessment

The panel finds that DIIS is extremely well-connected with regard to research collaborations and deserves credit for this achievement. The fact that DIIS is active in 21 research projects that involve institutions from developing countries demonstrates a very high degree of engagement in external cooperation.

The panel also notes significant differences between the research units' engagements in cooperative research projects. Some of the research units have a very high number of research collaborations, while others do not. Obviously, the different research areas provide the units with different

opportunities for research cooperation (as is also the case with, for example, policy studies, cf. chapter 7), and this does not necessarily represent a problem.

What the panel wishes to point out, however, is the apparent absence of goals and purposes for the participation in research cooperation as such. However fruitful and quality enhancing external collaborations may be, they are also time consuming, and they cost money.

9.3 Networking

According to the self-evaluation report, DIIS is active in 36 formalised research networks: 16 Danish-based; 14 global North-based; and 6 developing country-based.

The role of DIIS in these 36 research networks varies from coordination and participation to board representation. Of the 36, a total of 20 networks involve one DIIS researcher (and consecutively one research unit). An account of the number of research units engaged in the networks is available in Table 6 below.

Table 6
Research units engaged in research networks

	One unit	Two units	Three units	Four units	Institutional membership
Danish-based	6	1	3	1	5
Global North-based	10	1	0	0	3
Global South-based	0	0	0	0	1
Danish and South-based	1	0	0	0	1
North and South-based	3	0	0	0	0

Source: DIIS self-evaluation report

The self-evaluation report states that networking is important to the researchers' work, and that the informal knowledge-exchange generated through networking adds value to the research conducted. However, the report does not present any strategic goals or purposes for the network activities, and contains no reflections on the strengths and weaknesses of the conducted activities in this respect.

Assessment and conclusion

At best, networking can add value to research activities by providing new perspectives, inspiration and new ideas.

The panel finds that DIIS is active and engaged in a large number of formal networks, and seems to be active in an even larger number of informal networks not accounted for, and this is commendable. As was the case for the research collaborations, the research units are engaged in networking in varying degrees, which may be perfectly reasonable and no cause for concern.

It is not clear to the panel how DIIS wishes to benefit from networking, as was also the case for research collaborations. While DIIS has evidently been active and successful in establishing and participating in both research cooperation and networks, the goals of participating in these activities, and whether they improve the ability of DIIS to compete for large international research grants, are not clear. Nevertheless, the panel finds this approach – being active in a lot of cooperative projects and networks – to be a reasonable strategy and investment for a relatively young institute in terms of strengthening visibility.

Overall, the panel concludes that DIIS participates in a very large number of research collaborations and networks, that this adds value to the research conducted, and that external activities on this scale have undoubtedly enhanced the visibility of DIIS.

10 Looking forward

The previous chapters have described and assessed the documentation in relation to the fifteen criteria. This chapter also builds on the documentation and on the previous chapters, but goes beyond that to give a freer presentation of the panel's analyses, views and recommendations regarding DIIS at present and in the future. The structure of the chapter follows the evaluation themes and chapter headings of the previous chapters and sections, but does not relate directly to the criteria.

10.1 Introduction

DIIS aspires to be an institution that produces nationally and internationally recognised research and policy-relevant advice, feedback, and debate. These should not merely be seen as separate activities; on the contrary, they are inseparable and draw on each other, benefiting from and contributing to each other. In other words, together they should create synergetic effects.

The challenge for DIIS—and at the same time its *raison d'être*, and the reason it provokes enthusiasm among many of its employees—is that the quality of the policy work is dependent on the fact that good research is produced in the same place, by the same people, and in turn that the research is nourished and improved by its constant exposure to networks of practice. This constitutive connection provides a comparative advantage in the development of DIIS. It is only if both areas, research and policy work, are in synergy, feeding into each other, that DIIS can realise its potential, doing things neither the universities nor think-tanks can do.

The panel's conversations revealed that DIIS employees, from the top to the bottom, profoundly share the vision of DIIS being a hybrid of research and policy work. From the Director to the PhD students, whether it was the research unit coordinators, the permanent staff or the temporary staff, the panel heard the same thing again and again—people wanted to be at DIIS precisely because of this unique dual nature, this promise of doing both quality research and being connected to and challenged by practice. Similarly, relevant stakeholders—the DIIS Board, the minis-

try representatives—shared this vision. There is great promise in an institution like DIIS, and this is understood and endorsed by many.

But this does not mean it is easy to make DIIS succeed. What makes DIIS so interesting and relevant is also what makes it hard to manage.

All universities and research centres are subject to a number of deep structural tensions—e.g. between the needs for multi-disciplinary research and the reality of single-disciplinary incentives; between time spent on research and education; between depth and breadth; between broad input to decision-making and the need to make decisions. These tensions are fundamentally unresolvable; there is no single, fixed equation that resolves them once and for all. All that universities and research centres can do is to manage tensions as clear-eyed as possible, with the maximum of transparency and involvement. They develop a whole series of ever-changing practices and policies for this purpose.

DIIS shares these tensions, but it also has an extra layer of further challenges that derive from its hybrid nature. To the dilemmas inherent in all universities and research centres it adds those of its fundamentally ambiguous nature—how to find a balance between the needs of research and those of outreach; how to be part of long-term scientific trends and be capable of acting on short-term political debates; how to marry scholarly independence with policy responsiveness and realism; the simultaneous need for flexibility in personnel management and for the creation of career incentives on a par with DIIS ambitions. It shares this difficulty with all similar institutions, whether in the Nordic countries, the rest of Europe or the USA.

Finally, tensions come from the particularities of the DIIS establishment and context—its birth as a merger of formerly independent institutions; the context of reduced resources and increased competition prevailing in Denmark—which are idiosyncratic and interact with all the previous tensions.

The panel recognises that there are seldom any perfect and final solutions to these tensions (although some of the tensions stemming from the particular history of DIIS may well find final solutions). However, the panel recognises that enormous strides have been made already: the institutional reforms, the policy changes, the awareness of attracting external funding and the sense of joint identity of DIIS. All these achievements are clear and are to be commended. The Director of DIIS, especially, deserves great credit here, and her dynamism, commitment and judgment are admired by the interviewed DIIS staff and stakeholders, and impressed the panel, too. The Board, and in particular its supportive chairman, are to be commended as well for, the development of DIIS so far, and for its light touch and for not getting involved in internal debates and disputes.

Finally, so many of the DIIS staff impressed the panel with their honest, self-critical, thoughtful and constructive conversations.

Good conditions exist for DIIS to continue on its path towards realising its potential, facing up to the many complicated tensions inherent in its mandate. But it will take work and creativity. All this will have to come from within—valid solutions cannot be brought in by a team of outsiders, such as the panel, but must emerge through internal deliberations. The panel hopes to move the process forward by offering some words of recognition, and some recommendations for consideration by DIIS.

10.2 Strategy

The panel is convinced that the institute needs to prioritise the adoption of a comprehensive strategy. While a clearer research strategy is certainly desirable, the panel can see little point in this being developed in isolation from the development of a broader strategy encompassing all the core functions of the institute. A new strategy should cover, in addition to research, other vital activities such as dissemination, policy work, fundraising and domestic and international networking. This would address all 100% of the researchers' time, as described in the Norm Paper, and not only the ca. 60% of time theoretically spent on research, which would be the case if only a strategy for research were prepared.

The panel recommends

That DIIS should give precedence to the process of developing a comprehensive strategy. The process should include both management and as many staff as possible to ensure institutional anchoring.

The comprehensive strategy should communicate the aims and values of DIIS to both internal and external audiences. The management should ensure that the institute has the tools to deal strategically, coherently and transparently with the tensions and challenges that DIIS faces, as outlined in the above introduction. This should be developed through processes that involve both staff and management. In this respect, it may be expedient to address the following issues:

- how to marry different legitimate, but often contradictory aims;
- support "hot" research areas that can give funding, visibility and impact;
- maintain a presence in the wide range of domains that DIIS is legally obliged to be active in and that are important for Danish society;

- how overheads and the resources of the core budget will be applied to support the above aims;
- the interaction between “fundamental” research, policy work, dissemination activities, and education;
- the amount of variation possible around the mean. Not every research unit or researcher needs to conform to exactly the same model or be judged by the same criteria. This must be explicitly acknowledged and its consequences discussed;
- issues of critical mass—is there a critical mass that research units ought to attain after a certain time to avoid losing their *raison d’être*? How to use bubbles to support new initiatives—and for how long;
- career structure.

Successful implementation of an ambitious strategy requires access to sufficient funding, which should become available both from the Danish authorities and from external sources domestically and internationally. There should be a positive relationship between the ability of DIIS to raise external funds and future core grants, i.e. increased external fundraising should be matched by higher core grants in the future.

The overriding aim of the strategy should be to promote excellence in all fields covered by DIIS. Another primary aim should be to promote multi-disciplinarity, which is where DIIS has the strongest comparative advantage. A strategy should provide a means to identify significant future topics for research and policy advisory tasks to ensure the maximum impact of DIIS work among its target groups. Finally, a strategy should provide a framework to help guide the review of research units, planned for 2009, and thus help to identify in which new or emerging areas DIIS should attempt to play a leading role, and in which it is best take a watching brief.

Evidently, the strategy must express a strong international orientation in research activities, networking and dissemination, e.g. in order to strengthen its research programmes in a market where multi-sited proposals are increasingly required. Moreover, a strong determination to recruit internationally could be incorporated in the strategy.

10.3 Organisation

DIIS has made major progress in redesigning its organisation. The “bad old days” are gone, and there is a palpable sense of satisfaction about that. Staff apparently now identify with DIIS and look forward to the future, and many credit the current Director for having made this happen.

The research unit structure is widely appreciated. It has broken down the walls between the old departments and conditions reminiscent of the past. It has now created intellectual flexibility and

allows for the necessary heterogeneity. Of course, it is too early to judge the actual functioning of the units, and next year is crucial because of the upcoming evaluation of the current research unit structure.

There are advantages and disadvantages to any structure. With the units, there is a risk that they may lead to disciplinary and intellectual segmentation, and to unit sizes that are below critical mass, i.e. too small to create a dynamic research environment at a sufficiently high level. So, perhaps ten units are too many for DIIS. On the other hand, there was widespread agreement among research staff that, if monetary and intellectual incentives exist for research units to work together, they are capable of doing so. They have done so already, and a few talented researchers with a solid international network can achieve a lot, given the right circumstances. Altogether, these risks seem small and well managed.

The panel recommends

That DIIS organises mandatory and cross-unit seminars for the research staff, e.g. on a biannual basis, in order to further strengthen cross-unit cooperation and internal knowledge sharing.

While progress has been made with the organisational set-up, there are still issues that need to be addressed. The panel gained the strong impression that DIIS is a very informal organisation. All institutions need informality to be able to act smoothly and efficiently, and what really happens everywhere is rarely what is written down in documents, statutes, rules and procedures. That is a good thing, too. It is no wonder that one of the main ways for people to strike is to literally apply the rules (what the French call “un greve de zele”)—there is no better way to halt the smooth operation of any institution than to literally apply all its rules! In addition, when one is emerging from a tough and conflictual situation, as with DIIS, it makes sense to leave a large margin for interpretation and freedom in any new rules. That is why peace agreements usually describe the most contentious issues in the vaguest of terms; if not, no agreement would be possible. For instance, the Norm Paper is loosely implemented, which allows for flexible adaption of its guidelines.

Nevertheless, DIIS is characterised by a major gap between its formal rules and procedures, and reality. The two advisory committees—the Executive and the Research Committees—do not at all seem to function the way they are described in their documents, and this is unanimously confirmed by both the general staff and by the people actually sitting on the committees. While according to the management a lot of information is available, researchers—junior and senior, male and female, old and new – claim that information flows and decision making are profoundly ad

hoc, and that they often have no idea when decisions are being made or on what criteria they are based. Reporting after the event is only a partial mitigation of the situation.

In other words, transparency is widely perceived as being low. Once again, this is not a matter of one person, one research unit, one age group or gender. Across the organisation, people did not consider transparency at DIIS to be at a high level. The main counter balance to this is the general admiration for the competences, professionalism and personality of the Director, and a strong belief in her good intentions; as she is highly regarded and trusted, the staff can live with the lack of transparency, and they know they must go to the Director if they want something done. But it does give the staff some concerns about the future, when the current Director departs. As almost all decisions, big and small, are presently made by the Director alone or as the result of bilateral and informal meetings, and because there are so few institutionalised procedures to guide the ways things are done, staff are concerned what a new Director might bring. There is, however, also a more immediate problem. If staff members generally consider decision making not to be transparent or process-driven, over time speculation and rumours are bound to gather pace.

The DIIS organisational structure may appear at first sight very flat, but at the same time it is actually a centralised and vertical organisation. It appears that the entire de facto governance structure of the institution consists essentially of bilateral relations between the individual research unit coordinators and the Director. The intermediary bodies are weak. Also, there are no broad-based, inclusive and representative bodies for faculty input in policy-making, dialogue and communication. In short, there are no effective structures for weighing matters and making the compromises that are inevitably required to cope with the many conflicting demands inherent in an institute like DIIS.

When the present Director took over, it was necessary to break through the structural deadlock that prevailed - the competing fiefdoms, the profound animosities, the costly duplications, and the powerful unwillingness to challenge the status quo. The Director has been successful in breaking this system, and as a result, the institute is today a very different place than that of a few years ago. DIIS has made strong efforts to develop a flexible structure of operations that would give researchers an opportunity to engage in their own work. A strong de facto degree of centralisation and informality may have been the side-effect of these changes, which seems to have created a situation in which the representation of researchers and other staff in preparing, making and communicating decisions is not adequately organized.

So now it is time to move on and to further institutionalise DIIS. The panel would endorse a solution in which voices of researchers and staff are better heard and responsibilities are shared more equally under the leadership of the Director. This will require time and discussion, which may seem painful, risky and inefficient, especially for people who do not originate from the academic

world, with its deeply engrained and internalised notions of transparency, equity, collegiality, broad discussion of evidence, and need for widespread ownership. The panel is confident that the necessary reforms can be implemented; not least because its staff are ready to engage in the necessary discussions - they do not want to return to the divisions of the old system, and they understand the need for compromise and trade-offs, and they want to help build the institution to become the best it can be.

In concrete terms, the panel believes the key issue that needs to be addressed is the development and implementation of a set of meaningful intermediary bodies between the research staff and the Director.

The panel recommends

That DIIS begins an internal process of strengthening the intermediary level of the organisation in order to bridge the major gap between the formal rules and procedures and the institutional reality.

For an institution the size of DIIS, effective organisation of research and other activities, as well as the workplace itself, requires an intermediary level (such as the Research Committee, but also the Executive Committee) which can advise the Director on the development of strategic and operational guidelines. For this to happen at DIIS, the Research Committee should also have more influence, e.g. in the allocation of resources for research and the preparation of staff seminars.

The panel recommends

The Research Committee should be expanded from its current size to approximately six members, which would better represent the breadth of DIIS research. The committee should include both research unit coordinators and representatives of the rank and file researchers to ensure a wide representation of perspectives. The committee should hold regular meetings with a fixed agenda set by the Director and research committee members in cooperation, and minutes should be taken to ensure transparency and follow-up on the implementation of decisions.

The panel recommends

That DIIS carefully considers the role of the Executive Committee and the use of the meetings. It may be expedient to establish the committee as a more formalised body with a more specific remit. This could be done on a trial basis, and if there does not seem to be a need for the committee it may be more sensible to disband it.

In addition, the panel also regards the unit coordinators as being a potential part of the intermediate level. At present, the coordinators are not part of the management. They refer to and discuss things with the Director, who has the decision making power, and their interests and tasks are in principle limited to their own unit. The panel has been surprised to see that there is no structure to enhance cooperation at the intermediate level between the research units.

The panel recommends

That DIIS establishes regular meetings between the research unit coordinators with open agendas and minutes.

10.4 Career paths

The panel's conversations during the site visit sometimes revealed profoundly different expectations and understandings of the role of DIIS in relation to the careers of its research staff. This is understandable and common to most similar institutions. In the absence of clear and fixed career paths, such as those prevailing in universities; in the absence of reliable long-term income flows; in the presence of a multiplicity of income sources, aims and criteria, career prospects for people at DIIS are understandably not very clear and rather contradictory.

Management and Board members expressed opposition to the idea of permanent professorships and fixed long-term career paths; junior researchers want to know exactly how they can make long-term careers at DIIS – or elsewhere; and senior researchers regret the absence of additional career incentives and upward mobility. All these positions are legitimate and logical, but, unfortunately, contradictory.

There are two complementary ways to consider DIIS and careers: one is in terms of “research careers at DIIS”, and the other is in terms of “the role of DIIS in researchers’ careers”. In simple terms, this is about being clear and smart about careers within and outside DIIS.

Careers at DIIS

Obviously, not all researchers can have lifelong careers at DIIS. Widespread tenure-like employment could be problematic for DIIS in terms of lack of both financial and organisational flexibility and effectiveness. Nevertheless, some researchers do wish to have long-term careers at DIIS, and DIIS should understand the need to support them and ensure their development; these should be the people who most contribute to its mission.

DIIS does need a career plan. It is untenable to claim, on the one hand, that DIIS aims for world-class research, whether in pure scholarship or policy work, and then to turn around and say that the expectation is that people will not stay long at DIIS. To attract excellent people, one needs to offer more than low or average salaries and temporary positions—especially in a full-employment economy and with an increasingly mobile European workforce. There is no reason for top researchers to work for DIIS if it does not offer an attractive future. Evidently, this is about more than money and professorial titles; the attractiveness of the kind of work DIIS is engaged in is a major part of it, as is the overall quality of the workplace (including the crucial values of respect and recognition) and employees’ personal sense of ethics and vocation. Still, if one has high aims in terms of work quality, and if one wants to attract and build on the calibre of people who produce that, a more developed career policy than the current one is required.

At the more junior levels, DIIS may look into whether there are intermediary possibilities between short-term temporary contracts and permanent employment. This should happen on a competitive basis, with clear criteria and review procedures. At more senior levels, including for permanent and senior researchers, it seems useful to create a few more levels of recognition (in terms of both salaries and titles).

The idea of a research director was brought up in the self-evaluation report, and the panel discussed it in several meetings. The panel found not a single person who supported this idea - past experience with it seems somewhat negative. People generally thought it was going to be either expensive-and-useless or actually counter-productive and divisive.

Notions of research professors, however, seemed to have more appeal. The title of research professor has many advantages. It is prestigious, gives access to higher salaries, and can be used as a lever in proposal development (projects led by professors are often regarded as more credible than those led by senior researchers, especially outside Denmark where people may be less familiar with DIIS terminology). Any research professorship should be carefully designed to balance the

needs for organisational flexibility with the career prospects for eligible scholars. As part of this, DIIS could consider the possibility of establishing joint research professorships with universities. DIIS could also investigate the possibility of employing research professors on rolling contracts based on clear performance clauses drawing on American experience.

The panel recommends

That DIIS develops a career plan to attract and retain excellent staff, as this is a condition for conducting high quality research and having an impact on public debate. It may be expedient to consider the possibility of research professors.

DIIS role in careers

Statistically, the large majority of junior researchers who start working at DIIS will not retire from it. They will move into other organisations, and not all of these will be research institutions.

DIIS owes it to its workforce, for both ethical and efficiency reasons (workplace morale), to provide support to junior researchers to allow them to be as well-prepared as possible for the markets they will compete in.

In the view of the panel, the way to do this is mentoring. The senior staff, research unit coordinators, and the Director can all be of great help in mentoring junior staff. They can help find qualified answers to questions regarding career plans and whether it is more important to spend more time on activity X than activity Y?; to publish in journal A rather than B?; to teach a course at the university or to do a consultancy abroad? The expectation that junior researchers be well mentored ought to be reinforced.

The panel recommends

That DIIS pays attention to mentoring junior researchers in their academic work and helps them to acquire skills and experience that make possible a future move if they so desire, e.g. to policy-oriented careers, such as ministerial analysts, or private-sector consultants, or to careers at the universities.

10.5 Research

Quite a number of people—on the Board, among the employees and external stakeholders—asked the panel directly or indirectly to judge the quality of the research produced by DIIS. Benchmarking DIIS research output against its peers or according to objective standards was not part of the terms of reference of this study. Besides, the amount of work produced by the tens of DIIS research staff is extensive, covering a very wide area of disciplines, regions and themes. A panel of four, even with diverse disciplinary backgrounds, could not produce a reliable and comprehensive assessment of all the research conducted at DIIS.

What the panel has done, however, is to comment on the aims that DIIS itself has set and the criteria DIIS employs. In the 2004 Vision Paper DIIS aim to produce research “of a quality and quantity that ensures the institute a leading role nationally and internationally”.

Starting with the highest standard: does DIIS, on an overall basis, play a leading role internationally? The answer is, frankly, no. But, it must be quickly added that this aim is pretty much impossible to achieve. In each of the domains DIIS is active in, the competition is tough, whether in the fields of economic policy, security, or development—or even the “smaller” areas such as natural resource management, migration, holocaust and genocide studies, or the EU—there are tens if not hundreds of competitors. In the field of development, even the World Bank, with lots of PhDs and tens of millions of dollars yearly to finance research and to hire the world’s best consultants, is not the leader in all fields. To be a global intellectual leader in any field, DIIS has to compete with major universities and research institutions all over the world. DIIS does so in a wide range of areas, with far fewer resources.

The latter observation allows the panel to remark that if DIIS and the Danish authorities are truly serious about DIIS being in a leading position internationally, there is no cheap way to do so. It will take more than mid-level salaries and limited career prospects to attract and retain the world’s top people. It needs to be recognized that international ambitions tend to have high costs, which are not supported by the current level of core funding from the ministries (even including external grants raised by DIIS themselves).

Thus in addition to the core grants, the panel finds that an organisation like DIIS needs to be able to access larger grants, cf. 6.3 Financial basis. This would entail participation in consortia aimed at large grants. Most such grants, whether from the EU or other sources, require serious inter-institutional collaborations to be successful, and DIIS should make sure it is well positioned to be at the heart of these, either as a coordinator or participant. Therefore, as part of DIIS work on developing a strategy, the institute should aim at being able to deliver proposals for larger grants every two or three years. This requires a strategic approach to the selection of programmes and

networks to participate in and/or coordination to ensure that relevant resources are pooled, cf. the discussion of cooperation and networking in chapter 9.

The panel recommends

That DIIS aims strategically and operationally at gaining maximum access to large grants.

Furthermore, it is a general question of focus versus coverage. If DIIS wants to be a leading institution internationally, they will need to focus on fewer fields to achieve international excellence. On the other hand, the legal foundation of DIIS is quite explicit about the fields that should be covered, and in addition to this, the breadth of DIIS work, empirically, theoretically, methodologically, and in terms of the types of products, is what makes DIIS a unique place.

Hence, one solution to this dilemma is to lower the bar a bit. Is DIIS a place where good research is produced, and where competent people are encouraged to do high-quality work in a hyper-competitive global environment? The answer is yes. Are there among DIIS research staff people who belong to the world's top 10% in their field? Yes. Like everywhere, not everyone falls within that category—not even at Harvard or Oxford is this the case—but there are such people at DIIS. Are there younger people currently working in DIIS who have the potential of being in the next generation of leading scholars? Yes.

It may be useful to be more realistic about the overall objective DIIS sets for itself. The present vision statement from 2004, aiming for a leading international position for the institute, is close to impossible to achieve with the current resources.

The panel recommends

That DIIS sets realistic overall objectives for the institute. Due to the wide range of activities expected of DIIS and intense competition from other research institutions, the institute has to be realistic in demands and expectations concerning its capability to reach the highest standards in all areas.

An important question is how DIIS can create the best conditions to promote and support future high-quality scholarship. To the extent that world-class scholarship is the goal in selected fields—

and recognizing that this needs to be balanced with other aims of doing high-quality policy work, etc.—the following kinds of issues seem to be relevant:

It is rare that world-class work takes place on a sustained basis by a single individual or even a small group. Typically, what is required are entire teams of people, with relations of mentoring, support, fundraising, etc. Many high-prestige and high-impact research centres are built around well-known individuals, who raise large amounts of funds, develop teams, and so on. This could, for example, require bringing in a few top people (which would cost money, but may be worth it in the longer run, as these people bring new money in), if necessary from abroad.

The panel recommends

That DIIS realises that they cannot achieve international critical mass in all ten research units. When establishing and evaluating research units, DIIS should set realistic targets for each one, recognising that not all need to produce world class research.

The production of high-quality research requires systematic and impartial review procedures on different levels to ensure its quality and relevance. In this regard, when DIIS needs to hire or promote researchers, and for scrutinizing the quality of in-house publications, they might want to take inspiration from procedures used by universities. The use of standard criteria such as citation indices could be complemented by other indicators of impact on, for instance, policy-making. The development of broad-ranging and transparent performance criteria for researchers would also contribute to the design of diverse career tracks at DIIS.

DIIS mechanisms for supporting research should be focused on maintaining and enhancing a research culture that is creative and (in the best sense) opportunistic, and this would apply to the ability to select new topics as well as to create links across units as and when necessary. No top-down direction, in other words.

For DIIS, basic research is obviously not all that matters, and purely theoretical research even less. In addition, for different people, different mixtures or weightings of criteria may be more applicable. In other words, it is impossible to judge the research component of DIIS researchers in isolation of their other tasks, and hence these elements should be brought in from the beginning as clearly as possible; they should be part of review procedures as well. Instead of emphasising some top international disciplinary journals as arenas for publications, it may be better to have a more realistic assessment of what can be done by focusing on top journals in multi-disciplinary fields (e.g., development; area studies; the environment) and high-quality policy-oriented journals in

other fields. The use of scholar.google.com and Social Science Citation Index impact scores can be helpful here, too.

The panel recommends

That the review procedures employed at DIIS concerning the quality of research should adequately reflect the diversity of its tasks and the research carried out.

10.6 Policy work

Stakeholders from the Ministry of Foreign Affairs and the Ministry of Defence, with whom the panel spoke, greatly appreciated the policy work by DIIS. Of course the focus on policy issues leads directly to the question of the institute's independence and the autonomy of its priorities and choices regarding research.

The only main issue raised during our meetings were the major commissioned works requested by Parliament or ministries, where the Board has a key responsibility for approving the text produced by DIIS researchers. By international standards, this is a highly unusual practice to say the least.

The role of the Board in this respect is addressed in section 7.2.

10.7 Teaching

By all accounts, the relationship between the PhD students and DIIS is mutually beneficial. PhD students gain access to an active intellectual environment and an exposure to policy making and policy networks, which is the very reason many of them choose to be at DIIS. Most of the PhD students that the panel interviewed were very satisfied with being at DIIS. A commonly held view is that PhD students are a notoriously critical bunch, who can find fault in everything, and it is rare to encounter such a general sense of satisfaction and happiness at being at an institution as the one communicated to the panel by many of the DIIS PhDs.

For DIIS, in return, the presence of these PhD students provides a cadre of excellent research assistants (whether for purely scholarly or more applied policy research) and a pool of young people to tap into as a source of talent for future collaborations.

Maintaining DIIS involvement in PhD education thus seems eminently logical and desirable. Improvements are always possible, of course, and the PhD set-up at DIIS is no exception. Some of the issues that were mentioned during the site visit seem to make sense, including: the establishment of a PhD director position; the starting of regular PhD seminars; monitoring compliance by research unit coordinators with high standards of PhD mentoring, including regular meetings; occasional professional training (transferable skills); negotiating internships in ministries for those who consider such a career.

The panel recommends

That DIIS develops a coherent and comprehensive approach to PhD students in order to enhance the attraction of being a PhD student at DIIS, and thereby also enhance the quality of the set-up for the students as well as for DIIS and other relevant stakeholders.

In relation to PhD students, DIIS may also want to consider:

- making explicit the mutual expectations of DIIS and the PhD students;
- working out a set of common guidelines concerning PhD courses;
- establishing a PhD forum or community to support successful progress for the individual student as well as relations between students;
- whether there should be someone with special responsibility for the PhD area, i.e. a PhD coordinator. This person, for instance a senior researcher, could ensure that relevant actions are identified and taken, that the students are provided with general information, and that guidelines for supervision are being followed;
- some form of mentor arrangement for the PhD students, tailored to DIIS.

Some DIIS researchers also teach courses at various universities. This can count towards the 20% working time on teaching and administration, as defined in the Norm Paper. Teaching is time consuming, however, and it should be done as a result of individual choice only, as is currently the case. One could go even further and argue that, given the amount of time teaching takes away from the many other major demands on DIIS researchers (i.e. to produce both top-notch scholarly research and rapid and relevant policy work), it might be useful to gently discourage it, except for those people who see teaching as an important part of their future career path.

Indeed, engagement in teaching seems relevant and ought to be well supported in mainly two cases:

One regards younger, non-permanent researchers who wish to make the transition from DIIS into a job at a university. As teaching experience is an important part of obtaining academic positions in Denmark, they need to maximise the experience they can get. Since DIIS can clearly not offer all its researchers a lifelong career, it ought to provide appropriate conditions for those who wish to pursue a successful transition into the above alternative career.

The other case concerns joint appointments between DIIS and universities for those researchers, especially at senior level, who like to teach and find the exchange of knowledge between the university and DIIS fruitful. This may be a way to attract high-quality scholars from the academic world (national and international), as DIIS can provide them with a chance to explore the policy dimensions of their research. It may also be a way for top DIIS scholars to gain a foothold in academia on a shared basis.

The panel recommends

That DIIS considers establishing joint research professorships at senior level in cooperation with universities to retain staff by providing them with more opportunities.

10.8 Dissemination

Although DIIS has elements of a descriptive communication strategy, it does not yet have a real dissemination policy. There is, however, a policy that in-house research publication shall be given a lower priority than external dissemination, and that the competitive pressures of international scholarly peer-review are the best guarantee for high academic quality. The panel largely agrees with that policy.

At the same time, given the potentially important role of DIIS as a contributor to public debate and policy in Denmark, DIIS must spend time and resources on realising this role. In other words, for both the scholarly research and the policy work, DIIS needs to reach out to Denmark and the international community. Once again, this does not happen by itself, especially not in the current world of media-savvy competitors and a general information overload. It needs resources and vision—a clear policy for dissemination. Everyone the panel talked to, at all organisational levels and from all areas, basically agreed that such a coherent strategy and policy does not presently exist.

The panel recommends

That DIIS, as part of the institute's strategic work, develops a coherent policy for the dissemination of its results. This policy should pay sufficient attention to the international aspects of dissemination.

The panel did not analyse in detail the de facto dissemination strategy of DIIS. As the composition of the panel was international, it only had limited opportunities to assess the role of DIIS in Danish public debate which, furthermore, was not part of the terms of reference. Hence, what the panel can offer is a set of ideas based on what was heard in the hope that the ensuing ripples provoke debate among DIIS staff and management.

The website is an important tool of communication. DIIS seems to have a rather fine website, at least in Danish (the English language one is weaker). It may be possible and expedient for DIIS to place more of its scholarly research online and apply the principle of open access more effectively.

The case of *Den Ny Verden* is more difficult to assess. While it is an impressive-looking and well-produced publication, and while the aim of communicating in Danish is highly laudable, it is unclear whether a 300-subscriber general-purpose printed journal is truly worthwhile. Perhaps the publication needs to be scaled up—become trendier, glossier, better produced, more commercial – and really aim for a wide general public readership. Or alternatively, it needs to be scaled down and replaced with much more targeted communications, in which specific research and policy outputs are efficiently delivered to carefully targeted audiences. Currently, the purpose of *Den Ny Verden* is not obvious to the panel.

The development of a targeted, rapid, multi-format strategy for maximising impact appears to be a profitable path to follow (e.g. well-produced 1-page summaries rapidly available to key audiences; easy access to online full-text documents for the general public; short workshops in key locations; direct policy advice for key institutions; etc.) At the senior level, there does, however, seem to be strong interest in this matter, and the panel is optimistic that DIIS will be able to make significant progress here. But the work remains to be done.

The panel recommends

That DIIS more proactively influences public debate and policy-making through the development of a targeted, multi-format strategy for maximising impact.

10.9 Networking

DIIS holds membership of an impressive number of networks, both national and international. DIIS also has longstanding research collaborations with a wide range of universities and research centres, especially in the global South, but also in the Nordic region and Europe. As a matter of fact, the panel has seen few if any institutions of similar size to DIIS with the same breadth of networks and collaborations. Furthermore, in a fair number of these, DIIS researchers fulfil major coordination roles, taking on significant workloads of coordination and even capacity-building. This is something to be commended. Nobody can claim DIIS researchers are isolated—far from it. In addition, participation in that many networks is a way for a young institute to enhance its visibility among peers.

It might be necessary for DIIS to adopt a more instrumental approach to the extent to which it engages in networking. While the public service of providing coordination and capacity building is admirable, it is also very time consuming and costly, especially during years of budget pressure and increasing demands on its time. A critical look at all the networks and the value they add may be appropriate.

At the same time, DIIS needs to be part of—and should even try to adopt a leading role in—those collaborations required for obtaining major research grants. Most such grants require serious investment of resources and inter-institutional collaborations to be successful, and DIIS should certainly ensure it is well positioned to be at the heart of those networks.

At the individual researcher level, this may entail DIIS creating incentives that recognise the time and effort spent on such activities—whether it is building solid research networks that can effectively compete for grants or doing capacity building with local partners in third world countries. None of this comes for free, whereas the pay-offs can be high (especially if well prioritised), so it is important to make sure that the necessary investments take place.

The panel recommends

That DIIS develops and deploys an instrumental and selective policy for networking that takes into account the costs involved. In addition to this, networking activities could well be used as a tool for attracting larger grant sums in consortia tenders.

Appendix A

Terms of reference

The Danish Institute for International Studies (DIIS) was established January 1st 2003 as an independent and self-governing institution under the Ministry of Foreign Affairs of Denmark. DIIS is the result of a merger of four institutions: Danish Institute of International Affairs (DUPI), Centre for Development Research (CUF), Copenhagen Peace Research Institute (COPRI) and Danish Centre for Holocaust and Genocide Studies (DCHF).

Today, DIIS together with the Danish Institute for Human Rights constitute the Danish Centre for International Studies and Human Rights (DCISM), sharing a common administration and library. DIIS covers the following fields of specialisation, which, furthermore, define the framework for the activities of the Institute within research, dissemination, teaching and revenue-generated activities:

- foreign policy;
- EU's internal dynamics;
- defence and security;
- trade and development;
- holocaust and genocide;
- migration;
- natural resources and poverty;
- religion, social conflict and the Middle East;
- politics and governance;
- political violence, terrorism and radicalisation;
- reports and analyses.

During 2003 and 2004, DIIS entered into development contracts with the Ministry of Foreign Affairs of Denmark for the periods 2003-2007 and 2005-2007. The contracts stipulate that DIIS' research activities within a time span of five years should be externally evaluated by independent

researchers. DIIS has appointed the Danish Evaluation Institute (EVA) to carry out the evaluation in cooperation with an international expert panel.

Purpose

The purpose of the evaluation is to examine and assess DIIS' fulfilment of its mission, vision and objectives according to criteria for international research quality. Furthermore, the evaluation will examine the expediency of DIIS' strategy with regard to fulfilling mission, vision and objectives.

The evaluation will deploy a number of focus points, setting the framework for the expert panel's analyses, conclusions and recommendations. The focus points are EVA's interpretation of the overall purpose of the evaluation. The focus points are:

- strategy;
- organisation;
- research;
- teaching, administration and dissemination;
- policy studies and ad hoc assignments;
- cooperation and networking.

Together with the expert panel, EVA will further develop the focus points into criteria that are to be deployed in the evaluation. The preliminary studies and further involvement of DIIS and DIIS stakeholders (e.g. Ministry of Foreign Affairs of Denmark, Ministry of Defence Denmark, and the Board of DIIS) will form the basis of the criteria design. The criteria will be submitted to the DIIS management for consultation.

Criteria design is strictly dependent on thorough preliminary studies and, consequently, cannot at present be described. An example, however, of criteria for the focus point "research" *could be*:

1. DIIS conducts independent research into international affairs and relations;
2. DIIS publishes articles and monographs of the highest international standard;
3. DIIS conducts research to an extent that ensures a leading role within its field, nationally and internationally;
4. DIIS exchanges researchers with Danish and international research institutions;
5. DIIS partakes in relevant Danish and international networks;
6. DIIS contributes to the teaching of PhD students;
7. etc.

Organisation

The evaluation method will be international peer reviews of DIIS' strategy, activities and organisation. EVA will appoint an international panel of experts, with expertise matching the scope of DIIS. The tasks of the expert panel are to:

- in cooperation with EVA, design evaluation criteria;
- participate in meetings with a project group from EVA;
- analyse a self-evaluation report to be written by DIIS;
- analyse supplementary documentation in relation to the evaluation;
- participate in interviews with DIIS stakeholders;
- participate in a site visit at DIIS (3 days);
- formulate analyses, conclusions and recommendations in a final evaluation report.

EVA will appoint the expert panel. DIIS may contribute with suggestions and proposals for relevant expert candidates, and EVA will also seek advice from relevant research environments such as the Danish Social Science Research Council. The expert panel will consist of four members and should as a whole cover the following areas:

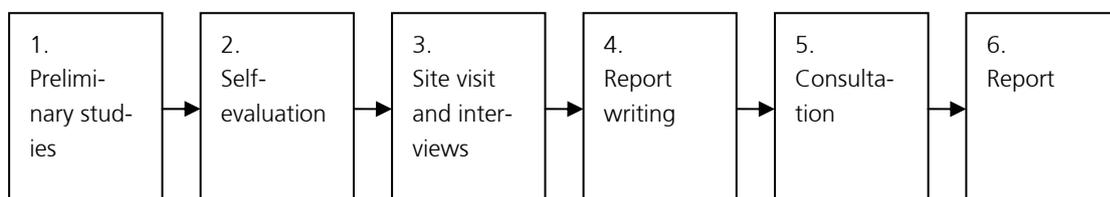
- transverse knowledge of DIIS' fields of specialisation;
- management experience from an international research institution similar to DIIS;
- experience with international research evaluation.

Transverse knowledge of DIIS' fields of specialisation is of particular importance in the appointment of the expert panel. The expert panel will consist of international members, and, as part of DIIS' research is published in Danish, at least one member will be from Scandinavia.

EVA will assume responsibility for methodological and practical aspects of the evaluation. EVA will appoint an internal project group to manage the practical organisation of the evaluation, to provide a secretariat to the expert panel and to assist in writing the evaluation report. The working language will be English, and the report will be written in English.

Evaluation method

The evaluation will consist of the following elements:



Preliminary studies

EVA will conduct preliminary studies in order to qualify and substantiate the evaluation process. The evaluation will, therefore, be initiated with desk research, meetings with stakeholders and regular communication with the DIIS management. Subsequently, EVA will appoint the expert panel, outline evaluation criteria and prepare self-evaluation guidelines.

It may be expedient to assemble the expert panel and discuss the evaluation process, attend collective meetings with stakeholders and to visit DIIS locations. However, it may also prove more expedient to combine this with the site visit.

Self-evaluation

On the basis of the preliminary studies, EVA will prepare self-evaluation guidelines. These will define the framework for the self-evaluation report that DIIS is to write as part of the evaluation.

The self-evaluation process serves two independent purposes:

- to stimulate internal debate, discussion and reflection on the fulfilment of DIIS' mission, vision and objectives;
- to provide documentation for the expert panel's assessments, analyses, conclusions and recommendations.

Supplementary documentation

During the evaluation process, and particularly during the writing of the self-evaluation report, DIIS will be asked to provide the expert panel with supplementary documentation in order to ensure a full and comprehensive understanding of the Institute and the activities conducted. This includes publication lists, CV information on the active researchers, outlines of employees, the level of external funding, teaching activities, participation in international conferences, etc. Moreover, DIIS may be asked to provide specific research publications, documents describing its vision and objectives, internal evaluations, etc. The supplementary documentation will serve as continuous support and substantiation of the analyses, conclusions and recommendations of the expert panel.

Site visit and interviews

After analysing the self-evaluation report, the expert panel and EVA's project group will visit DIIS and conduct interviews with relevant parties, e.g. management, researchers and stakeholders.

The site visit will last three days, and its purpose is primarily to examine and validate the information provided in the self-evaluation report. The site visit will be planned in cooperation with DIIS, and, together with the self-evaluation report and supplementary documentation, the site visit will serve as the basis for the analyses, conclusions and recommendations of the expert panel.

Report

The evaluation report will contain the analyses, conclusions and recommendations of the expert panel. DIIS will be presented with a draft report for consultation, allowing DIIS to point out factual errors and request EVA to correct these in the final report. Furthermore, DIIS may as part of the consultation process comment on the evaluation process, method and results. Subsequently, EVA will publish the final evaluation report.

Appendix B

Evaluation criteria

Theme 1 – Strategy

1. DIIS' overall strategy and sub-strategies linked to the overall strategy are relevant and help fulfil DIIS' mission, vision and objectives.
2. Resource allocation conforms to the strategy.

Theme 2 – Organisation and administration

3. DIIS' organisation supports and strengthens the independence of the Institute.
4. The overall funding of DIIS supports the carrying out of the Institute's activities.
5. DIIS' organisation supports the carrying out of the Institute's activities and its interaction with stakeholders.
6. DIIS makes use of relevant means and procedures for quality control and development.
7. DIIS has an organisational culture which encourages and enhances excellent and innovative research and attracts highly qualified researchers.
8. An efficient administration supports the activities of the Institute.

Theme 3 – Research

9. DIIS conducts and publishes independent research of a quality and quantity that ensures the Institute a leading role within DIIS' scope nationally and internationally.

Theme 4 – Policy studies and ad hoc assignments

10. DIIS conducts policy studies and ad hoc assignments (including income-generating activities) that are of a high quality and support the mission, vision and objectives of the Institute.

Theme 5 – Teaching and dissemination

11. DIIS participates in research education and capacity building in collaboration with other research institutions.

12. DIIS communicates research results, analyses and knowledge to relevant target groups, externally and internally. This is done in a way that ensures external visibility and internal knowledge sharing.

Theme 6 – Cooperation and networking

13. DIIS' active participation in relevant Danish and international research programmes and networks enhances research quality and opportunities, visibility and impact of the Institute.

Theme 7 – Activities in combination

14. There is an appropriate balance between DIIS' different types of activities.

15. Synergy is obtained between the different activities.

Appendix C

Members of the expert panel

Raimo Väyrynen (Chairman of the panel)

Raimo Väyrynen has been Director of the Finnish Institute of International Affairs since 2007. His academic background includes a Ph.D. in Social Sciences from the University of Tampere in 1973. After serving as Director of the Tampere Peace Research Institute (1972-1978) and Professor of International Relations at the University of Helsinki (1978-1993), including a period as Dean of the Faculty of Social Sciences (1990-1993), Raimo Väyrynen served as Director of the Joan B. Kroc Institute for International Peace Studies at the University of Notre Dame, USA, (1993-2002) and as Professor of Political Science at the same university (1993-2002). He has held Visiting Professorships at Princeton, Harvard, and at the University of Minnesota. Since returning to Finland, he has held positions as Director of the Helsinki Collegium for Advanced Studies (2002-2004) and President and Director General of the Academy of Finland (2004-2007). Raimo Väyrynen's fields of expertise are International Relations and Peace Studies, and he has published extensively on International Relations Theory, Conflict Studies and Global Political Economy. Raimo Väyrynen is very active in a range of Finnish and international organisations, and has previously chaired the Board of Copenhagen Peace Research Institute (1994-99).

Peter Uvin

Peter Uvin holds the post of Academic Dean and The Henry J. Leir Professor of International Humanitarian Studies at the Fletcher School, Tufts University, USA. His academic background includes Licences in Diplomatic Science and in Political Science from the University of Ghent, Belgium, and a PhD in Political Science from Institut Universitaire de Hautes Etudes Internationales, University of Geneva, Switzerland. He has previously taught at Brown University, New Hampshire College, USA and at the Graduate School of Development Studies in Geneva, Switzerland. Peter Uvin's main research interests are political and social dynamics in Burundi and Rwanda; innovations in development aid; post-conflict assistance and peace building; development and human rights. He has published several books, articles and consultancy reports on development aid and

post-conflict assistance, and he was the winner of the 2006 Guggenheim Fellowship and the 1999 Herskovits Award for most outstanding book on Africa. Peter Uvin regularly consults for multilateral and bilateral aid agencies and ministries of foreign affairs, as well as NGO's.

Roger Jeffery

Roger Jeffery is Professor of Sociology of South Asia at the School of Social and Political Science, University of Edinburgh. His academic background is a PhD from the University of Edinburgh, a MA from the University of Cambridge and a MSc in Social Sciences from the University of Bristol. For 25 years, Roger Jeffery has conducted extensive research in villages and small towns of northern India on the relationships between, on the one hand, religious group membership and caste and, on the other hand, childbearing, fertility behaviour, gender politics and schooling, in the context of agrarian change and the decline of the state. Roger Jeffery has published widely on issues of international development. His most recent (co-authored) book, *Degrees without Freedom? Education, Masculinities and Unemployment in North India*, was published in 2008. He is a member of the review panel for the Swiss National Science Foundation, in its programme National Centre of Competence in Research, North-South.

Hanne Foss Hansen

Hanne Foss Hansen is Professor in Public Administration and Organization, with special responsibilities for strengthening research within the field of evaluation at the University of Copenhagen. She holds Masters and PhD degrees from Copenhagen Business School where she was Associate Professor before joining the Department of Political Science at the University of Copenhagen as Associate Professor in 1993. Her main research interests are evaluation, including evaluation paradigms, methods, design, practice and organization, as well as subjects related to public sector organisation, reform, higher education and science policy. Hanne Foss Hansen has published numerous articles and books on evaluation and public administration. She has also been a member of several councils and boards, including the Danish Social Science Research Council (1992-98) and the evaluation group on political science in Norway under the Norwegian Research Council (2001-02).

Appendix D

Site visit agenda

Tuesday 10 June 2008	Meeting with:
9.00-10.00	Representatives from the Ministry of Foreign Affairs and the Ministry of Defence
10.00-10.30	Director of DIIS
10.45-12.15	Researchers – Permanent staff (1 representative from each research unit)
12.15-13.15	Lunch with the Director
13.15-14.45	Researchers – Non-permanent staff (1 representative from each research unit)
15.00-16.30	Research unit coordinators (all)
16.30-17.30	Summary meeting (the panel and EVA)
Wednesday 11 June 2008	
9.00-9.45	Head of Publications and Information Unit together with a representative from the library
9.45-10.45	Head of the Management Secretariat
11.00-12.00	Executive Committee
12.00-14.00	Lunch and meeting with (representatives of) the Board
14.15-15.15	PhD candidates (1 representative from each research unit)
15.30-16.30	Summary meeting (the panel and EVA)
Thursday 12 June 2008	
8.30 – 10.00	Parallel meetings: 1. In depth on development studies (Peter Uvin, Roger Jeffery and two from EVA's project group meet with 5 – 8 research staff)

	2. In depth on international relations studies (Raimo Väyrynen, Hanne Foss Hansen and two from EVA's project group meet with 5 – 8 research staff)
10.15-11.15	Research Committee
11.30 - 12.30	Director of DIIS and Head of Management Secretariat
12.30 – 15.00	Summary meeting - incl. working lunch (the panel and EVA)

Appendix E

Recommendations

The panel recommends:

- That DIIS should give precedence to the process of developing a comprehensive strategy. The process should include both management and as many staff as possible to ensure institutional anchoring.
- That DIIS organises mandatory and cross-unit seminars for the research staff, e.g. on a biannual basis, in order to further strengthen cross-unit cooperation and internal knowledge sharing.
- That DIIS begins an internal process of strengthening the intermediary level of the organisation in order to bridge the major gap between the formal rules and procedures and the institutional reality.
- The Research Committee should be expanded from its current size to approximately six members, which would better represent the breadth of DIIS research. The committee should include both research unit coordinators and representatives of the rank and file researchers to ensure a wide representation of perspectives. The committee should hold regular meetings with a fixed agenda set by the Director and research committee members in cooperation, and minutes should be taken to ensure transparency and follow-up on the implementation of decisions.
- That DIIS carefully considers the role of the Executive Committee and the use of the meetings. It may be expedient to establish the committee as a more formalised body with a more specific remit. This could be done on a trial basis, and if there does not seem to be a need for the committee it may be more sensible to disband it.

- That DIIS establishes regular meetings between the research unit coordinators with open agendas and minutes.
- That DIIS develops a career plan to attract and retain excellent staff, as this is a condition for conducting high quality research and having an impact on public debate. It may be expedient to consider the possibility of research professors.
- That DIIS pays attention to mentoring junior researchers in their academic work and helps them to acquire skills and experience that make possible a future move if they so desire, e.g. to policy-oriented careers, such as ministerial analysts, or private-sector consultants, or to careers at the universities.
- That DIIS aims strategically and operationally at gaining maximum access to large grants.
- That DIIS sets realistic overall objectives for the institute. Due to the wide range of activities expected of DIIS and intense competition from other research institutions, the institute has to be realistic in demands and expectations concerning its capability to reach the highest standards in all areas.
- That DIIS realises that they cannot achieve international critical mass in all ten research units. When establishing and evaluating research units, DIIS should set realistic targets for each one, recognising that not all need to produce world class research.
- That the review procedures employed at DIIS concerning the quality of research should adequately reflect the diversity of its tasks and the research carried out.
- That DIIS develops a coherent and comprehensive approach to PhD students in order to enhance the attraction of being a PhD student at DIIS, and thereby also enhance the quality of the set-up for the students as well as for DIIS and other relevant stakeholders.
- That DIIS considers establishing joint research professorships at senior level in cooperation with universities to retain staff by providing them with more opportunities.
- That DIIS, as part of the institute's strategic work, develops a coherent policy for the dissemination of its results. This policy should pay sufficient attention to the international aspects of dissemination.

- That DIIS more proactively influences public debate and policy-making through the development of a targeted, multi-format strategy for maximising impact.
- That DIIS develops and deploys an instrumental and selective policy for networking that takes into account the costs involved. In addition to this, networking activities could well be used as a tool for attracting larger grant sums in consortia tenders.