



UNITED NATIONS  
UNIVERSITY

Advancing Knowledge for Human Security and Development

# **UNU Strategic Directions 2005-2008**



# Key Goals and Deliverables 2005–2008

## UNU's roles

- Improved outreach and networking, particularly in developing countries and countries in transition — as an international community of scholars thereby alleviating the isolation of scholars in developing countries and bridging the digital divide;
- More effective bridge between the international academic community and the United Nations system;
- More direct contributions to the deliberations of the United Nations system through specific foresight and policy studies;
- Clearly strengthened involvement by institutions and individuals from developing countries and countries in transition in UNU research and policy studies;
- Increased numbers of trained academics and professionals from around the world but in particular from developing countries and countries in transition;
- Acknowledged role as a platform for dialogue and creative new ideas and as a catalyst for new thinking, in particular by including young scholars and talented people with original and creative ideas from all parts of the world into UNU networks.

## Financial base

- Additional long-term assured funding for UNU-INRA and UNU-BIOLAC;

- Long-term assured funding for UNU-INWEH, UNU-CRIS, UNU-IAS and UNU-EHS;
- A further diversified funding base for UNU Centre in Tokyo;
- Additional operating contributions from at least ten new countries over the medium-term;
- Additional contributions mobilized for UNU Capacity Development and for UNU Foresight and Policy Studies.

## New and revitalized initiatives

- New RTC/Ps on critical issues such as energy, health, fragile ecosystems, land cover change, education, ethics and development as well as on other topics central to UNU's agenda; and
- Ten newly designated UNU Associated Institutions with joint programmes essential to UNU's agenda.

## Improving our effectiveness

- Further opening up of the UNU Headquarters Building;
- Establishment of a new UNU Chairs programme based on a combination of private and public funding;
- More effective dissemination and outreach capacity;
- Establishment of externally financed liaison offices in the Gulf region and in other regions central to UNU's outreach activities;
- Stronger institutional presence in New York, Geneva, Paris and Brussels.

# 1 Introduction

## Vision and Action

United Nations University (UNU), an international community of scholars, generates and transfers knowledge and strengthens capacities relevant to promoting human security and development, in particular in developing countries. As the academic institution within the United Nations system, the University is in a unique position to contribute directly to the advancement of knowledge relevant to the role and work of the United Nations as well as to its application in the formulation of sound principles, policies, strategies and programmes for action. With intellectual independence, in particular in the selection of topics and the dissemination of results, guaranteed through its Charter, the University can make these contributions with objectivity and integrity and in a problem-oriented manner essential for dealing with pressing issues of global concern.

The mission and goals formulated by the founders of UNU in the early 1970s are still highly relevant, today more than ever. The mission of UNU is:

“to contribute, through research and capacity development, to efforts to resolve the pressing global problems that are the concern of the United Nations, its Peoples and Member States.”

The five key roles evident from an analysis of the UNU Charter are that:

- UNU is an international community of scholars;
- UNU forms a bridge between the United Nations and the international academic community;
- UNU serves as a think-tank for the United Nations system;
- UNU contributes to capacity development, particularly in developing countries;
- UNU serves as a platform for dialogue and creative new ideas.

The year 2005 marks the 30<sup>th</sup> anniversary of the start of UNU's academic work. The University has evolved considerably over the past three decades from its initial three programmes to a global network

of twelve UNU research and training centres and programmes (RTC/Ps) and associated institutions which carry out joint programmes with the University. While a few of the research and training programmes date back more than 20 years, most of the RTC/Ps have been initiated subsequent to 1985 when UNU-WIDER was established as UNU's first full-fledged research and training centre. The establishment of a decentralized system of institutes and programmes has brought with it both challenges and opportunities. Most important of these is the optimal mobilization of intellectual resources of host countries including Belgium, Brazil, Canada, Finland, Ghana, Iceland, Japan, Macao, Malaysia, the Netherlands, Venezuela and Zambia. In recent years, major changes have also been made in the UNU Centre which will enhance the capacity of the University to address the challenges and to seize the opportunities presented by its decentralized structure. Such changes have included enhancing the academic capacity of the UNU Centre in Tokyo, improving strategic planning and quality assurance processes university-wide, as well as improving internal communication, and dialogue and cooperation between different parts of the UNU system. Not only has the institutional structure of UNU evolved considerably, but also it clearly will have to continue to do so. More than ever before, the external context facing UNU is changing rapidly and fundamentally. There is, therefore, a continuing need to learn from the past, to study key trends and to redirect the work of the University.

*Strategic Directions 2005-2008* has a time horizon of four years and draws on the insights and recommendations of a number of external evaluations conducted since 1998 as well as the experience gained in implementing UNU's first strategic plan — *UNU Strategic Plan 2000*<sup>1</sup> and in its revision into *Strategic Plan 2002*. It has been developed in good cooperation and interaction with the University's constituent parts, which have their own strategic plans as building blocks of the overall plan. It also draws upon a great number of discussions within the University, particularly in the

Conference of Directors of RTC/Ps (CONDIR), in the UNU Council, in the Advisory Boards and Committees of the RTC/Ps, as well as with representatives from different UN organizations and agencies, from national delegations to the UN and from universities, research organizations and non-governmental organizations (NGOs). As with the *Strategic Plans 2000 and 2002*, UNU's *Strategic Directions 2005-2008* is not meant to be a "final" static document. Rather, it is the continuation of an ongoing "rolling" planning process to be pursued at several levels within the UNU community and on the basis of learning and feedback from UNU's main stakeholders and partners. Its preparation continues an alternating rhythm of strategic planning and biennial programming and budgeting. This strategic directions document will guide the preparation of the 2006-07 biennium academic programme and budget.

*Strategic Directions 2005-2008* outlines a vision to make UNU a more effective research and capacity development organization, one that makes relevant and beneficial contributions to the United Nations, its Peoples and Member States and one that fills an important niche as a global university in an increasingly globalizing world. It is meant to communicate explicitly the University's mission, key roles, goals and objectives, as well as to outline clearly its major programmes and activities and its interactions with other universities and research institutions around the world. It articulates the guiding principles for UNU to reach the highest possible level of quality and relevance, particularly in the selection and implementation of its research, foresight and policy studies, and individual and institutional capacity development activities. In order to realize this vision, this strategic document emphasizes excellence and efficiency in management processes and sets a number of targets that the UNU family aims to achieve over the next four years.

## UNU's Institutional Strengths

The UNU's main institutional strengths include:

- Its mobilizing power – bringing together the international academic community with the United Nations and Member States' policy makers;
- Its objectivity, intellectual integrity and academic autonomy;
- Its networking capacity – linking scholars from developing and developed countries;
- The quality and relevance of its research and reflection;
- Its capacity to bring together theory and practice.
- The ability to undertake innovative and focused training that leads to the development of human capacity;
- The ability to synthesize knowledge on key issues as input to the UN General Assembly and other organs of the United Nations.

# 2 Programme Areas and Thematic Orientation

It has become clear that major processes are affecting the world profoundly and rapidly. Institutions play an important role in these changes. At the same time, these institutions are themselves changing in the process. This becomes very clear when one looks at the changing nature and role of many institutions such as the state, the United Nations, schools, etc. The topics studied by UNU will, therefore, always be characterized by their contributions to more in-depth knowledge and better understanding of these major processes, including scenarios for change and improvement as well as of the core institutions involved. Together, these three variables — (i) the processes, (ii) the institutions and (iii) the topics — describe the programme space within which all parts of the UNU system are developing their programmes and projects, and within which integration and synthesis of results will have to be effected.

To move in this direction, the University will continue to cluster its ongoing projects and new initiatives in this planning period (2005-2008) within two broad programme areas:<sup>2</sup>

- Peace and Governance; and
- Environment and Development.

In addition, to generate internal cohesiveness as well as clarity for external stakeholders, UNU has identified 20 university-wide programmes within five thematic areas. The five thematic areas are:

- Peace and Security;
- Good Governance – From Local to Global;
- Development and Poverty Reduction;
- Science, Technology and Society; and
- Environment and Sustainability.

In selecting the programmes and projects of the University, assessment is based on a number of criteria – relevance to UN priorities, the extent of the problem and the potential for replicability of solutions, relevance to developing countries, whether the issue relates to a critical gap in knowledge

or capacity and whether UNU has a distinct comparative advantage.

## Main Programme Areas

The decision to cluster the work of the University into two programme areas was based on an analysis of the themes mentioned in the Charter (Article I); the successive policy agendas and concerns of the UN, its organizations and agencies; the themes and orientations developed in the UNU's Medium-Term Perspectives I, II and III; the recommendations of two internal assessment groups of the Council (IAG I and II); and the expertise available in the University Centre, RTC/Ps and respective partners.

### Peace and Governance

In order to be faithful to the vision and ideals of the United Nations, UNU must approach issues of peace, security and governance. Its programme must focus on governance (e.g., the nature and effectiveness of political, judicial and administrative institutions as well as the issue of human rights and democracy), pre-conflict (e.g., roots and causes of conflict, preventive diplomacy, abolition of child soldiers, stigmatization of anti-personnel landmines), conflict (peace-keeping operations and other conflict management techniques) and post-conflict (peacemaking) measures. These issues and challenges demand a forward-looking, innovative approach, and one that conceptualizes peace, governance and security in the broadest sense.

### Environment and Development

In this area, UNU focuses on the issues of development, science and technology, and environment as well as the interactions between them. The issues of poverty and inequity as well as growth and employment are at the very core of the work of UNU. The University also looks at the issues of globalization, technological change (information, software and biotechnology) and urbanization and assesses the implications for people and societies. The global environment, rural development, natural

resources management, human health, the use and supply of safe drinking water, and sustainable energy use and production are critical concerns.

## **Thematic Areas**

Within the two main programme areas, the UNU has identified five broad thematic areas in which to group its research, foresight and policy studies, capacity development, networking and dissemination activities. Reflecting the interconnectedness of problems and solutions, there is overlap between issues as well as significant interaction among them. They are neither exhaustive nor mutually exclusive. These thematic areas have been identified through both top-down and bottom-up processes. The starting point was the UNU mandate to look at pressing global problems of human survival, development and welfare. At the same time, the substantive work of each unit of the University was clustered into programme areas and then into thematic areas.

The five thematic areas are:

### **Peace and Security**

The end of the Cold War altered the political climate in which the UN has operated for much of its history. But the task of maintaining world peace is still urgent, as are the complex challenges of preventing and responding to internal conflicts and state fragmentation which endanger the security of the people.

### **Good Governance – From Local to Global**

Democratization of political systems has not necessarily led to more accountable governments or better economic management. This reflects the Secretary-General's view that *"good governance is perhaps the single most important factor in eradicating poverty and promoting development."* Appropriate governance, institutions and arrangements, are crucial to guarantee human security.

### **Development and Poverty Reduction**

Although there is some agreement on the foundations for successful development strategies, much controversy and massive challenges remain. Reducing poverty is the first priority. Further study is also required to understand the causes of increasing inequality, the impacts of a transition to a market economy, and the societal impacts of globalization

and technological change. A better understanding of entrepreneurship and the processes of wealth generation is imperative.

### **Science, Technology and Society**

Science and technology are critical components of the development process. It is crucial to develop, master and make use of the innovation systems that facilitate technological development. Rapid technological advances, particularly in information and communications technologies, biotechnologies and material science, have created opportunities which go far beyond anyone's imagination. However, it is also important to understand the impact of our increasing technological capability – in terms of social and ethical issues – and the broader societal impacts of technological change, as well as using this understanding to bridge the burgeoning digital divide. Knowledge and technology management, and learning to create solutions will become increasingly important in this context.

### **Environment and Sustainability**

We are all directly dependent on the natural environment for our livelihoods, in terms of food, water, consumables, energy and employment. There is also increasing concern about global climate change exacerbated by economic development, population growth and increased energy use. The vulnerability of the global environment is increasing because of the rapid, and often drastic, changes caused by human activity and intervention with direct effect on our natural habitat. A key question relates to adapting international policy frameworks and rules concerning protection of the environment in developing countries while promoting economic growth and sustainable management of natural resources. Worldwide, there is a need for a shift from non-renewable to renewable resources and to change consumption patterns to reduce waste and conserve resources.

### **Programme and Project Selection Criteria**

In selecting specific programmes and projects, UNU will assess the relative importance of the issues against seven criteria that relate specifically to UNU.

*These criteria are:*

- The relevance of the topics to the *UN objectives of promoting peace and prosperity* and to the Millennium Development Goals. The issues of peace and security, international law, humanitarian affairs, human rights, and development emerge most clearly from the UN Charter.
- The nature and scale of human impact and the extent of the problem (i.e., global problems or issues occurring in many countries with the potential for replicability of solutions) as well as its degree of urgency (i.e., pressing issues rather than potential problems in the distant future). The Charter mandates the UNU to “*devote its work to research into the pressing global problems of human survival, development and welfare that are the concern of the UN and its agencies.*”
- The issue’s particular relevance to the *developing world*, and whether it reflects *the need to include and enhance North-South and South-South collaboration*.
- Whether the issue requires focused attention and relates to a *critical gap in understanding* on the causes of the problem and its potential solutions, or a *lack of capacity* so that UNU can make a real contribution through research, training and capacity development.
- The *additionality* UNU could bring by focusing on the issue – the presence of expertise within UNU staff and its immediate networks and the existence of prior experience within UNU are important considerations, as is whether UNU can effectively solve the problem.
- The extent to which a proposed topic of research or capacity development takes account of its “interconnectedness” with other topics, issues and problems.
- The extent to which research and/or capacity development on the proposed topic can help bring about practical solutions and policies.

These criteria will be used in shaping the academic work of the University in the medium-term period: in the first instance in preparing the 2006-2007 biennium academic programme and budget during 2005.

## **UNU-wide Themes and Programmes**

Within the two main programme areas and the five thematic areas identified above, the work of UNU relates to 20 themes:

### **Peace and Security**

- International Relations and World Order, including Evolving International Law;
- Human Security, including Major Armed Conflicts (Inter-state, Internal), Conflict Management and the Development of Peaceful Societies after Violence; and
- The UN System and other multilateral organizations.

### **Good Governance – From Local to Global**

- Human Rights and Ethics;
- Democracy, Civil Society and Leadership; and
- Policy and Institutional Frameworks.

### **Development and Poverty Reduction**

- Globalization, Social and Human Development;
- Global Health, including HIV/AIDS, Malaria and Other Infectious Diseases;
- Rural development;
- Food and Nutrition, including Food Security and Food Safety; and
- Education for Sustainable (Human) Development.

### **Science, Technology and Society**

- Innovation Policies, International Regimes and Development, including Technology Foresight and Impact Assessment;
- Biodiversity, Bio-technology and Bio-diplomacy; and
- Information and Communications Technologies – Bridging the Digital Divide.

### **Environment and Sustainability**

- Fragile Eco-systems;
- Sustainable Urban Futures, including “Urbanization Disaster Reduction;
- Natural Resource Management, including Land Registration, Mapping and Management;
- Zero Emissions, including Eco-restructuring;
- Water and Energy; and
- Environmental Security, Governance and Diplomacy.



Many of these themes relate to more than one thematic area, such as e.g., globalization, human rights, ethical issues or water and food security. Further perspectives of particular importance are gender roles and equality which are addressed across all thematic areas and themes.

More than 300 million people, primarily women, children and the aged in Sub-Saharan Africa suffer from extreme poverty and hunger. These numbers are growing. Food insecurity is the result of poor and infertile soils, poor infrastructure, inadequate markets and the scourge of HIV/AIDS. A continuing challenge for UNU is how to mobilize resources to invest in new knowledge creation in Sub-Saharan Africa. Africa therefore will be a particular “priority” for coordinated and system-wide activities. These activities should emphasize home-grown and participatory “made-to-fit” solutions linked to UNU’s continuing efforts to promote “endogenous” capacity development. A particular niche for UNU in Africa will be to assist countries to acquire the human capacity to plan and implement programmes that lead to the achievement of the primary objectives of the New Partnership for Africa’s Development (NEPAD) and the attainment of the Millennium Development Goals (MDGs).

These themes provide the framework within which the University will focus its work over the next four to five years. The themes are closely linked to the institutional structure of the UNU, now comprising the UNU Centre and 12 research and training centres and programmes as well as several associated institutions undertaking joint programmes with UNU in different parts of the world. More information on the specific objectives and work programmes of the constituent parts of the UNU, as well as associated institutions, units and networks, can be found in the background document to the UNU Strategic Directions 2005-2008.

# 3 Improving Performance in Core UNU Activities

The UNU undertakes four different types of activities in order to advance knowledge towards resolving the pressing global challenges to human security and development. In particular, related to the goals of knowledge generation, transfer, application and management, and outreach, UNU undertakes:

- research;
- foresight and policy studies;
- capacity development and online learning; and
- dissemination, communications and outreach.

In the implementation of these activities, UNU is increasingly working with external partners and developing a system for outsourcing of UNU specific projects.

UNU research retains strong disciplinary foundations and is methodologically rigorous. The contributions of individual disciplines are essential; they can contribute to most UNU themes. However, one of the major sources of comparative advantage is that UNU takes a holistic view of the complex processes that affect human security and development. This is in line with the Charter, which stipulates that the work of UNU should be multidisciplinary and problem-oriented. In order to promote a multidisciplinary approach while retaining strong disciplinary foundations, UNU strives to increase the number of interdisciplinary initiatives with contributions from the different relevant disciplines. Internally, UNU organizes itself around problems or clusters of issues as illustrated in Chapter 2. This is

## Characteristics of UNU's work

The UNU's work is characterized by its:

- focus on topics that are the core concern of the UN, i.e., pressing global problems of human security and development;
- intellectual objectivity and integrity, due to stable core funding and an academic governance structure;
- bringing together both theory and practice in optimal ways to come up with new insights and policy recommendations; and
- truly global perspective, through an international network of scholars.

## Research

The UNU carries out basic and applied research on challenges to human security and development, concentrating in the thematic areas highlighted above. During the medium-term period, the University will continue to:

- Undertake basic cross-cultural and multidisciplinary research utilizing innovative techniques and methodologies; and
  - Study important global processes and provide forward-looking proposals for solutions aimed at an improved quality of life for all human beings.
- To be internationally and academically credible,

also achieved for specific projects by defining research agendas in a holistic manner, using multi-disciplinary approaches and methodologies and bringing multidisciplinary teams of experts together. The RTC/Ps were conceived to reflect the dedication to this approach and their missions accordingly address core issues on UNU's agenda.

In an effort to improve the relevance, quality and impact of our work, UNU will strive to improve in four other areas:

- *Ensuring a Global Perspective* – in order to enhance the critical advantage of providing a global perspective, UNU will work more closely

with regional research networks and increase the number of scholars in developing countries participating in research projects.

- *Ensuring strong interlinkages between programmes and projects* – in particular for programmes and projects which are meant to bring together aspects of different programme lines on UNU's agenda.
- *Gender mainstreaming*: to increase the immediate relevance of its foresight and policy studies for the policy making community, the UNU will mainstream a gender perspective through its related activities by applying tools for gendered project development, implementation, monitoring and evaluation.
- *Further Enhanced Project Development and Management* – taking account of best practices within the system, and adapting these as appropriate, to improve: (i) project selection mechanisms; (ii) project monitoring, using an intranet-based information sharing; and, (iii) project evaluation. These issues are further outlined in the quality assurance section.

## Targeted Foresight and Policy Studies

Knowledge and information are critical for policy makers and practitioners to address the problems of human security and development. There is a growing demand for solutions to critical problems, and information on the implications of important processes and on the comparative advantages of different policy options. With its mandate and focus, the work of UNU should inherently be of relevance, in varying degrees, to four sets of actors:

- The UN system and Bretton Woods Institutions (BWIs);
- Regional Organizations and National and Local Governments;
- Civil Society; and
- The Private Sector.

In the next medium-term period, the UNU will be more active in engaging these groups.

The UNU focuses on diagnostic analysis and transforms fundamental research and knowledge into policy-relevant prescription and analysis. The UNU

also develops models and scenarios and evaluates the implications of different policy options. Of importance to problem-oriented issues is the need to utilize a holistic and multidisciplinary approach. *“To address complex causes, we need innovative, interdisciplinary solutions; there are no simple answers to complex questions.”*<sup>3</sup> The UNU, as a “think-tank for the UN,” is challenged to give answers to complex questions and to communicate these effectively to a diverse audience. In this regard, the two key tasks are:

- To provide analyses and recommendations on policy-relevant problems that engage the attention of the United Nations, its Peoples and Member States; and
- To function as a reservoir of ideas for the United Nations and its agencies, anticipating and responding to their needs in the most pro-active ways.

In order to increase the policy impact of its work, UNU will, as appropriate, implement a number of measures. These include:

- *Greater efforts to involve practitioners*, by facilitating their participation in workshops of research projects and by bringing in mid-level management from key organizations as visiting scholars for two to three months to provide an opportunity for joint reflection;
- *Quick publication of policy/research briefs for each research project*;
- *Stronger policy advocacy* – directly, as well as through the press and other media, particularly targeting national governments, civil society organizations, and global institutions. This will require linking up with key policy-oriented partners, particularly the international organizations in New York/Washington, Geneva, Brussels, and regional organizations with large networks in developing countries.
- Linked to this, *UNU will increase the number of policy fora* to disseminate the implications of UNU work – in New York, Geneva, Brussels and Paris as well as in major cities in other continents, particularly in developing countries.
- *Proactively providing fora* such as the U Thant Distinguished Lecture Series and other annual lecture series for “leading thinkers” – political, academic or business leaders who have powerful ideas relevant to UNU's work.

- *Undertaking more rapid short-term projects or fora on urgent policy problems* that arise. These would require more consultation with end users, such as ECOSOC, the Second Committee of the UN General Assembly, national permanent delegations, etc., in the formulation and implementation of such policy-oriented projects.

## Capacity Development

The objective of UNU's capacity development efforts is to develop human potential to address the challenges of human security and development. As such, human resource development entails the development of individual, group and institutional capabilities for self-sustained learning, for the generation of new knowledge and/or technology, or for the implementation of development activities. These capacities are crucial to the development efforts of poor countries as well as to the effectiveness of UN programmes.

All parts of UNU engage themselves in different ways in capacity development activities with the aims to:

- Support the growth of vigorous academic communities in developing countries and countries in transition firmly linked with international academic networks;
- Support the United Nations system and other international and regional organizations in their efforts to promote human security and development;
- Support policy makers and practitioners on all levels – global, regional, national and local – and in all sectors of society in their efforts to design and implement sustainable and equitable development strategies;
- Improve the capacity of institutions, especially those in developing countries and countries in transition, to contribute to the solution of pressing global problems of human development, survival and welfare; and
- Improve the availability of human resources for institutional development.

The UNU aims at a multiplier effect of its capacity development efforts by focusing on training the trainers, research leaders and policy/decision makers. UNU works to attain its capacity development goals

through two types of activities:

- Specialized advanced training programmes for postgraduate scholars and young professionals, particularly from developing countries: UNU not only helps to upgrade participants' individual capabilities, but also enhances the capacities of their home institutions in developing countries and those in transition to contribute to the extension, application and diffusion of knowledge and skills to further the development/transition process. The university's specialized capacity development programmes include short- and long-duration training programmes as well as degree-oriented education programmes covering a wide variety of subject fields, all within the priority programme areas of the University.
- Project-based capacity development: The UNU upgrades the skills and knowledge of individuals, groups or institutions through their involvement in UNU project work.

Over the coming years, the UNU's efforts to further improve the performance of its capacity development programmes will concentrate on:

- Improving information flows on capacity development activities across the UNU system with a view to identifying further opportunities for cooperation in programme development and implementation;
- Further strengthening follow-up activities with alumni of UNU capacity development programmes;
- Increasing collaboration with regional academic organizations to improve the availability of information on UNU's capacity development programmes in developing countries, in particular in Latin America and Africa and making increasing use of online learning; and
- Mobilizing additional funding for capacity development activities under the UNU Capacity Development Fund.

## Online Learning

Information and communication technologies are increasingly being used to link up UNU with strategic partners as well as associated and

cooperating institutions and to make available the results of UNU's work to academic communities. The strategic linkages with UNEP's GRID Arendal as well as with Keio University and the Asian Institute of Technology, Bangkok, are specific examples of this. The UNU will also make use of online learning/distance education technologies to extend the outreach of its UNU International Courses as well as course modules to be developed from specific UNU research and/or capacity development initiatives. The UNU will increasingly showcase its online learning/ICT capacities during the medium term. This will entail the establishment of system-wide standards and an ICT policy body as well as upgrading equipment and infrastructure for teleconferencing and data sharing within the UNU system. The World Summit on the Information Society (WSIS) held in Switzerland in 2003 and in Tunisia in 2005 have made it possible for UNU's online learning initiative to have a direct input into discussions at the international level. The Nagoya Environmental University, jointly organized in the framework of the Aichi World Exhibition, has also provided excellent piloting opportunities.

Specific future steps will include:

- Strengthening efforts to facilitate the collection of content from UNU research and capacity development projects for development of course modules and online learning programmes;
- Forging strategic linkages with universities and institutions with established high-level online learning initiatives and programmes;
- Showcasing online learning/ICT capacities and establishing system-wide standards within the UNU system; and
- Providing a substantive contribution to the Nagoya Environmental University, ensure the growth and continuity of the UNU-Global Virtual University and the Asia-Pacific Initiative.

## Dissemination, Communications and Outreach

The main goal of UNU's dissemination, communications and outreach activities remains that of getting the right knowledge to the people who need it most, in a timely manner and in a form that is most useful to them. Information and

communications technologies continue to evolve rapidly and will have a great impact on the way knowledge is exchanged and applied.

The University will need to upgrade its communications methods and tools, continue to refine its target markets, and tailor its outputs accordingly. UNU is focused on engaging scholars, practitioners, policy makers, and the general public through a combination of discourse and dialogue. Each has different interests and concerns, and these frequently require different messages and communications methods. Therefore, UNU will increasingly focus on contextualizing its outputs in order to convey more effectively the benefits of its activities in terms most relevant to its audiences. UNU will continue to use various languages in order to broaden its ability to communicate appropriately.

UNU's primary communications methods will continue to include conferences, workshops and other meetings, books, policy/research briefs, brochures and other printed matter, CD-ROMs, the Internet, email and other digital channels. Emerging technologies will be tested for their ability to improve the efficiency and effectiveness of communications and dissemination needs, but UNU will be mindful of the digital divide that can isolate important audiences, trying to reduce its impact and bridge it.

Concrete steps to communicate better with UNU stakeholders include:

- **With scholars** – stressing UNU's expertise and the high quality of its research activities. In particular, there is a need to develop further the UNU Press as the imprint of excellence (and affordability) in publishing UN-interest research results.
- **With policy makers and practitioners** – The UNU will need to provide its findings in a form that is accessible to policy makers and academics (short readable policy/research briefs). In particular, UNU will strive to increase awareness and understanding of the work of the University and the United Nations system, by developing a system of panels, workshops and seminars to discuss issues of topical interest at an early stage.
- **With the public** – The goal will be to inform external constituencies of UNU's achievements, its contributions to science and scholarship and

its inputs into the global policy debate. A key objective will be to create an information and reference system to be based at UNU Centre in Tokyo for archived coverage of UNU academic events such as global seminars, video-on-demand and teleconferencing in order to reach out to the public-at-large, in particular younger generations. The UNU will also strive to ensure that more of the findings of its work are disseminated in the international media. More targeted approaches to press releases for interesting project findings will need to be complemented with well-coordinated and comprehensive media campaigns on issues of particular public interest (e.g., World Environment Day, World Water Day and World Food Day).

- **With students and trainees** – The key aim will be to develop the course modules and deliver knowledge through a variety of means/platforms within the UNU Online Learning Initiative. In addition, the UNU will aim to expand its successful Global Seminar series, currently offered annually in seven locations across Japan, the Republic of Korea, and Hawaii (USA), to other countries (e.g., Brazil, The Netherlands and Tunisia).
- **With the private sector** – A key aim will be to engage industry more closely so as to promote the implications of our work for wealth creation and sustainability.
- **With former UNU Council members and RTC/P Advisory Board and Committee members including former staff members** – A key aim will be to build and maintain a database containing up-to-date contact information for these individuals and to bring them closer to the UNU family by providing each with a UNU email address.

In order to achieve these objectives, some preliminary steps are:

- Surveying existing and best practices for dissemination and public information/media relations within the UNU system;
  - Updating and improving further UNU's website so that it can serve as a central point for making available content and information on UNU's research and teaching programmes;
  - Developing a cohesive communications and dissemination strategy for the UNU system as a whole;
  - Identifying innovative and cost-effective ways to reach UNU target audiences, in particular researchers and policy makers in developing countries;
  - Further strengthening UNU-C3 – UNU's Tokyo-based consolidated ICT unit;
  - Establishing an externally financed liaison office for the Arab countries that would help to enhance cooperation and outreach with institutions in the Arab world and seek opportunities for translating UNU publications into the Arabic language.
  - Considering the establishment of other externally financed liaison offices in regions of importance to UNU's outreach activities; and
  - Establishing "UNU Alumni Networks" including former UNU Council members and RTC/P Advisory Board and Committee members as well as former staff members.
- 
- Further strengthening the University's communications core group to coordinate UNU's public information materials, activities and outreach, including the media. The members of the team will keep each other regularly informed of specific activities and events planned throughout the UNU system and will identify ways and means to maximize their impact for the University as a whole;

# 4 UNU Institutional Structure, Issue Focus and Trajectory

The academic activities of the University are coordinated and carried out by the UNU Centre and by the research and training centres and programmes (RTC/Ps) as well as through a global network of associated and cooperating institutions and scholars. The University functions as a worldwide “**network of networks.**” The UNU itself is a network of research and training centres and programmes (and associated and cooperating institutions) around the world. Each unit of UNU has its own links to researchers and research institutions as well as professionals and policy makers as well as professional organizations and associations in different academic disciplines and issue areas as well as to UN organizations, NGOs and other parts of civil society.

The University clusters its work within two broad programme areas – (i) Peace and Governance and (ii) Environment and Sustainable Development. All together, the different units of UNU address the UNU’s agenda of activities outline in Chapter 2. Over the medium-term period, further elaboration of the UNU system will be undertaken to address the University’s agenda more fully, to broaden its base and to ensure proper risk distribution.

## Definitions

### UNU Centre

The UNU Centre assists the Rector in the programming and planning of the subjects of research and the areas of capacity development. The Centre directs and administers the entire UNU system. It is also the place where new initiatives are developed, and where results from the entire system are synthesized and translated into policy recommendations. It promotes exchanges of scholars, scientific and technical ideas and information within the world academic community, particularly in developing countries, by making use as appropriate of techniques of conferences and workshops. The UNU Centre also maintains close coordination between the activities of the University and those of the organs and programmes

of the United Nations. In addition to its overall coordinating function, the UNU Centre specific activities within the two major programme areas: peace and governance and environment and development.

### RTC/Ps

RTC/Ps are concerned with research and/or advanced training and knowledge transfer and management. They focus on specific established or emerging global issues or problems, fulfilling well-defined long-term needs. Although RTC/Ps are usually located in one given country, they operate internationally, linking scholars and scientists globally while at the same time ensuring close interaction with the local academic community. As opposed to associated or cooperating institutions, RTC/Ps are integral parts of the UNU system, promoting an effective presence of the University in their respective thematic fields and geographic locations.

RTCs and RTPs do not differ with regard to the thematic scope and potential type of breadth of their individual activities. One major difference lies in the degree of permanence of both their thematic focus areas and their institutional structure. To qualify as an RTC, funding must be of a greater and more secure nature. It must be sufficient to guarantee capital and recurring costs and for a critical mass of staff. Therefore, an endowment fund approach is critical for an RTC (UNU-WIDER, UNU-INTECH, UNU-IIST and UNU-INRA).<sup>4</sup> An RTC is meant to have the potential for a greater degree of permanence, especially in terms of its funding. As a reflection of this greater permanence, the governance structure of an RTC has a larger degree of autonomy than that of an RTP.

### Associated Institutions

Associated institutions, as set out in the UNU Charter, are institutions and centres, or parts thereof, particularly in developing countries, which are designated by the UNU Council as UNU Associated Institutions for the purposes of advanced research and postgraduate training on the basis of academic

excellence. The criteria for becoming an associated institution include the implementation of a large joint programme with UNU for which there is assured multi-annual funding for a period of at least five years, preferably coming from an external source, leading to a clear “win-win” situation for both institutions involved.

### **Cooperating Institutions**

Cooperating institutions constitute the largest number of institutions relationships of the UNU. They are institutions or centres which have a sustained involvement in an activity or a larger set of activities – research, capacity development, at the UNU Centre and/or in one of the RTC/Ps. The cooperative relationship may, but does not have to be, formalized through a “memorandum of understanding” or an “agreement of cooperation.”

### **International Operating Units**

Over the few past years, various UNU research and training centres and programmes have expanded their institutional presence to include operating units at other locations that assist in implementing their specific research, foresight and policy studies, capacity development and dissemination programmes. The goal is to enhance the twinning arrangements of RTC/P linkages between institutions in the North and South. The relationship should strengthen the position of academic groups in the South by giving them access to programme-based, additional funding.

### **Networks**

UNU will continue to strengthen existing networks, on development in mountain areas and dry-land management, as well as to explore or initiate start-up activities for new networks on: conflict prevention; international migration; biodiversity and food security, related to indigenous foods and useful plants; global governance of the world’s oceans; and dialogue among civilizations and global ethos. The leading nodes in these networks may develop into associated institutions or international operating units.

## **UNU’s Current Institutional Structure and Thematic Orientation**

The UNU’s main units, their thematic mandates and the key issues they will address over the medium term are:

### **UNU Centre, Tokyo, Japan**

In line with the two University-wide main programme areas, the work of UNU Centre is focused in two programmes.

The mission of the UNU Centre **Peace and Governance Programme** is to undertake research, foresight and policy studies and capacity development to promote peace and good governance. The work of the Programme is focused on four issue clusters:

- International order and justice;
- Conflict and security studies;
- Human rights and ethics; and
- Policy and Institutional Frameworks.

The UNU Centre **Environment and Sustainable Development Programme** focuses on the interactions between human activities and the natural environment, and their implications for sustainable human development. The work of the Programme is focused on the following thematic areas:

- Integrated Environmental Monitoring and Assessment;
- Management of Fragile Ecosystems; and
- Education for Sustainable Development.

### **UNU Research and Training Centres and Programmes**

**UNU World Institute for Development Economics Research (UNU-WIDER), Helsinki, Finland**, the University’s first research and training centre, provides original analyses of emerging topics and offers policy advice aimed at the sustainable economic and social development of the poorest nations. The work of the Institute is focused on the following themes:

- The Millennium Development Goals;
- Poverty, Inequality and Human Development;



- Globalization, Finance and Growth; and
- New Initiatives in Development Economics.

**UNU Institute for New Technologies (UNU-INTECH), Maastricht, the Netherlands** develops fresh insights into the emergence, spread and impacts of new technologies, especially in developing countries. The work of the Institute over the medium-term will be focused on the following topics:

- Global Governance of Innovation;
- Designing the Knowledge Economy; and
- Innovation for Development.

**UNU International Institute for Software Technology (UNU-IIST), Macao** aims to help developing countries improve their capacity in software engineering, and hence their capacity to be involved in and take advantage of the rapid development of information and communication technologies (ICT). The work of the Institute is focused on the following areas:

- Research on innovative software and systems engineering methods;
- Capacity building: training young software academics and engineers from developing countries; and
- Improving developing country university curricula in computer science and software engineering.

**UNU Institute for Natural Resources in Africa (UNU-INRA), Accra, Ghana** with Operating Units on: Mineral Resources in Lusaka, Zambia; Application of Computer Technology to the Management of Natural Resources in Yaoundé, Cameroon; Socio-economic Aspects of the Management of Natural Resources in Abidjan, Côte d'Ivoire; and Coastal and Marine Resources in Henties Bay, Namibia. The two focus areas of UNU-INRA's work over the medium-term will be:

- Restoring and maintaining the fertility of soils using both organic and inorganic (including locally-occurring agro-minerals) nutrient sources; and
- Conserving biodiversity, promoting genetic improvement and increased utilization of Africa's indigenous food crops and useful plants.

**UNU Institute of Advanced Studies (UNU-IAS), Yokohama, Japan** brings together international expertise locally, regionally and globally, and

is dedicated to advanced research and capacity development at the frontiers of knowledge and committed to contributing creative solutions to pressing issues of global concern. Mandated to offer a flexible and multi-thematic programme concerned with interactions of societal and natural systems, the UNU-IAS research and capacity development activities focus on sustainable development from the following thematic areas:

- Advances in Science and Technology;
- Urbanization and Development;
- Governance; and
- Ecosystems Approaches.

**UNU Programme for Biotechnology in Latin America and the Caribbean (UNU-BIOLAC), Caracas, Venezuela** is a capacity development programme created in 1988 with the mission of promoting the production and use of biotechnology for development and integration of Latin America and the Caribbean. UNU-BIOLAC's main areas of activity include: capacity strengthening through courses and training fellowships; collaborative programmes; training of experts; and specific network development (bio-safety, bio-informatics, molecular epidemiology and genomics), as well as online education.

**UNU International Network on Water, Environment and Health (UNU-INWEH), Hamilton, Ontario, Canada** focuses on the global water crisis that impacts the lives of millions of people and is a serious impediment to global sustainable development. It undertakes integrated and demand-driven capacity development and supporting policy-relevant research to improve water management in developing countries. UNU-INWEH's programme of work involves five thematic sub-programmes:

- Regional centres of excellence in disadvantaged regions;
- Cross-cutting adult training and capacity building;
- Drylands water management;
- Integrated coastal zone management; and
- Groundwater and water quality management.

**UNU International Leadership Institute (UNU-ILI), Amman, Jordan** seeks to promote, encourage and facilitate leadership development for a secure, just and equitable democratic world. It pursues this

mission through a three-pronged strategy:

- Building leadership capacity;
- Conducting original research on leadership; and
- Enhancing public awareness.

#### **UNU Programme on Comparative Regional Integration Studies (UNU-CRIS), Bruges, Belgium**

aims to contribute through research and training, to a better understanding of the processes and impact of intra- and inter-regional integration from multidisciplinary and comparative perspectives. The goal is to build policy-relevant knowledge about new forms of governance and cooperation and to contribute to capacity development on issues of regional integration and cooperation, particularly in developing countries. The work of UNU-CRIS focuses on:

- Visioning how to realize multi-level governance;
- Monitoring the implementation and impact of regional integration;
- Deepening the critical understanding of regional integration as a process of social transformation and of the relations between micro- and macroregionalities;
- Strengthening the capacities at local, national, regional and global levels of governments, industry and civil society for dealing with regional integration.

#### **UNU Programme on Environment and Human Security (UNU-EHS), Bonn, Germany**

focuses on the assessment of vulnerabilities and coping capacities of affected communities facing natural hazard events and potential technological disasters. In this context, the aggregated effect of creeping environmental deterioration (unsustainable land use, climate change) and that of short-term emergencies (floods, earthquakes, etc.) is of particular importance. While the mandate of UNU-EHS covers the entire scope of environmental hazards and their consequences, the Institute starts its activities by giving priority to hazards, risks, vulnerabilities and coping capacities relevant in flood plains and deltas, especially in urban environments.

#### **UNU Food and Nutrition Programme for Human and Social Development, Ithaca, New York, USA**

has its origins in one of the three original UNU programme networks initiated in 1975. The network, coordinated from Cornell University, carries out research and capacity development on issues that

relate human development to food and nutrition. The Programme will continue to assist countries and agencies with the design, evaluation and improvement of nutrition and health programmes using relatively rapid qualitative techniques.

**UNU Iceland-based Programmes** provide specialized hands-on training for professionals from developing and transitional countries in the sustainable use of natural resources. The UNU Geothermal Training Programme (UNU-GTP) provides six-month specialized training in geothermal research, exploration and development at the postgraduate level. The UNU Fisheries Training Programme (UNU-FTP) provides six-month specialized training in fisheries research and development at the postgraduate level.

The UNU is currently looking into the possibilities for moving forward with three new initiatives: (i) a new UNU RTC on global health – the UNU International Institute for Global Health (UNU-IIGH) in Kuala Lumpur, Malaysia, which is expected to become operational during the first quarter of 2006; (ii) an operating unit of UNU-INWEH on energy and water to be located in Dubai, U.A.E.; (iii) a new research and training centre or programme on land cover change in Slovakia; and (iv) a new research and training programme on trade and environment in Geneva.

#### **UNU Associated Institutions**

##### **Central Food Technological Research Institute (CFTRI), Mysore, India**

UNU and CFTRI have cooperated for more than 20 years in a programme to provide research fellowships to developing country scientists working in areas of traditional foods, oilseed proteins, nutrition and adaptable technologies.

##### **Global Fire Monitoring Center (GFMC), Max Planck Institute for Chemistry, Freiburg, Germany**

GFMC and UNU, through its research and training programme in Bonn, the UNU Institute for Environment and Human Security (UNU-EHS), are carrying out a joint initiative to support in academic terms the wildland fire community organized under the United Nations system. The cooperation will serve different UN agencies and programmes by delivering mandate-oriented/policy-relevant information, research and capacity development.

**Gwangju Institute of Science and Technology (GIST), Gwangju, Republic of Korea**

UNU and GIST jointly undertake a Joint Programme on Science and Technology for Sustainability which focuses on the development of research and education programmes on the following three research themes:

- measurement, monitoring and assessment technologies;
- cleaner and future-oriented technologies; and
- remedial technologies.

**The Federal University of Mato Grosso, Cuiaba, Brazil**

UNU and the Federal University of Mato Grosso jointly carry out the Pantanal Regional Environment Joint Programme which conducts wetland ecosystem research, provides capacity development assistance and high-level training and disseminates scientific information and knowledge contributing to the resolution of pressing scientific challenges in integrated wetland area management. It seeks to contribute to effective management actions that will lead to the conservation, sound management and sustainable use of wetlands.

**GRID-Arendal, Arendal, Norway**

UNU and GRID-Arendal cooperate in a joint programme called the Global Virtual University (GVU), an online network university for sustainable development with cooperative links with a number of Norwegian and African universities.

**Griffith University, Nathan, Queensland, Australia**

UNU and Griffith University have a joint initiative to establish the Institute for Ethics, Governance and Law (IEGL). Activities are focused on ethical standard setting, legal regulation and institutional reform in terms of international governance and on the need to examine the interactions between these aspects of institutional governance.

**International Institute for Geo-Information Science and Earth Observation (ITC), Enschede, The Netherlands**

UNU and ITC have developed a joint set of multidisciplinary activities focused on issues of (a) disaster management (i.e., mitigation of natural disasters); and (b) land administration (including land use and cadastral aspects).

**National Food Research Institute (NFRI), Tsukuba, Japan**

UNU and NFRI cooperate in an advanced training programme that aims to strengthen the capacity of food science and technology institutions in Asia. The programme is supported by the Kirin Brewery Company which sponsors the participation of outstanding young researchers from developing countries in a one year research and study programme at NFRI. An innovative characteristic of the programme, supported by Kirin, provides research grants for follow-up research activities of the fellows after their return to their home institutions.

**The University of Ulster, Londonderry, Northern Ireland**

The UNU and the University of Ulster carry out activities in a joint undertaking called the “Initiative on Conflict Resolution and Ethnicity (INCORE).” INCORE’s work is focused on the following issues:

- Conflict research;
- Post-violence conflict resolution processes; and
- Management of divided societies.

# 5 An Open and Proactive Institution

The UNU is striving to be a more open and proactive institution – open to different disciplines, cultures, regions and management styles, and proactive in forging links. Only then can the University be truly open to the public and promote its ideals, achievements and ongoing work. These efforts will involve developing stronger links with institutions around the world that have goals that are compatible with, or complementary to, those of UNU. While the financial and human resources of the University do imply a limit on the number of relationships that can be established either with institutions or with individual scholars, the University will in the medium-term period use its resources to form linkages that bring additionality to the work of UNU.

In the coming mid-term period, the University will place specific emphasis on strengthening and extending its networking outreach in all parts of the world. A first step towards this end will be exploring the possibilities for establishing externally financed liaison offices in different regions where UNU outreach activities could benefit from a stronger institutional presence.

## Strengthening Our Linkages with the United Nations System

A key element of the UNU external outreach during the next medium-term period will be *enhancing the University's connections and contributions to the United Nations system*. UNU continues to work closely with key UN partners such as ITU, UNESCO, UNEP, FAO, WHO, UNCTAD, UNITAR, UNDP and WIPO and to expand and improve cooperation with other UN and other international organizations and units such as WTO, UNFPA, DPA, DESA, ECA, ECLAD and ESCAP, et al. The Rectorate will continue to enter into new strategic partnerships/alliances with United Nations and other organizations with which the UNU can pursue specific substantive cooperation. Major agreements of cooperation have already been concluded with

FAO, UNEP, UNDP, UNESCO, UNCTAD and WIPO. More important than such agreements are joint activities based on effective functional links. Many of these have been developed over the recent years with regard to water (UNESCO, WMO), dryland management (UNESCO, UNCCD, FAO, ICARDA), forests (UNEP, FAO), mountains (UNEP, FAO), dialogue among civilizations (UNESCO), world trade (WTO, UNCTAD), ICT (UNESCO, ITU), etc. In the coming years, we will increase the number of joint activities wherever relevant. A good way to develop such functional and personal links is to develop further a staff exchange programme as we did with UNESCO, including increasing academic mobility/sabbaticals etc.

UNU staff will continue to monitor and participate, where appropriate, in the discussions and communications of the High-level Committee on Programme and the High-Level Committee on Management, both of which are meant to support the work of the CEB. UNU representatives also participate in the informal meetings of some former subcommittees of the ACC, in particular those related to water, nutrition and gender issues. The UNU will continue to organize seminars and workshops in New York and Geneva in cooperation with the UN Secretariat, related, where appropriate, to the deliberations of the Second Committee of the General Assembly and ECOSOC, thus making active use of its institutional presence through its New York and Paris liaison offices and in Geneva.

In line with the Secretary-General's earlier reform proposals, the Rector and the Director-General of the United Nations in Geneva have continued to convene as from June 2000 an annual meeting of UN research entities and think-tanks external to the system that carry out research on issues of relevance to the UN as a means to begin to enhance communication and cooperation. These "Geneva Research and Policy Dialogue" meetings will be continued on an annual basis during the medium-term period.

The UNU continues to build on its existing cooperation with UNESCO through direct contact in such areas as the earth sciences and the Man and the Biosphere Programme, hydrology and water resources development, urban development and the management of social transformations (MOST), education for sustainable development as a follow-up to the Johannesburg World Summit for Sustainable Development, as well as in the follow-up to the World Conference on Higher Education (WCHE) and the World Conference on Science (WCS). In 2001, the UNU and UNESCO initiated a staff exchange programme involving academic staff. The UNU and UNESCO have co-organized major international conferences on “Dialogue among Civilizations” (2001); on “Globalization with a Human Face” (2003); on “Globalization and Intangible Cultural Heritage: Opportunities, Threats and Challenges” (2004); and on “Sustaining the Future – Globalization and Education for Sustainable Development.” In 2006, it is envisaged that UNU and UNESCO will co-organize an international conference on “Globalization: Challenges and Opportunities for Science and Technology.” This joint annual conference on some aspect of globalization has already become a tradition and will be continued in 2007 and beyond.

The University will extend its cooperation with UNESCO in establishing additional UNESCO/ UNU Chairs within the UNESCO UNITWIN Chairs programme. To date, five such UNU-UNESCO chairs have been established: the Chair on the Concept and Practice of Zero Emissions in Africa at the University of Namibia; the Chair in Leadership Studies at UNU-ILI, Amman, Jordan; the Chair in Plant Technology at Beijing University; the Chair on Water Resources, Sustainable Development and Peace at York University, Toronto, Canada; and the Chair on Global Economics and Sustainable Development in cooperation with the Colégio do Brasil. A further UNU-UNESCO Chair at the Open University in the Netherlands will be established in 2006. Each of the UNU-UNESCO Chairs is linked to a specific programme initiative of the UNU Centre or an RTC/P. During the medium-term period, the UNU will work with UNESCO to double the number of UNU-UNESCO Chairs by 2008. Efforts will be made to forge cooperation in other areas such as that related to the establishment of joint cooperative networks around the UNESCO

UNITWIN Chairs, e.g., the Global University Innovation Network (GUNI) based at the Polytechnic University of Catalonia (UPC), a specific initiative to assist in the follow-up of the WCHE. In the framework of the Implementation Framework for Education for Sustainable Development, the UNU will develop in close cooperation with UNESCO and with the help of the Ubuntu Alliance at least 20 Regional Centres of Expertise (RCEs).

Towards this end, the UNU will:

- Continue dialogue with UN system organizations to determine, on a regular basis, their research and capacity development needs and with a view to developing cooperative relationships that may eventually lead to “strategic alliances”.

## **Intensifying Our Involvement with the International Academic Community**

A second key area of UNU outreach during the medium-term period will be *enhancing our involvement with members of the international academic community, particularly scholars and institutions based in developing countries and countries in transition*. Through direct cooperation in UNU research or capacity development, UNU will seek to strengthen the breadth of its contacts with universities and research institutes around the world. This will be achieved primarily by involving these institutions in UNU’s work, as partners in an individual project or as a member of one of UNU’s existing or newly initiated networks. Successful existing networks include the PLEC programme, the Food and Nutrition for Human and Social Development Programme as well as the work of UNU-INWEH and UNU-INRA. The network on land degradation in dry areas which brings together research centres in North Africa, the Middle East and Central Asia will continue to receive specific attention during the medium-term period.

The UNU will continue its strategy of forging links with international academic networks with a view to disseminating information on the UNU and its academic programmes. The University will also seek to develop new cooperative relationships with universities and research institutes in Europe and

elsewhere making use of the facilities and conditions within the context of the EU's 6<sup>th</sup> and 7<sup>th</sup> Framework Programmes. The UNU's Europe-based RTC/Ps will, in particular, take the lead. It is envisaged that all of the above mentioned efforts to extend UNU's linking possibilities will be further developed over the medium-term period.

A specific policy line will also involve *talent scouting for young scholars from developing countries and countries in transition*.

Specific steps to be taken include:

- Encourage collaboration in project formulation and implementation with our partners, in particular in the tendering for research and capacity development programmes/ projects and participation in UNU activities.
- Identifying the key academic partners from the planned activities of the 2004-2005 biennium with whom a dialogue can be initiated on long-term cooperation that may lead to a strategic partnership;
- Identifying institutions with sustained cooperation with the UNU that would be considered for association status with the aim to designate at least ten new associated institutions;
- Establishing a programme for UNU Chairs involving key UNU associated and cooperating institutions in conjunction with the existing UNESCO Chairs programme.

## Reaching Out More Broadly

As a part of its next medium-term strategy, UNU will seek to broaden the level of its outreach, particularly in developing countries and countries in transition. A key goal will be to enhance identification with, and support of, UNU's mission, and to foster a stronger sense of community among the many people who are involved in, or connected with, the University's work. UNU will ask its present and former Council members and advisory board/committee members to assist in enhancing knowledge of, and connection with, the UNU in the different countries and regions in which they reside. Acting as UNU ambassadors will help to raise the overall profile of the University. One of the key initiatives to achieve this will be efforts to link up its "alumni" (former fellows, Council and

Board members, employees and project participants) with new generations of young scholars, among others, in the form of organizing UNU Global Seminars in their own region. Another will be to establish support groups and/or "Friends of UNU" groups in selected host countries and locations where UNU wishes to strengthen its visibility and presence as well as to obtain financial and other support. Such "Friends of UNU" groups could comprise, for example, former permanent representatives to the United Nations and UNESCO, together with key government officials who have helped to support the work of UNU in their official capacities. A key element in developing these groups will be to make use of new information and communication technologies to reach out to them in an efficient and effective way. A fourth main element will be to enliven existing mechanisms, or set up new ones, to mobilize support from both the public and private sectors in North America and Europe. Finally, the UNU will seek to strengthen its contacts and linkages with the private sector both for programmatic interaction, but also as potential sources for future financial and other support.

Specific steps to be taken include:

- Updating databases of UNU "alumni" (former UNU fellows, Council and Board members, employees and project participants, etc.) and to engage them by keeping them informed of the University's ongoing work as well as new developments. This would also be the first step towards more systematic linking of activities, such as sending newsletters, questionnaires, establishing national chapters, etc.;
- Extending the "Friends of UNU" groups beyond Japan to other host countries of UNU RTC/Ps;
- Continuing dialogue with existing support groups such as the Japan Foundation for the UNU and the American Council for the UNU to set out specific cooperative initiatives for mobilizing support and enhancing the visibility of UNU;
- Building up a list of scholars and institutions involved in UNU programmes as a basis for preparing a roster of scholars as set out in Article VI (e) of the Charter; and
- Forging cooperative links with private sector entities for programmatic interaction and exchange and to broaden the University's base of support.

## Reaching Out to Young Scholars

While engaging established academics, specific emphasis will be given to involving younger scholars in UNU's work during the next medium-term period. Such an initiative relates to the UNU Charter objective to stimulate the continuing growth of vigorous academic and scientific communities everywhere, but particularly in developing countries. It will also be meant to contribute to alleviating the intellectual isolation of persons in such communities in developing countries and countries in transition. As part of its networking efforts, specific allocations will be made to provide travel grants for young scholars who have been accepted to present papers at annual or biennial meetings of professional associations such as the Academic Council for the United Nations (ACUNS), the Third World Academy of Sciences, and the International Geographical Union, among others.

Specific steps to be taken include:

- Implementing a specific reporting process on an annual basis to track the involvement of a larger number of young scholars, particularly from developing countries and countries in transition, in UNU's academic activities;
- Extending the dialogue with major professional associations and organizations concerning the programme of travel fellowships to support young scholars' participation in major association meetings;
- Creating opportunities for young scholars from developing countries and countries in transition to do joint research with UNU RTC/Ps to help them upgrade and/avoid loss of skills and to participate in UNU conferences;
- Increasing the number of postdoctoral research grants for projects that can be undertaken at RTC/Ps or even in joint programmes with associated institutions.

# 6 An Effective Organization

During the period 2005-2008, management processes within the UNU will continue to be characterized by three “C”s: consolidation, codification and cooperation.

## Consolidation

In this context, consolidation means striving for excellence in all UNU’s activities and emphasizing the quality, pertinence, recognition and dissemination of the work of UNU. Consolidation also implies opening up new windows of creativity to ensure that the UNU’s academic work remains on the cutting edge of science and scholarship. Consolidation does not mean, however, reducing our innovative capacity or our efforts to fill in the blank spots in the UNU’s academic programme. The UNU will continue to explore the possibilities of establishing new centres and programmes, particularly in developing countries and countries in transition, to focus on issues requiring long-term research and training attention.

## Codification

The UNU initiated its academic activities some 30 years ago and has, as an international institution, matured with the changing context of its work. Nevertheless, it is widely recognized that there is a need to institutionalize or to streamline and codify some of the University’s existing policies, practices and functions, for example those in the administrative area and in project management, while keeping the flexible and non-bureaucratic approach taken since the foundation of the University.

## Cooperation

There is a need to stimulate better interaction between the Centre, RTC/Ps and associated institutions as well as between RTC/Ps and the associated institutions to ensure constructive cross-fertilization and to avoid possible redundancies in research and capacity development. This will call for the two main programmes at the UNU Centre, viz., Peace and Governance and Environment and Development, to play a more strategic coordinating

role among the RTC/Ps working in complementary areas. It will also involve identifying common cross-cutting issues, formulating relevant strategies, and strengthening capacity development activities and approaches throughout the UNU system. Making better use of information technology in the University, such as further enhancing the UNU Intranet, our public website and increasing utilization of video-conferencing facilities, should enhance the University’s internal communications. Online learning is another important opportunity for enhanced cooperation and effectiveness of the UNU system.

Moving the University towards a *unified system of centres of excellence in research, capacity development and dissemination* will involve enhancing the management of UNU’s human and financial resources as well as our physical facilities. This also calls for the UNU Centre to improve its ability to provide overall strategic management of the UNU system. Since 1999, a number of specific steps were taken to improve the overall coherence of the UNU system and to enhance organizational efficiency including specific emphases on:

- Strengthening the management cycle of planning, programming, implementing, monitoring, reporting/accounting, evaluation;
- Institutionalizing a process of strategic and multi-annual planning;
- Strengthening quality assurance mechanisms;
- Improving internal communication;
- Enhancing financial planning and investment;
- Streamlining our administrative and financial procedures;
- Developing and implementing a UNU personnel policy;
- Making better use of our physical facilities;
- Allotting funding within the 2004-2005 biennium academic programme and budget for two strategic funds: a Joint Activities Fund and an Innovative Capacity Development Fund, both meant to stimulate cooperation among two or more parts of the UNU system; and



## UNU Basic Principles

In UNU's efforts to fulfil its mission, it will develop an institutional culture which values and supports diversity and cooperation, engenders responsibility and accountability, and is sensitive to ethical issues and receptive to new ideas and approaches. Some basic principles will form the foundation of day-to-day operations:

- Excellence in all aspects of our academic activities and outreach;
- Relevance to the problems of developing countries and countries in transition and the United Nations system;
- High ethical standards, including integrity, trust, tolerance and acceptance of rights as well as obligations;
- A spirit of cooperation, collegiality and a dedication to creating a sense of community;
- Equity and openness in access to UNU research, capacity development and dissemination;
- Intellectual vitality and openness;
- Academic freedom and autonomy with commensurate accountability;
- Social responsibility and environmental sustainability in our own operations; and
- Ensuring the safety and well-being of UNU staff members and protecting their rights.

- Developing a more coordinated and targeted fund-raising strategy.

## Strategic Planning Process

Since the implementation of UNU's Strategic Plan 2000, progress has been achieved in putting in place an organizational strategic planning process within the UNU system. UNU centres and programmes have developed individual strategic plans for their units since 2000 and have prepared revised and updated versions for 2002 and 2004, which have been discussed by the advisory boards and committees of each unit. During the medium-term period, the process of strategic planning will be further strengthened by identifying additional ways on a running basis to enable individual units to contribute more directly to the University's overall strategic directions.

The UNU is also moving towards a more flexible approach to financial and project planning. By early 2005, the Rectorate had started the preparations for development of the next biennial academic programme and budget for 2006-2007 and beyond.

## Quality Assurance

High quality and excellence must always remain the top priority for any university. This is even more true for the only UN university. UNU will,

therefore, continue to strengthen its quality assurance mechanisms as well as developing cohesive system-wide programmes, taking account of best practices within the system. This calls for the UNU system to develop specific policies and approaches for project formulation, selection and evaluation as well as programme and unit evaluations based on best practices within the UNU system as well as in other high-level academic institutions. A key factor for ensuring continuing quality of research and capacity development is the selection of high quality academic and administrative personnel, who have specific expertise in the development and implementation of academic activities that are the UNU's lifeline.

Steps to be taken include:

### Project Formulation

The UNU is striving to further improve the internal standards for project formulation, implementation and management. Although the UNU is not a funding agency per se, it is important for us as an academic community to be more proactive in inviting external proposals in the chosen areas of specialization of each unit, a procedure already followed in UNU-WIDER. The aim would be to have a greater degree of competition and to enable comparison with external standards. The University is prepared to undertake research projects at the request of other parts of the United Nations system. All projects, external and internal, could then be evaluated using similar criteria.

## **Project Selection Criteria**

In selecting topics for research and capacity development activities, there is a need to ensure quality and relevance as well as the need for developing a hallmark role for UNU vis-à-vis other research institutions and UN organizations. The Council and RTC/P advisory boards and committees will continue to play an invaluable role in ensuring the quality and relevance of UNU academic activities. The UNU Centre will also develop and utilize a peer review assessment process for Centre-coordinated activities from 2005.

## **Project Monitoring and Evaluation**

A next step to be pursued during the medium-term period is to enhance system-wide project monitoring and accountability of individual programme/project managers. The UNU will implement a flexible post-activity/post-project assessment form and gather data to help gauge the use of UNU academic outputs both within the United Nations and the international academic community to the extent possible.

## **Programme/Functional Unit Evaluation**

Given the range of issues covered and criteria for selection, it is difficult to devise a single method to enumerate successes, rank projects, or identify the attributes that determine success or failure. The “peer review” approach is probably the most adequate and in line with UNU’s profile of activity. External peers will be asked to assess the work of each unit and major programme every few years. This will cover the overall coherence and impact of the programme as well as the quality of completed projects.

## **Managing UNU’s Human Resources Better**

The adoption of UNU’s Personnel Policy in 2003 was a good first step in moving towards a more pro-active and goal-oriented personnel system, linking more closely UNU’s programmes with individual work assignments towards the fulfilment of the University’s mission and objectives. Better management of UNU’s human resources will need to include more continuous communication on the expectations of the University and its personnel. It will call for enhanced accountability on the part of academic leaders and a fair periodic performance assessment system.

Towards this end:

- Additional attention will be needed in the development of a computerized personnel records system to help streamline and make efficient UNU personnel procedures.
- Specific guidelines and procedures for UNU personnel should be developed within the framework of the UNU Personnel Policy. This will include manuals which set out clearly staff entitlements and responsibilities.
- Additional attention will be needed to align individual work assignments with the goals and output expectations of individual units. This will require more attention by individual managers to the needs of, and requirements for, their staff.
- The Rectorate will study ways to improve the management of UNU’s human resources through improved training programmes for research leaders and others as well as through enhanced internal communications.

## **Improving Internal Communications**

A specific challenge during the medium-term period will be to strengthen internal communications and information sharing within the UNU system. UNU as a decentralized institution with RTC/Ps and liaison offices as well as associated institutions in different parts of the world needs to pay special attention to ways and means of sharing information on programmes, projects, developments and policy changes among its personnel. Another challenge relates to enhancing identification with, and support for, UNU’s mission among RTC/P personnel, and to foster a stronger sense of community within the University system. Continuation of the Senior Officers Meetings (SOM) at the UNU Centre and the periodic meetings of Directors of RTC/Ps (CONDOR) are important as a first step for enhancing internal communications. UNU, and UNU Centre in particular, will make better use of information and communications technologies to share information more effectively.

Specific measures include:

- Enhancing the capacity of all parts of the UNU system to disseminate and share information;

- Encouraging substantive contacts among academic staff at the UNU Centre and RTC/Ps;
- Developing and implementing a digital asset management system for the UNU as a part of a broader internal communications strategy and more effective research and dissemination; and
- Making better use of the teleconferencing facilities.

## Financial Planning and Investment

In order to strengthen financial planning and to obtain high-level investment management advice, the Rector established an ad hoc UNU Investment and Financial Planning Advisory Group. The continued advice of the group will make it possible for UNU to work more effectively with the Under-Secretary-General for Management who is responsible, on behalf of the United Nations Secretary-General, for the investment management of the UNU Endowment Fund.

Additional specific steps to be undertaken include:

- The Rector will continue to convene on an annual basis the ad-hoc investment and financial planning advisory group;
- Further improvements in financial planning will be pursued in the medium-term period to ensure a longer-term time perspective for such planning.

## Streamlining Administrative and Financial Procedures

Although the UNU improved the efficiency and cost-effectiveness of its activities during the period 1999-2004, specific attention will continue to be given to streamlining UNU administrative and financial procedures as a part of the overall “codification” process. More attention will be given to identifying best practices currently used within RTC/Ps and within other United Nations organizations to give possible direction/guidance for reform of UNU administrative structures and procedures and to improve UNU efficiency and cost-effectiveness in administrative functioning.

Towards this end:

- A first aim will be improving the UNU’s finance and accounting system implemented in 2000;
- A second step will be linking the system to a new project management system to reduce duplication of effort and input by academic support staff.
- Continuing improvement will be made in financial reporting with a monthly review of financial data by the SOM and improved monitoring and spot-checking on the part of the UNU Centre Administration for the UNU system as a whole.

## Fund Raising

The UNU’s strategic planning process and efforts to focus the University’s programme and institutional priorities have facilitated efforts to mobilize additional external support for UNU’s academic work. The solid base of UNU’s Endowment Fund will continue to be used to facilitate longer-term planning as well as leveraging of resources from the public and private sectors. Nevertheless, the downturn in international equity markets has reduced the overall capital value of the UNU Endowment Fund. For the next medium-term period this will imply reduced investment income. To ensure the fullest possible implementation of UNU academic activities, it will be necessary for the UNU to intensify its outreach to external donors in an entrepreneurial manner in order to mobilize additional operating and specific programme contributions. A crucial factor for the success of any fund-raising initiative is the availability of project information and the preparation of project proposals in line with the requirements of the individual foundations. Efforts by the UNU Offices at the United Nations in New York and at UNESCO to match up UNU programme priorities with funding criteria of major funders in their region will be of particular importance in the next medium-term period.

During the medium-term period:

- A UNU fund-raising strategy and plan will be prepared by the Rectorate in consultation with the directors of RTC/Ps and the heads of the liaison offices in New York and Paris. The first

draft of the strategy and plan will be tabled for discussion at the 52<sup>nd</sup> session of the UNU Council in December 2005. The strategy will include specific fund-raising goals and a clear projection of the expected levels of specific programme contributions to be mobilized as a proportion of total income for each unit. The UNU Council has set the goal to be 33 per cent of total income.

- Sharing of information on planned and ongoing fund-raising activities of the University will be coordinated by the Office of the Rector, in order to coordinate approaches to specific donors; and
- The UNU Office at the United Nations, New York, and the UNU Office at UNESCO, Paris, will be responsible for preparing contacts with foundations, and supporting follow-up visits by the substantive personnel responsible for the implementation of UNU academic activities in their respective regions.

A second tier of activity will involve the development of a set of priorities for approaching a number of UN Member States for possible annual operating contributions for general support or for specific areas of work. As part of this initiative, the Rector will continue to obtain commitments of support from public and private sector sources for two specific funds established in 2000 viz., a *UNU Fund for Policy Studies* and a *UNU Capacity Development Fund*.

Specific measures include:

- Mobilization of specific contributions for the *UNU Fund for Policy Studies* to support an annual series of policy studies on issues either commissioned by the United Nations or by the University itself as a contribution to the work of the system. This would be modelled on the “Scientific Council for Government Policy” in such countries as The Netherlands;
- Strengthening the level of support for the *Capacity Development Fund*, with the specific goal of doubling the number of fellowships awarded by UNU over the medium-term period, 2005-2008.

## Making Better Use of Our Physical Facilities

Since 1999, the University has taken stock of the provision of physical facilities made available by UNU host countries. This stock-taking exercise showed that UNU’s host countries and donor organizations make available premises that have a market value of more than US\$30 million per year. The University Centre and individual RTC/Ps continue to try to make the best possible use of existing facilities and to increase the openness and outreach to the public in each UNU host country. Over the period 1999-2004, important improvements were made in particular in the access and outreach to the general public in the UNU’s main host country of Japan. The development of the UN House concept involving the 11 UN organizations which now share the UNU Headquarters Building has become a model for other parts of the United Nations system. Additional plans have been developed to “green” the area around the UNU Headquarters Building and to remodel it to increase even further the openness and accessibility to the public, among others, by creating a large exhibition hall on the ground floor. Good progress has also been made in establishing better working relationships with other UN organizations in Japan. The UN House in Tokyo is one of the top seven international conference sites in Japan. During the medium-term period, UNU will continue to improve the use of the premises and facilities of its UNU Centre and RTC/Ps.

In particular, UNU Centre will:

- Pursue, with the Government of Japan, plans to reform the first and second floors of the UNU Building and to “green” the areas in the front and at the back of the building;
- Continue dialogue with the Ministry of Education of Japan concerning the need for ensuring the soundness of the UNU Headquarters Building now that it has been in use for more than 13 years.

## Closing Remarks

The mission of UNU continues to be a very challenging one. The UNU has during the period of its first strategic plan made good progress in implementing the specific goals and objectives set out in the plan. UNU is on target and continues to engage its future. The University will continue to improve the quality and relevance of its academic activities and to ensure optimal use of the human, financial and other resources that are being made available for its work. The UNU is committed to achieving the goals and objectives set out in the Strategic Directions 2005-2008 which aim to help the University to fulfil the responsibilities set out for it as the one and only “University for the United Nations system.”

## Endnotes

1 In 1998, three external evaluations were conducted: (1) an evaluation mandated by the UNU Council to review the activities of the University over the past decade; (2) a review by the United Nations Joint Inspection Unit (JIU); (3) an evaluation visit by the Under-Secretary-General for Internal Oversight Services (OIOS), 1998. These evaluations have been followed by an external evaluation of the UNU’s capacity development programme (2001), external peer evaluations of UNU-WIDER (2001), UNU-IAS (2002), UNU-INRA (2002), UNU-INTECH (2002-2003), and return audit visits to the UNU Centre in Tokyo (in 2002 and 2005) and an audit of the UNU-IAS by OIOS (2002).

2 These were first adopted by the Council at its 44<sup>th</sup> Session in December 1997.

3 Kofi Annan, UN Secretary-General, Report of the Secretary-General on the Work of the Organization, 1999.

4 This approach has been followed with the exception of UNU-IAS.

### Copyright and Contact Information

Copyright © 2005 United Nations University. All Rights Reserved.

United Nations University  
Office of Communications  
53-70, Jingumae 5-chome  
Shibuya-ku, Tokyo 150-8925, Japan  
Tel: +81-3-3499-2811  
Fax: +81-3-3499-2828