

# **Midterm Review**

**2007**

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## **CERES research school for resource studies for development**

**First KNAW Accreditation: 1994**

### ***Some main data on the organization of CERES***

#### **CERES Partners and co-operation agreements**

CERES is a joint initiative of six Dutch academic institutions (the constituting partners): Utrecht University (scientific director and administrative centre), the University of Amsterdam, the Wageningen University and Research Centre, the Radboud University of Nijmegen, the Institute of Social Studies at the Hague, and the Vrije Universiteit Amsterdam.

From the start, the institutional policy of CERES regarding the national context was to strive for the formation of a nation-wide research and PhD network. From 1994 on initiatives were taken to expand the institutional linkages of CERES within the Netherlands. Firm associations were developed with relevant research groups in other universities, research schools and institutes (the associated partners). Also bilateral co-operation agreements were reached between CERES and other research schools and research institutes abroad.

At present the following institutions are associated CERES members: African Studies Centre (ASC) Leiden, Centre for Latin American Research and Documentation (CEDLA) Amsterdam, Centre for Environmental Science (CML) Leiden, ETC Foundation (Leusden), Institute of Migration and Ethnic Studies (IMES) Amsterdam, Institute for New Technologies of the United Nations University (UNU-MERIT) Maastricht, International Institute for Asian Studies (IIAS) Leiden, Institute for Development Policy and Management (IOB) Antwerpen, Development Research Institute (IVO) Tilburg, Royal Tropical Institute (KIT) Amsterdam and Technology and Development Group (University Twente). Co-operation agreements exist with ASSR (Amsterdam School for Social Science Research Research) CNWS (the Research School for Asian, African and Amerindian Studies (IIAS (International Institute for Asian Studies), University of Gent, Catholic University Leuven, University of Aarhus (Department of Ethnography and Social Anthropology).

#### **Research volume**

Since the start of the research school in 1994, the number of senior researchers participating in CERES as well as the number of PhD participants increased substantially. In 1994 the total research volume was 131 full time equivalent, senior and junior researchers.

In 2006 CERES has 216 senior members and 342 junior researchers. This raise in research volume was mainly caused by the admission of new participants in the different CERES locations, and also by an increase in research volume in fte of participating researchers.

CERES has been quite successful in obtaining NWO/WOTRO funding (2nd flow). The so-called 'second flow' has again increased in this accreditation period. During the last years CERES received about 60/70% of the available NWO/WOTRO grants. In 2005 20% of the total research volume (senior and junior) was NWO funded and 23% contract research.

#### **PhD Volume**

In spite of the budget problems experienced by all our member institutions the number of PhD's has risen to 297 at the end of 2005. The balance between international PhD candidates and PhD's from the Netherlands remains more or less the same (60%-40%).

#### **Current areas of employment of CERES alumni**

An inventory of the current areas of employment of CERES alumni was drawn up in 2004. The response was very good. We could trace 92% of the 200 CERES alumni. The table below speaks for itself: most alumni (more than 50%) found a job in Academia in the Netherlands or abroad in their home country or in (CERES) related institutes (more than 20%).

*For more information and figures about the first 200 CERES alumni, see the booklet CERES 1994-2003: 200 PhD dissertations'.*

## **Finances**

Utrecht University (CvB and Faculty of Social Sciences) bears the costs of scientific director and office. Each constituting partner makes available 0.1 fte (and material budget) for its location member in the CERES Directorate and 0.2 fte for local management. Participating institutions are also expected to supply time for the management of working programmes (ca. 0.1 fte convenor and 0.1 fte chair). The exploitation costs of CERES are paid through contributions from UU - the administrative hub of CERES - and the participating institutions (both constituting partners and associated partners). Participating institutions pay a fixed annual contribution (constituting partners €6000; associated partners €750). A special facility is created in order to stimulate activities within and between the Working programmes. All participating institutions (partners and associates) contribute annually €500 per fte to this fund.

From the beginning the PhD-training has been organised in a financially neutral way. For the training activities no fees are charged and no reimbursement is given for teaching time. All participants contribute annually (€250 per PhD candidate to the so-called PhD fund, out of which all other training related costs are paid (PhD meetings, costs for conference centres, international and other guest lecturers, social activities etc.).

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## 0 Introduction: research schools in the Netherlands

Since the early 1990s the academic research environment in the Netherlands has been organised in research schools, of which there are about 100 now. The Royal Netherlands Academy of Arts and Sciences regularly evaluates all research schools, and (re-)acknowledges them for a period of six years. Half-way every evaluation period research schools are supposed to organise a mid-term review, and to ask an international advisory body to look at the performance of the Research School. Most research schools are national or at least multi-location agencies; some only represent one University. Some research schools also have foreign partners (often Flemish). Most research schools deal with one academic (sub-)discipline, a few – including CERES – are explicitly trans-disciplinary ('problem oriented').

### 1. CERES: history and mission

CERES is the research school in the Netherlands with a mission to stimulate and coordinate research, PhD supervision and training about global social transformation and international development issues. It does so by combining seven major activities:

- stimulating *intellectual exchange and constructive criticism* among a network of senior and junior researchers in the Netherlands, organized in eight working programmes and in a number of flexible cross-cutting thematic teams; through a construction of full and affiliated membership it provides a platform for all relevant social<sup>1</sup> scientists in this domain;
- providing a high-quality *supervision and training* environment for PhD candidates in this domain; both by providing central training facilities, and by providing access to relevant training and supervision facilities among the full and associated institutional members of the school and in neighbouring schools with whom cooperation agreements exist; in addition information about relevant research masters programmes/courses is exchanged as well;
- providing an *overview of all relevant scientific products* of members of the school; and information about who is who, who does what, what are the useful contacts abroad, and what are promising (national and international) funding possibilities for research and research dissemination;
- stimulating the excellence of research in this domain by providing a framework for *inclusive valuation of scientific work*, and using it as a means to monitor and discuss individual and group performance; it does so in a strategic alliance with EADI, the European Association of Development Institutes;
- stimulating the relevance of research in this domain by *linking the researchers* in the school *with knowledge workers among policy makers and practitioners* in the Netherlands and abroad; it does so by active involvement in the Development Policy Review Network (DPRN) and in UNESCO-MOST;
- strategic support for *maintaining/defending the research strength* of this domain in Dutch universities, and for supporting new initiatives where relevant;
- assisting in *capacity building of research and research training abroad*, both as a central activity (the strategic collaboration with the South Africa-Netherlands Research Programme on Alternatives in Development) and as activities by all CERES partners.

CERES now exists fourteen years. As an established Dutch research school CERES has gone through **four phases**, each with its own emphasis on goals and intentions.

During the first phase (**1992-1993**) five universities and the Institute of Social Studies signed an agreement to form a national research school and agreed on the architecture of the school (board, directorate, administrative office, working programmes, membership, PhD representation). CERES developed a PhD programme based on experiences in a pilot PhD programme in non-western studies, and in conjunction with two other research schools (ASSR and CNWS). In 1994 CERES acquired official accreditation (ECOS commission of the KNAW, the Royal Academy of Arts and Sciences in the Netherlands).

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<sup>1</sup> - 'Social' includes international development studies, anthropology, sociology, social psychology, education studies, human geography, economics, legal studies, political science, policy studies, and contemporary history, as well as applied studies in agriculture, forestry, and civil engineering at the interface between social and natural sciences, and applied studies in health sciences at the interface between social and medical sciences; the focus is on global studies, and studies in developing countries; a growing number of studies takes place in the Netherlands/European Union on topics related to issues of migration, trans-nationality, cultural pluralism, social exclusion and poverty.

During the first period of KNAW recognition (**1994-1998**) emphasis was put on curriculum development of the PhD programme (with a focus on the first year's introductory programme, annual Summerschools, and specific training in working programmes, WPs). Additional associated member institutes joined the School and a joint reporting framework was agreed upon. In 1999 CERES was re-accredited for the first time.

During the second period of KNAW recognition (**1999-2003**) the field of research widened to include research questions about multi-culturality and migration. Improving the quality of research output became a major issue as CERES developed a system of research performance valuation. Integration between WPs was promoted by the CERES 'pathway project', consisting of 6 working groups that organized major debates about core theoretical and methodological challenges<sup>2</sup>. The school further expanded to include more academic partners as associated members. The institutions and arrangements around PhD supervision were improved (e.g. Training and Supervision Plans, mentoring arrangements, peer support groups). Cooperation was started with SANPAD (South Africa-Netherlands Research Programme on Alternatives in Development) to support PhD training courses in South Africa. In 2004 CERES was reaccredited for the second time. The performance valuation system in use was accorded a special mention by the KNAW.

During the most recent period (**2004-2006**) CERES developed a partnership with EADI at the European level (e.g. joint journal rating system) and has prepared steps for a more catalyzing role in accessing international research and funding networks (internationalisation project). The school has increased its attention for the science-society interface (e.g. relationships with the Ministry of Foreign Affairs, the NGO community, DPRN/the Development Policy Review Network, NWO/WOTRO, and the link with UNESCO/MOST). The existing membership categories were reformulated and new affiliated members from other research schools and policy makers and practitioners from outside academia (e.g. Royal Tropical Institute, ETC International) and from Belgium (IOB Antwerp) joined. CERES signed and prepared MOUs with related research schools in the Netherlands (NETHUR, School of Human Rights Research, PE&RC and Mansholt Institute).

In the meantime one of the core activities of the school - the training of new generations of PhD candidates - remained a thriving element, with a truly international participation (currently more than 60% coming from Africa, Asia and the Americas).

## **2. Leadership**

CERES has two decision-making levels, the Board and the Scientific Director. The ultimate responsibility rests with the Board, composed of six members, each representing the constituting member institutes of CERES, two PhD representatives and a representative of the policy and practitioners community in the domain of CERES (currently the President of the Royal Tropical Institute, and chair of the Development Policy Review Network). One of the Board members acts as Chair. Until 2005 Prof. Hans Opschoor was Chair of the Board; since 2005 Prof. Isa Baud has taken over this task. The day-to-day management of the research school is entrusted to the Scientific Director, under supervision of the Board. The Scientific Director is assisted by a Vice Director, and by the Directorate, composed of representatives of the six constituting partner institutions. The tasks of the Board and the Scientific Director concern both policy developments at the central national level and the coordination of activities of the local units. Prof. Arie de Ruijter was CERES' first director (1992-2002). Prof. Ton Dietz took over in September 2002. Mr. Ab van Eldijk was Vice-Director throughout the period under review.

In order to achieve optimal conditions for research and training within the different thematic clusters, Working Programmes headed by a management team have been a long-established tradition. These management teams consist of at least a convenor, a chair and a member of the Ph.D. group. The CERES scientific Director and Directorate consult with the Working programmes on a regular basis. Board and Directorate are advised by the PhD council, composed of PhD representatives of the Working Programmes. Two PhD representatives are advisory members of the Board. The central CERES office supports the Board, the Scientific Director and the Directorate. The CERES office is located at Utrecht University.

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<sup>2</sup> Kalb, Don, Wil Pansters & Hans Siebers (2004) *Globalization and Development. Themes and Concepts in Current Research*. Dordrecht/Boston/London: Kluwer Academic Publishers (203 pp).

(See for full text CERES organisation and management, including responsibilities and tasks: appendix 'Internal organisation and management')

### **3. Strategy and policy**

#### **3.1 Reflection on strategy, policy, leadership and organisational development of CERES**

At present international cooperation at the European level has become a major focus of the organisational strategy of CERES to provide an appropriate embedding of our national research and training network within the emerging EU-networks for scientific research and education.

In the context of these developments at European level the CERES valuation system for scientific output has been accepted by our European colleagues at EADI as a standard valuation tool<sup>3</sup>. The ambition of CERES to broaden and strengthen the coordination of scientific knowledge and expertise in our field of research is in line with policy initiatives recently developed by the European Commission promoting the development of a knowledge society through the establishment of research networks (within the 7<sup>th</sup> Framework Programme).

In view of these developments the overall strategy of the CERES organisation is to strengthen ongoing shifts in the research focus of CERES, and at the same time improve the positioning of our research school for international PhD candidates and for research programming purposes.

The further development of a number of newer research foci on migration/trans-nationalism, informality, social exclusion/inclusion and multiculturalism through the admission of new researchers in these fields called for adaptations in the content of working programmes. Moreover, the CERES management stimulated these developments through the facilitation of project groups from different institutions and working programmes to further cooperation around these issues. Some of the older "pathway groups" are still active, for instance a group dealing with the issue of trans-nationalism. New groups have also emerged. A new group about "the impact of global commodity chain formation on local production" is a good example of the multi-disciplinary and multi-paradigmatic approach that marks the CERES research architecture from its inception. It is an example of a prominent emerging issue within our field of study, which this group tackles in an interdisciplinary way, involving not only scientists but also other stakeholders. The need for inter-disciplinary research and active engagement with societal actors is a pivotal element of the CERES policy and has recently been highlighted by the national science foundation NWO in its latest strategy paper 2007-2010, stressing the growing need for multi- and interdisciplinary research on societal issues. The realised innovations in the research programme through the introduction of thematic groups are complemented by a widening regional orientation and the efforts of some working programmes and project groups to stimulate a more North-South comparative research programming.

The thematic and regional widening of the research agenda is also reflected in the working programmes. The issue of risk, conflict and governance has become central, and researchers established closer links with the field of human rights and international legal issues. Researchers from CERES helped form the EADI Working Group on Urban Governance and are active in the EADI Working groups on Aid, Policy and Performance, Gender and Development, and Industrialisation Strategies. The MARE group (Maritime Resources Research Centre) at AMIDSt/WUR joined CERES, which led to increased attention for comparative and global frameworks with regard to the management and use of coastal resources. The number of researchers in the research field of forest resources, wildlife and biodiversity also increased.

The recent adjustments in the CERES research programming are closely linked with general shifts in classical development research that received a major boost after the adoption of the Millennium Development Goals by the United Nations. The changes in focus induced by the formulation of the Millennium Development Goals are also reflected in public policies and in the allocation policies of public research funding institutions (including NWO and WOTRO in the Netherlands). The current research attention for 'development' is much wider than the classical approaches, and with more attention for governance contexts of poverty and - lack of - sustainability. At present CERES is

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<sup>3</sup> Within EADI, 114 institutions in development teaching and research are members. EADI is part of a global coordinating body for international development research (ICCD), which includes CLACSO in Latin America, CODESRIA and OSSREA in Africa and APISA in Asia.

involved in a process of encouraging major scientific involvement in monitoring and evaluation policies, with attention for this wider context and its dynamics. New research and research training initiatives of the Ministry of Foreign Affairs e.g. in-service PhD training for policy officials and the 'IS Academy' have found academic partners which are part of the CERES network<sup>4</sup>.

The new MDG-driven WOTRO strategy with poverty, health, environment and global relations as central foci fit well in the CERES research interests. NWO's general interest in sustainability issues, conflict, cultural heritage and religiosity, and migration and multiculturalism and its threats and opportunities is in line with the central foci in the CERES research programming as well.

The new organizational positioning of CERES' director and office within Utrecht University (in the Faculty of Law, Economics and Governance) provides us with an excellent opportunity to widen the linkages with domains of human rights, institutional economics and governance, which are becoming ever more important for understanding global social transformation and international development issues. It is the intention to capitalize on these new opportunities by developing a joint 'smart mix initiative' about "measuring the impact of the Netherlands abroad"<sup>5</sup>.

### **3.2 Policy, strategy and the CERES research agenda**

#### **The dynamics of CERES research: domain, concepts and scientific mission**

##### *A world in transformation*

The contemporary world has become complex, interdependent, and differentiated, both in terms of political-economic dynamics and socio-cultural changes. An intensification of the movements of capital goods, meanings, and people across the entire globe makes it more and more difficult to identify regions or socio-economic systems as separate research units. The development of the system of world capitalism entered a new phase, one of flexible production and neo-liberalism, facilitated by new information and communication technologies. The transition to neo-liberalism and the collapse of state communism was accompanied by a restructuring in the governance of national economies. These profound transformations are accompanied by negative externalities such as financial instability, 'jobless' growth, environmental degradation, violence and tensions that arise from the disjunctive paths of democratisation processes and market-led economic development. Unsurprisingly, counter-tendencies have emerged in the form of social movements, sometimes backed by state-regimes (e.g. Bolivia).

As trans-national economic networks and corporations have become the important shapers of the contemporary global economy, nation-states are increasingly incapable and/or unwilling to regulate their operations despite important social and environmental drawbacks. The global transition to post-Fordism has exacerbated existing inequalities and created new ones. In geopolitics and international relations the world has experienced a profound restructuring after the fall of the Berlin Wall and 9/11. The North-South metaphor has lost much of its meaning since the beginning of the 1990s. What was formerly known as the Third World has increasingly been recognised as a highly differentiated region: from the relative wealth of (areas within) newly industrialised countries to areas or entire countries that experience continuing or even deepening poverty, civil strife and violence. At the same time, large parts of the world have experienced some form of democratisation, while corporations adopt strategies of corporate social responsibility and build alliances both globally and locally with other civil actors. Disparities within and between nation-states are growing as a consequence of the unequal impact of global forces. Advanced post-industrial economies are also experiencing rapid processes of internal differentiation, resulting in the so-called "fourth world" poverty pockets and in the exclusion of major sections of immigrant and 'native' populations. The free movement of cultural forms and images contrasts with the growth of cultural and demographic frontiers. Apparently, the emergence of a trans-national political-economic system implies the rebirth of nationalism, regionalism, and ethnic and

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<sup>4</sup> The Dutch Ministry of Foreign Affairs institutionalized the initiative to improve its knowledge and research support strategy and bring together policy makers and researchers in the so-called IS academy (Academy for International Development Cooperation). Five of those initiatives recently started or are about to start, all of which involve CERES institutes and members: on education (AMIDSt, University of Amsterdam), HIV/AIDS (ASSR, University of Amsterdam, linked to CERES Working Programme 6), poverty and governance (Utrecht anthropology), civil society (CIDIN, Nijmegen), and failed states (African Studies Centre Leiden). The Ministry has planned ten more IS Academies to start in the years to come.

<sup>5</sup> Preferably as a joint venture of CERES and the School for Human Rights as representatives of the scientific community, and with involvement of the Ministry of Foreign Affairs, Partos and Berenschot.

religious boundaries. As a consequence, research into the intersections between processes of globalisation and localisation on macro-, meso-, and micro-levels is central to the understanding of development, change, continuity and trans-national migration.

The interplay between global flows of people, finance, capital goods, images, information and technology on the one hand, and local mediations and responses on the other, provides a framework in which pressing social issues and transformations come to the fore. We see persistent and deepening patterns of unequal distribution of opportunities, wealth and risks. Threats of (ethnic, religious and so-called terrorist) violence are increasing, making insecurity a daily experience for many people. Poverty and informality constitute core elements in the livelihood of large groups of people, also in the metropolitan cities.

These processes and problems have a profound impact on questions of sustainability, cohesion, and governance. Sustainability has come to refer not only to the relationship between natural resources and human groups but also to the (im)possibility of the stable reproduction of social systems and networks, which raises questions of global, national and local solidarity and governance. Demographic and socio-economic changes have increased the pressure on (natural) resources. This development is exacerbated by new waves of migration, which may pitch different ethnic groups against each other in their attempts to achieve or retain control over resources. This often leads to violence and problems of governance, thereby upsetting existing systems of social cohesion and solidarity and challenging previously dominant norms, values, and cultural meanings.

The tandem processes of globalisation and localisation, and the issue of cohesion of value systems and cultural meanings, deeply affect our ideas about cultural and religious pluralism and multiculturalism and pose serious challenges to the social and cultural foundations of institutions and governance. Livelihood problems and policy failures may easily encourage extremist identity constructions to become credible and plausible, and may thus contribute to violence, institutional disintegration, and the loss of access to resources.

In the context of persistent poverty, competitive international markets, pressures on different resources (e.g. water), the failure and unpredictability of state-, market-, and civil society-based interventionism raises substantive concerns about governance issues. National development policies from previous decades were broadly regarded as inadequate as the result of institutional constraints. Today, the problem of governance is subjected to the forces of globalisation and localisation, which blurs the boundaries between state, civil society and market, between governments and private organisations, and between formerly circumscribed societies, markets and hierarchies. The context in which processes of governance, management, and policy development take place are increasingly marked by networks, shifting power configurations, and differentiated, multicultural and international arenas. The interactive character of policy development and governance within and outside of ordered policy frameworks, poses new analytical and conceptual challenges for understanding both the development and impact of policy and governance for institutions and (groups of) agents. At the same time, social scientists are challenged by new calls for evidence-based information about 'target-derived' interventions in economic development, health, education, human rights and conflict resolution.

#### *Thinking about a world in transformation: the research field and perspective*

These problems ask for major research efforts. The identification and understanding of the underlying forces of global social transformation and development constitute the general scientific *objectives* of CERES. Because the research field of CERES is broad, complex and changing, in recent years a process of critical rethinking of the central concepts has taken place.<sup>6</sup> This has resulted in a gradual rearrangement of research objects and conceptual instruments, which can be summarized as follows.

1. The growing social and scholarly awareness of global interdependence and social transformation has led to the dissolution of the territorial connotations previously enshrined in the concept of development (Third World, the 'South'). Instead, analytical attention is increasingly drawn to the nature of the *connections* between different agents, sites and processes under study. With it comes the use of related concepts as flows, networks, fields, chains, and linkages, which promote

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<sup>6</sup> CERES systematically reflected on key concepts and thought through the implications for research organisation and planning. In a first phase (2001) this resulted in a report entitled *In search of common ground*. In a second phase (2002-2003) it launched the *Pathways of Development* project, which resulted in the publication of the volume *Globalization and Development* (2004), which discusses a number of new analytical pathways.

understanding of global interdependence and transformation. For CERES this implies a new commitment to study the connections between different parts of world through the analysis of migration streams (and its consequences, commonly identified as the debates about multiculturalism), global economic networks, cultural flows and regulatory political frameworks. In other words, CERES wants to invest in scholarly work with a global (comparative) scope that pays particular attention to the interconnections between the different parts of the global community.

2. Although networks and flows are often identified with the global, they are studied at diverse societal levels (from households to international companies). Moreover, the study of (inter)national networks of people, chains of goods and linkages makes it possible to critically examine the idea and meaning of the distinction between different societal levels as such. CERES' unique orientation towards processes of societal transformation in highly diverse regions of the world and their interconnectedness makes it particularly apt to register and make intelligible the wide range of forms these changes acquire. It can do so with the help of two methodological principles: first, its professed and proven commitment to concentrate on the interfaces and linkages between processes and structures on macro, meso-, and micro-levels; and second, the enhancement of comparative research, both within and between working programmes. The comparative analysis of the insights produced by studies in a range of resource environments is of great relevance for theory building.
3. With respect to the concept of development, reflections within and outside of CERES point to a critical evaluation and *de facto* abandonment of its most simple modernist connotations. At the same time, CERES remains strongly committed to its critical research agenda of the following fundamental social issues: inequality (which encompasses poverty and exclusion), multiculturalism and social cohesion, environmental crisis, violence and insecurity, *and* their complex interactions. In other words, the critical research agenda intimately related to the classic 'development' research paradigm is globalized through the notion of global interconnectedness and interdependence. This places the key social issues at the core of the CERES research field (instead of a traditional-modernist based specialized view of 'Three Worlds'). This opens up the possibility to study these phenomena in the 'core' countries as well and, most importantly, their links with processes elsewhere. It implies that the research traditionally associated with 'development' is subsumed in the more comprehensive and inclusive concept of global social transformation. Current livelihood and poverty studies acknowledge this shift by incorporating notions as (human) security, sustainability, governance, and entitlements. In this manner, core themes in CERES research connect to the broad concerns that derive from the discussions and implementation of the Millennium Development Goals.
4. Understanding the major issues of global social transformations requires the analysis of the relationships between their ecological, economic, political, legal, administrative, social and cultural aspects. Moreover, it is equally important to be able to distinguish between underlying long-term, structural determinants, and contingent, conjunctural factors of transformation processes. This reinforces CERES' unique capacity to build on its *multidisciplinary* nature. CERES research is composed of a range of disciplinary perspectives, which seek to establish multi-or trans-disciplinary frameworks of understanding. This objective is based on the increasingly dominant view that any real understanding of global social transformation processes transcends the capacity of any single discipline.
5. As the world witnesses the emergence of new (geo) political, socio-economic, and cultural realities, scholars have put forward novel concepts and discourses. In CERES, several concepts and thematic fields have emerged in recent years that provide new pathways for understanding the manifold expressions of global transformation processes and that are able to articulate different research activities. While research that develops these concepts (globalisation, transnationalism, livelihood, identity formation, governance, and knowledge production) will continue to articulate research activities, CERES also promotes the engagement with new concepts and theoretical frameworks. In doing so CERES takes the recommendations of the previous international advisory commission to heart in the sense that the research school should not limit itself to particular conceptual and methodological guidelines.
6. At the meta-level, this research programme is organised by the *perspective* of resource dynamics, which refers to changing systemic configurations of resources, social agents and institutions. A distinction is made between different types of resources that form the input for different types of capital (such as economic, politico-judicial, social and cultural capital), which is available to, and/or is the object of contention between, social agents. Resource dynamics can be defined as the complex whole of changing relationships between different sets of resources, social agents (ranging from individuals to governments) and institutions. The latter are understood as solidified rules and

practices that regulate and structure relationships among agents, and between agents and resources. Institutions regulating the interactions between agents and between agents and resources are of central importance. As a result of globalisation processes, growing interdependencies and cumulative feedback mechanisms, relationships between agents and resources have altered. The institutional structures that mediate between resources and agents are being transformed as a result of the interplay between global forces and local responses. In this context it is important to examine the distributional impacts of public, private, and communal strategies, policies, and programmes on the relative position of disadvantaged groups and their agents. This means that negotiations and conflicts between agents about access to and exploitation of resources are part and parcel of CERES research. Global forms of concentration of power and exploitation, as well as more localised forms of competition for resources and power are investigated. CERES is especially concerned about the position and the changes affecting disadvantaged and excluded groups in resource dynamics. As a consequence, CERES wants to maintain a *multi-actor (in context)* perspective: actors develop strategies and substantive options in different (policy) arenas. These strategies are framed and shaped in ongoing interactions with pre-existing structures. As a result, these structures are constantly enacted and transformed.

#### *Core research issues*

The previous reflections on the dynamics of the modern world and our (conceptual) thinking about it constitute the scientific mission of CERES in the broadest sense. On the basis of (a) the analysis of the major shifts, problems and issues in global social transformation and development in the modern world, (b) the elaboration of CERES' particular research perspective (resource dynamics) and guidelines, and (c) a critical examination of key conceptual developments and orientations within CERES, the scientific mission of CERES is condensed into the following core question:

*Which principles and processes underlie and structure the processes of global social transformation in terms of shifting configurations of agents, institutions and resources (resource dynamics)?*

This core question focuses on understanding processes of social transformation in the context of global interconnectedness and interdependence.

From this, two core objectives of CERES research can be derived.

1. *To contribute to conceptual innovations in such a way that our critical understanding and explanation of global social transformations are enhanced.*

This objective focuses on the conceptualisations of the changing world. One can think about the (intermediate) concepts such as the ones identified above (livelihood, governance, identity, transnationalism, knowledge).

2. *To understand and explain the interactions between processes of global social transformation on the one hand, and policy-making, policies and interventions on the other hand.*

This key objective focuses on the crucial issue of the connection between academic research and policies, in terms of enhancement of capacity building, empowerment and social justice and inclusion.

#### **4. CERES research capacity: dynamics and funding**

Since the start of the research school in 1992, the number of senior researchers participating in CERES as well as the number of PhD participants increased substantially. This rise in research volume was mainly caused by the admission of new participants in the different CERES locations, and also by an increase in research volume in full-time equivalents (ftes) of participating researchers. During the last five years the number of participants has stabilised.

CERES members have been quite successful in obtaining NWO/WOTRO funding. This so-called 'second flow' of research funding has again increased in the last accreditation period. During the recent years CERES partners received between 60%-70% of the available NWO/WOTRO grants, and a growing number of NWO/MAGW grants. In 1994 16% of the total research volume (senior and junior) was NWO funded and 10% contract research. As shown below, in 2005 20% of the total CERES research volume (in ftes) is NWO funded and 23% is funded by contract research.

CERES advocates an active policy concerning post-docs and international research fellows and exchange facilities. However, as a national co-ordinating and networking agency CERES does not have its own personnel policy. That is the responsibility for directors of the member institutes.

**Total Researchers (in ftes)**

	2001	2002	2003	2004	2005
Tenured staff	50.63	52.18	52.45	53.51	49.16
Post-docs	10.0	11.1	8.9	11.4	8.6
PhD's	157.8	163.4	143.4	141.3	156.7
Total research staff	218.43	226.68	204.75	206.21	214.46

**Senior researchers (in ftes)**

	2001	2002	2003	2004	2005
1st flow	50.63	52.18	52.45	53.51	49.16
2nd flow	9.9	11.0	8.9	11.4	8.6
3rd flow	0.1	0.1	-	-	-
Total	60.63	63.28	61.35	64.91	57.76

**Funding**

1st flow	83%	82%	85%	82%	85%
2nd flow	16%	17%	15%	18%	15%
3rd flow	1%	1%			

**Junior researchers (in ftes)**

	2001	2002	2003	2004	2005
1st flow	78.5	78.2	67.6	66.0	73.7
2nd flow	42.3	40.5	36.3	33.1	35.2
3rd flow	37.0	44.7	39.5	42.2	47.8
Total	157.8	163.4	143.4	141.3	156.7

**Funding**

1st flow	50%	48%	47%	47%	47%
2nd flow	27%	25%	25%	23%	23%
3rd flow	23%	27%	28%	30%	30%

**Senior and junior researchers (in ftes)**

	2001	2002	2003	2004	2005
1st flow	129.13	130.38	120.05	119.51	122.86
2nd flow	52.2	51.5	45.2	44.5	43.8
3rd flow	37.1	44.8	39.5	42.2	47.8
Total	218.43	226.68	204.75	206.2	214.6

**Funding**

1st flow	59%	57%	59%	58%	57%
2nd flow	24%	23%	22%	22%	20%
3rd flow	17%	20%	19%	20%	23%

(For overview of personnel per Working Programme see the Working Programme annexes)

## 5. Resources, funding and facilities

Utrecht University (CvB and Faculty of Social Sciences (until 2006)/Faculty of Law, Economics and Governance (from 2006 onwards)) bears the costs of scientific director and office. Wageningen University bears the costs of the Vice-Director, ISS (until 2005) and the University of Amsterdam (from 2005 onwards) provide the Chair of the CERES Board. Each constituting partner makes available a member for the CERES Board, as well as 0.1 fte (and material budget) for its location member in the CERES Directorate and 0.2 fte for local management. Participating institutions are also expected to supply time for the management of working programmes (ca. 0.1 fte convenor and 0.1 fte chair). The operating costs of CERES are paid through contributions from UU - the administrative hub of CERES - and the participating institutions (both constituting partners and associated partners). Participating institutions pay a fixed annual contribution (constituting partners €6000; associated partners €750). A special facility is created in order to stimulate activities within and between the Working programmes. All participating institutions (partners and associates) contribute annually €500 per fte to this fund. From the beginning the PhD-training has been organised in a financially neutral way. For the training activities no fees are charged and no reimbursement is given for teaching time. All participants contribute (€1000 per PhD, upon registration) to the so-called PhD fund, out of which all other training

related costs are paid (PhD meetings, costs for conference centres, international and other guest lecturers, social activities etc.).

*Budget central CERES office (in €)*

	2001	2002	2003	2004	2005
Personnel	138.811	174.046	146.867	141.444	127.278
Material	77.011	82.815	82.250	79.576	69.500
Total	215.822	256.861	229.117	221.020	200.051

*Finances personnel; senior and junior researchers (in €) \**

	2001	2002	2003	2004	2005
1st flow	5.368.970	5.665.156	6.095.478	6.464.828	6.516.572
2nd flow	1.756.332	1.829.935	1.866.839	2.041.282	1.936.920
3rd flow	962.780	1.190.099	1.324.435	1.471.725	1.707.655
Total	8.088.082	8.685.190	9.286.752	9.977.835	10.161.147

\* regular material research budget not included

Financially CERES has always had a lean structure. The costs for Board, Directorate and Office have never exceeded 3% of the total financial costs of researchers and PhD candidates together.

## 6. Processes in research, internal and external collaboration

### 6.1 Internal collaboration: CERES' strategic projects

In the period between 1999 and 2003 the CERES Directorate started several strategic projects to reflect systematically on particular developments in research, training and organisation. The *first strategic project* of the CERES Directorate in the second accreditation period aimed at improving training and supervision conditions within and between the different research units of the school. The insights and recommendations of this project constituted an important input for innovating and upgrading CERES training activities. They also induced shifts in the present PhD set-up to anticipate developments of combined research-master trajectories in the different member institutions. A second *strategic project* about developments in CERES research started in 2001. The report of this project, entitled *In Search of Common Ground*, was a synthesising study of CERES research programmes and projects, providing new insights into the meaning of central articulating concepts and into the dynamics and innovation of research within the different research groups. The results of the latter synthesising study induced the next *project* that supported and facilitated the formation of inter-working programme project groups that focused on specific conceptual issues: the "pathways project". The pathway groups were established for a restricted two-year period and were of an informal nature, facilitating the active engagement of both junior and senior researchers in scientific debates on conceptual and methodological issues, while reflecting on the design of new and ongoing research projects and or themes. The pathway project resulted in a book launched in 2004 (see note 2), a book that was intensively used in subsequent PhD training activities.

The success of the pathway project stimulated the school to rethink its organizational structure and to stimulate cooperation and networking between working programmes. One of the initiatives was the instalment of a rotating periodic facility for strategic project group's cross-cutting working programmes. The International Advisory Committee (IAC) installed by the CERES Board for the mid-term assessment procedure at the end of 2001 recommended stimulating more informal, flexible cooperation between members of different working programmes in order to develop new projects and programmes. They advised strongly to stimulate the debate between researchers from different working programmes and to induce cooperation and networking on the basis of the rich conceptual and methodological pluralism that is at the core of our thematic school.

The 2001 IAC recommended that CERES needed to continue its efforts to create a stimulating scientific research environment for both senior and junior researchers with excellent training facilities for our PhD candidates. The IAC believed that CERES should capitalise on its conceptual and methodological pluralism.

In spite of the fact that all CERES participants shared this opinion of the IAC, recent shifts in the higher education policy of the Dutch government have induced - if not forced - participating research

groups to pay more attention to research programming and cooperation within newly formed unilateral university-based graduate schools. (*also see section 10*)

The *internationalization project* of CERES has led to two strategies that will play a major role in the period to come. Within the EADI network CERES is involved in a process to establish a European accreditation system for PhD training and research in our field of study. Furthermore, as larger levels of scale are becoming necessary, CERES actively stimulates exchange of information about European and international research partners to enable research and acquisition networks. Whereas cooperation at European and national level is directed at the formation of more encompassing knowledge networks consisting of researchers, practitioners and policy makers, CERES has adjusted its membership structure (see appendix CERES membership). The new membership structure facilitates cooperation between scientists, practitioners and policy officials by giving relevant, interested practitioners and policy officials the opportunity to join as affiliated members.

## **6.2 External collaboration: Developments in the CERES internationalisation policy**

### *International dimension*

CERES is a key actor in the development of national research and research training in our field of study. However, CERES also increasingly operates in an international field of cross-border, interdisciplinary research networks. Between 60 and 70 percent of PhD students are international, and most senior staff in CERES has international activities and presents their findings in international fora. At the same time, CERES strives to link its constituency to new and emerging international networks to strengthen international cooperation even further, and to increase the level of integration around new research themes.

### *International networks*

There have been a number of successes in establishing networks internationally, most obviously involving CERES and international networks of research institutes in Asia, Africa and Latin America. In Africa, cooperation with OSSREA partners in East Africa, CODESRIA partners in West Africa and in particular SANPAD partners in South Africa has developed. Thinking about PhD supervision standards and practices among SANPAD and CERES staff has led to the development of a handbook on best practices, published in October 2006<sup>7</sup>. In South America, the interdisciplinary and multi-language basis of CERES has allowed cooperation with relevant local expertise networks, for example the network of South American Lawyers in the field of human rights and conflict resolution. In Asia, CERES members have been active in the IDPAD programme with the ICSSR in India. Within the context of EADI (European Association of Development Research and Training Institutes), CERES has stimulated cooperation with European partner institutes. Not all CERES members are equally supportive of CERES' activities to foster internationalisation, due to the fact that some research groups perceive each other as competitors. A natural role for CERES seems to be that of facilitator and (possible) intermediary in support of internationalisation projects. The level of the Management Teams of the Working Programmes may be most appropriate to discuss issues of internationalisation.

### *International funding*

Many members are very successful in initiating new research projects, often in close cooperation with one or more international partners, and finding the appropriate funding for these projects. Apart from the more established funding programmes (e.g. NWO, KNAW, NUFFIC, DGIS), many members are increasingly involved in projects that draw on funds that operate in particular regional and/or thematic areas (e.g. SANPAD, IDPAD, IS Academy, Rockefeller).

An increasing number of CERES members have succeeded in obtaining funding from the European Commission, whose programmes will become more important in the (near) future (e.g. Alfa, Asia Link, Tempus)<sup>8</sup>. Since the start of the Sixth Framework Programme (FP6)<sup>9</sup>, increased cooperation, greater

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<sup>7</sup> A.J.(Ton) Dietz, Jonathan J. Jansen & Ahmed A. Wadee (2006) *Effective PhD Supervision and Mentorship*. A workbook based on experienced from South Africa and the Netherlands. Sanpad/Unisa Press/Rozenberg Publishers. Pretoria/Amsterdam.

<sup>8</sup> European Union's regional programmes in higher education with third countries (Latin America, Asia and the Western Balkans, Eastern Europe, Central Asia and the Mediterranean respectively).

complementarily and improved co-ordination between relevant actors at all levels has become a central commitment of the European Commission. Since international partnerships have become a condition for participation in EU tenders, the formation of (multilateral) research networks appears to become more important next to the more traditional long-term, (often bilateral) institutionalised contacts at university level (MOUs). An important development involves the Seventh Framework Programme (FP7), which, at this moment is in the final administrative stage for adoption. FP7 is designed to build on the achievements of its predecessor and is aiming at the creation of the European Research Area (ERA). The creation of ERA is a corner stone of the major research policy debate in Europe and is focusing on scientific excellence, improved competitiveness and innovation to support developments towards a knowledge economy and society in Europe.

#### *International PhD course development*

Discussions on the development of international PhD courses are being intensified and initiatives are taken to improve cooperation with regard to the development and exchange of PhD courses at the European level. The objective is to make specialized courses available to international PhD students in fields relevant to CERES. Another development could be the integration of PhD training elements with Research Master Programmes.

Several existing channels such as EADI (which organises an annual Summer School for PhD students) have already demonstrated their value, but these only meet part of the demand. For example, important developments involving the European recognition of selected Research Masters (e.g. Double Degree Programmes, Erasmus Mundus programmes) offer interesting perspectives for PhD training. CERES' ambition of achieving European accreditation could greatly facilitate this process.

The development of a European accreditation system for PhD training in our field of study could be an important step. The CERES administration expects that the Dutch-Flemish accreditation system may get a more international dimension in the coming years. An international accreditation system may well have a European dimension. In the coming period CERES intends to implement a pilot of research quality assessment at a European scale, and stimulate exchange of staff and PhD candidates as part of existing research cooperation with selected European partners in the field of PhD education.

A European system of accreditation and quality assessment would serve different purposes:

- it will positively affect the quality of both research and PhD training, and the relationship between these two activities;
- it will initiate or enhance networking on a European scale;
- it should preferably materialise a "European research area" in this domain of study.

CERES has initiated a discussion with some European counterpart-institutes. At the EADI level, a working group led by former CERES chair Prof Hans Opschoor has recently suggested major initiatives, followed up by a committee in which CERES Board member Prof. Louk de la Rive Box played an important role.

#### *Main results of the recent CERES internationalisation study (March-June, 2006)*

In 2006 the CERES Directorate started an internal study on international cooperation to accomplish a more explicit, transparent and systematically maintained international profile of CERES as a national research school.

The current trend of increasing internationalisation of Dutch academic institutions (e.g. the introduction of the Bachelor-Master model and the European Credit Transfer System, ECTS), may give national scientific platforms like CERES a more active role in the stimulation of international exchange activities and research cooperation. CERES operates in a field of cross-border relationships and networks. Most senior researchers have extensive contact networks abroad and a substantial number of its PhD students are of non-Dutch origin and/or conduct research activities abroad. Most of the international networks and linkages, however, are used primarily at the individual, group and member-institution level. To promote joint research more effectively within international networks, both in a European

context and worldwide, the mobilisation of selected international partners is, or can be, of great relevance for international cooperation in PhD-training and research programming.

The CERES directorate has started to make an inventory of the main international contacts of the constituting partners and affiliated partners of CERES. The longer-term objective of this inventory is to provide input into the discussion on how to improve the international profile of CERES. The inventory focuses in particular on those international contacts that are most promising and/or are considered strategic for the respective research groups in terms of (future) research programmes. As such, it allows a more comprehensive overview since it also provides insight in the nature of cooperation between member institutions of CERES and their international partners (e.g. in the area of education and/or research training, joint research programmes or capacity building).

## 7. Academic reputation

The most relevant and encompassing aspect of the academic reputation of CERES is constituted by the periodic evaluation procedure for research schools, resulting in KNAW (re)accreditation.

Apart from this KNAW evaluation research groups at the different CERES locations have also shown good performance profiles in disciplinary evaluation (VSNU) procedures.

Where developments in the funding of research are considered, CERES researchers have been able to obtain 20% of the total research volume from official funding institutes for scientific research and 23% from other sources. That at present more than 40% of the research funding is obtained from 'competitive sources' is remarkable in our field of study and can be appreciated as a positive result of the position of CERES as an academic research institution within a larger emerging knowledge network. The strong links of CERES researchers with researchers and research groups abroad reinforce the academic position of CERES within and outside Europe. Relevant information on the academic position related to publication profile, memberships, awards, etc. is presented in the Working Programme parts.

(See 'Working Programmes' and appendix: 'Research Valuation')

## 8. Internal evaluation: the quality of human resources: quality management, rating of publications and valuation of research performance

### PhD performance

Although the average time CERES PhD candidates need to finalise their research projects is diminishing, CERES PhD candidates on average still need more time than the four working years, which are generally regarded as adequate to finalise a PhD trajectory. Out of 271 candidates who started between 1997 and 2002 8% left before graduation, 37 PhD candidates graduated within their research periods or almost immediately afterwards, 35 with a delay between half a year and one year, and 65 with a delay longer than one year. 113 projects are still on going. It is evident that CERES works in a domain, where the uncertainties related to field research conditions, supervision problems, and culture shocks (often also upon return in the Netherlands) cause delays. Many of our foreign PhD candidates experience delays because they combine their PhD work with teaching and consultancies for their home universities abroad. Economic boom years also caused delays by some of our Dutch PhD candidates who tended to accept jobs while finishing their PhD assignments. Although the CERES management has been trying to speed up finalisation of PhD projects, quite a number of CERES supervisors (and candidates!) are not really interested in a quick finalisation. In some universities it has also become a problem that there are long waiting times between the submission of the manuscript to the PhD reading committee and the actual date of public defence, the date we take as proof of actual finalisation of the project.

*Delay in finishing thesis*

Starting year	inflow	left before graduation	On going	Graduated (%) *	0-6 months	½-1 year	1-2 years	2-3 years	>3 years	total
1997	31	4	4	23 (85%)	3	6	5	2	7	23
1998	50	10	10	30 (75%)	7	4	8	5	6	30
1999	40	4	12	24 (66%)	12	4	3	5		24
2000	44	5	14	25 (64%)	5	9	9	2		25
2001	46	2	20	24 (54%)	6	7	11			24
2002	60	3	45	12 (19%)	4	6	2			12
Total	271	23 (8%)	110	138 (56%)	37	35	38	14	13	138

\*) as percentage of inflow minus those who left before graduation

### **Research valuation**

CERES has been successful in stimulating its members to publish more internationally and more in journals with higher citation chances, stimulating scientific excellence.

The results of our periodic valuation procedures show that the total output of CERES has grown by 17% between the first two periods (1994-98 and 1999-2002), but the figures for 2001-2005 show a considerably higher output growth, 40% compared with the output in the 1999-2002 period and even 65% growth compared to the 1994-1998 period. These quantitative output results were realised together with important quality improvements in the publication output since 88% of the publication growth was realised in refereed publications (CERES categories ABC).

At the same time CERES considers it important that members maintain a diverse dissemination profile in which publications for more local users - particularly in the research countries in the South - for policy makers and practitioners and for the 'general public' in North and South are not forgotten.

Although the relative increase in refereed publications was realised a bit at the expense of reports we are confident that the dissemination of knowledge and expertise in the relevant circles of policy makers and practitioners was not hampered, given the strengthening of network contacts in the same period. In the near future CERES hopes to further improve its dissemination profile through a higher visibility on the internet and the use of non-journal forums for disseminating research results.

*(See for self-assessment of CERES Performance 2001-2005 and for more information on the CERES valuation system of research output section 11 and appendix: 'Research Valuation').*

To cover the need to combine excellence with relevance, and to accommodate the multi-disciplinary, problem-oriented nature of most of the research work in CERES, the assessment function of CERES has been modified by the introduction of a more sophisticated and more fine-meshed system of productivity valuation, which is based on clear rules of publication rating and of research-time valuation. The CERES valuation system wants to counter USA-biased systems and come to a more inclusive system of publication rating. The system does not value top-level journal publications only. Recognising the character of the multi-disciplinary field of resource studies, book publications and reports are important as well as are publications aimed at the dissemination of results in fieldwork countries and in local languages, including Dutch. CERES also values journals and publishers from Asia, Africa and Latin America. CERES is well prepared to face the current discussion on the social relevance of scientific research and on science-society partnerships, and CERES has taken the lead to convince other key players in the social sciences (broadly defined) that her assessment procedures are a sound combination of measuring excellence and relevance, a role that is now shared with her partners in EADI at the European level.

In 2003 the new system of research quality evaluation was introduced. Starting point was the intention to develop a system that would serve to evaluate past performance of applicants to CERES and to monitor the research output of members. The school wanted a system that would do justice to the multidisciplinary nature of the research in CERES. In this process mono-disciplinary tools of evaluation were adapted to the CERES reality.

This evaluation method is not only used to evaluate the performance of (individual) members. For this purpose a system of personal files is developed, in which all publications, PhD supervisions, memberships, and other aspects of scientific reputation are listed. This new evaluation method is also important to stimulate strategic discussions within CERES about the performance profile of the different research units. The system of personal files is also developed to facilitate CERES members with ample graded information for their CV's.

*(Also see: "Internal Organisation and Management).*

### *Publications Accreditation Committee*

With the introduction of this new valuation system in 2003 also a Publications Accreditation Committee (PAC) was created to advice on the ranking of publishers and of journals that are not part of the *ISI Web of Knowledge*. The PAC advises on the yearly updating of the evaluation system regarding, in particular, the inclusion of journals and publishers.

The PAC has been appointed by the CERES Board and consists of CERES and non-CERES members who are widely seen as experts in specific areas of the work of CERES and who hold a high reputation among peers<sup>10</sup>.

CERES publication rating is a dynamic process, with annual evaluation and updating procedures, communicated via the CERES website, and it is linked with intensive internal and external reassessments. As mentioned before, the publication rating system developed by CERES is also used by our EADI colleagues in Europe, and included in the EADI website as well.

In 2007 the CERES research valuation system will be evaluated in cooperation with EADI and invited scholars from other research schools in the Netherlands.

*(See for self-assessment of CERES Performance 2001-2005 and for more information on the CERES valuation system of research output section 11 and appendix: 'Research Valuation')*

## **9. External validation: Assessment of the societal relevance of CERES.**

CERES deals with pressing societal problems related to global and local development, inequality, cultural pluralism, and conflict. CERES members have always played roles at the interface between research and practice, with considerable activities in consultancy, capacity development, and advice, both in the Netherlands and abroad. Societal relevance is thus central to the content of our research, to the training of PhD candidates, and to all our additional capacity-building activities. The 1999 reaccreditation document stated that "CERES is theorising on the edge of practice". This characteristic is still relevant today.

During the last few years these activities have become more institutionalised, in line with a higher prominence of social relevance of research work (as indicated by the new NWO and WOTRO strategies, the knowledge strategy of the Ministry of Foreign Affairs, and Smart Mix initiatives). CERES has taken initiatives to form networks of scientists, policy makers and practitioners in the field of multicultural studies (in collaboration with UNESCO MOST, e.g. a conference in June 2006) and in the field of international development studies (the Development Policy Review Network). This DPRN network, funded by the Ministry of Foreign Affairs, started in 2005 to organise 13 annual meetings about regional development issues together with 13 organising universities and institutes in and around CERES. DPRN also developed an electronic database in collaboration with the African Studies Centre ([www.global-connections.nl](http://www.global-connections.nl)). In addition DPRN organised thematic meetings about 'Millennium Development Goals and Research' (June 2005) and about 'Evaluating Impact' (June 2006). DPRN has produced a policy brief about MDGs and Research and it has made an inventory of MDG expertise in the Netherlands (2005, update in 2007). The informative website [www.dprn.nl](http://www.dprn.nl) is in high demand.

The combination of more 'classical' development studies and practices with wider interests in human rights, conflict, international relations and international environmental affairs has stimulated the formation of new alliances of scientists and practitioners. CERES developed more intensive contacts with the Research School for Human Rights and with PARTOS<sup>11</sup> and its members and with various

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<sup>10</sup> The composition of the PAC is/has been: Dr Alberto Arce (Sociologist, Wageningen University); Prof. dr Michiel Baud (Historian, Centre for Latin American Studies and Documentation, Amsterdam); Prof. dr Ton Dietz (CERES director), Prof. Dr André Droogers (Anthropologist, Vrije Universiteit Amsterdam); Dr Dick Foeken (Human Geographer, African Studies Centre Leiden); Prof. dr Jan Willem Gunning (Economist, Vrije Universiteit Amsterdam); Prof. dr Bert Helmsing (Economist, Institute of Social Studies, The Hague); Dr Paul Hoebink (Political Scientist, Radboud University Nijmegen); Dr Wil Hout (Political Scientist, Institute of Social Studies The Hague, PAC chair); Prof. dr Frans Hüsken (Anthropologist, Radboud University Nijmegen); Prof. dr. T. de Jong (Education specialist, Twente University); Prof. dr Hans Knippenberg (Political Geographer, University of Amsterdam); Prof. A. Kuyvenhoven (Economist, Wageningen University); Prof. dr Peter Leisink (Management and Policy Studies, Utrecht University); Prof. dr. Denise de Ridder (Psychologist, Utrecht University); Prof. dr Ton Robben (Anthropologist, Utrecht University); Prof. dr Richard Robison (Political Economist, Institute of Social Studies, The Hague); Dr Max Spoor (Economist, Institute of Social Studies, The Hague); Prof. dr Christine Sylvester (Gender Studies, Institute of Social Studies, The Hague); Drs Lolita van Toledo (Policy Advisor CERES (PAC secretary); Dr. Tandam Truong (Sociologist, Institute of Social Studies); Prof. dr Linden Vincent (Water and Irrigation Studies, Wageningen University); Prof. dr. Just Vlak (Production ecologist, Wageningen University). EADI members provide advice (see <http://www.eadi.org>).

<sup>11</sup> PARTOS is the branch organization of international development organizations in the Netherlands, see [www.partos.nl](http://www.partos.nl).

departments of the Ministry of Foreign Affairs<sup>12</sup>. The Royal Tropical Institute, ETC International, and the Institute for Migration and Ethnic Studies have become associated members and broaden the knowledge-networks of CERES.

The CERES focus on societal relevance is not only expressed in the direction of research and training, but is also related to research-capacity building objectives. All the major research teams in the field of resource studies for development are situated in domains of considerable public debate, and relate to public policy making in the Netherlands, in the "global arena" and/or in the countries in which CERES researchers are active.

CERES is actively involved in research-capacity building in a number of countries, often facilitated by funds from "development assistance" sources. CERES contributed actively to the Dutch-funded MHO programme for scientific capacity development that was active in twelve developing countries until 2004 and became recently replaced by the NPT programme. In 2001 CERES accepted the challenge to intensively support the Research Capacity Initiative of SANPAD in South Africa and to train South African PhD researchers in research methodology, and PhD supervisors as well. Utrecht University has specific programmes for capacity development of Latin-American universities in which CERES members have a long-term involvement. Publishing in local scientific journals, partly in languages like Bahasa Indonesia, or Vietnamese also constitutes a useful element strengthening local academic infrastructure.

We also observe that some CERES researchers prefer to organise their field research in a participatory way with active involvement of individuals not as "subjects" of social research but as research actors. "Participatory evaluation", "participatory action research" and "indigenous knowledge" are catchwords that may be found in many research projects and programmes of CERES research groups.

Moreover, CERES hosts a considerable number of research projects that are situated in a policy context and in which policy itself is a subject of study. The research process and the results of these research projects often profoundly influence public debates and national policy.

CERES members also contribute to policy formulation at the level of Dutch agencies, at the level of the European Union, and at the level of Global or Regional institutions. Within this field of activity "consultancy work" is partly used to obtain insights into global arenas of foreign policy, international economic relations, development policy, and humanitarian assistance. Examples are the work for the Netherlands Ministry of Foreign Affairs, for the two Dutch Steering Committees on Impact Evaluation (both chaired by CERES' former scientific director Arie de Ruijter); for Dutch co-financing agencies or for other bilateral development agencies (e.g. for SIDA or for JICA, the Japanese aid agency); and for global agencies like the World Bank, FAO, OECD, the ILO, UNEP, or UNRISD.

Several CERES researchers are actively involved in the public debate in the Netherlands, be it directly (participation in discussion platforms, and in the media) or indirectly, by publishing in journals and books for an audience that is wider than just the academic research community. Journals like *Geografie* and *Internationale Spectator* are important professional media that are published in the Dutch language. Likewise, journals like *Internationale Samenwerking* (published by the Dutch Ministry of Foreign Affairs) and *Intermediair* have a large number of readers within but also outside of the academia. Publications by the Clingendael Institute are influential in foreign policy and military circles in the Netherlands. Publications written by the RAWOO, an advisory board for the Dutch Minister of Development Co-operation, have also been relevant outlets for policy-oriented experts within our research school. Members of the CERES community are well represented in the major institutional interface arenas of our research fields.

New emerging relationships between scientific knowledge, practical expertise and policy makers in our fields of study, have asked for adjustments in the CERES membership policy.

Until 2003 CERES has been organised as a purely membership-based organisation of scientific researchers. The new emphasis on knowledge and expertise networking demands an adjusted

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<sup>12</sup> E.g., CERES has been involved in a research consultancy for the Ministry of Foreign Affairs about agricultural and rural development in an era of sector-based development assistance. CERES members have been actively involved in evaluations of development assistance (e.g. the MFO evaluation, the TMF evaluation) and in quality assessment of new proposals (e.g. the MFS programme).

membership policy. The major aim of the new CERES membership policy is to connect the membership-based research school organisation to a more encompassing public-private network organisation, giving CERES a clear and marked position within the relevant societal environment. In 2003, the CERES Board decided upon a number of new arrangements in its membership policy. For both national and international network partners, including practitioners and policy makers the status of "affiliated membership" was introduced. Affiliated membership is now open to:

- a) members of another local or national research school who also want to participate in CERES
- b) academics working outside academia, in knowledge-units of practical or policy-oriented institutions that are related to CERES (development, poverty, natural resource management, international relations, multiculturalism, conflict studies, etc)
- c) CERES alumni working elsewhere.

*(See for full text on membership and membership rules appendix 'Internal organisation and management')*

## **10. Developments in research training: CERES, BaMa and Research Master's programmes**

### **The CERES PhD training programme**

Since the training programme was started in 1993, it has been adjusted annually according to insights derived from annual evaluations. To facilitate the activities of the PhDs as adequately as possible, CERES has always attempted to give the PhD research projects a significant place in the training programme. Over the years, the emphasis in the training programme is more and more directed towards methodology issues and issues concerning the development of research design because experience shows the PhDs are most in need of support in these fields. By organising special methodology courses and training elements concerning research design in the orientation programme as well as in the pre- and post-fieldwork period, CERES has tried to provide this kind of support. In the coming period, this training and support on these issues will hold a central place within the training programme. Together with SANPAD, PhD supervisor's workshops were organized in South Africa and in the Netherlands, and a workbook was produced on effective PhD supervision and mentorship.

*(See for full text of the training programme appendix "Training").*

### **Bachelor-Master and Research Master's training**

The introduction of the European Bachelor-Master-PhD model in higher education is one of the more prominent external developments affecting the position and internal organisation of research schools in general. For the sake of quality, effectiveness, and selectivity, the CERES Board and Directorate are convinced that it remains very important to make use of the expertise of the research schools. It is expected that the responsibilities for the Research Master's programmes and the PhD training will become more intertwined. At the moment the government opinion is that research training within local graduate schools should be shaped in cooperation with existing national research schools. However, CERES needs to devote full attention to making sure that localisation tendencies that go with the formation of graduate schools at university level do not hamper cooperation in research and training at both national and international level. For most CERES group's cooperation in research training is crucial to realise good, attractive and appropriate training facilities for their PhD candidates. At national level CERES has the scale to organise training facilities for both national and international PhD's with different academic backgrounds.

CERES hosts a group of PhD candidates with unconventional profiles. The majority of the candidates comes from the South. A considerable number of them are mid-career scholars and their PhD trajectory is funded through specific funding sources. Smaller research units within universities are often not in a position to invest in programme facilities for these PhD candidates with specific training needs since these candidates are small minorities within local graduate schools<sup>13</sup>.

In the coming period we want to maintain and strengthen the network function of CERES for research and research training at both the national and the international level. Next to our role in PhD training CERES will also stimulate and support cooperation in research training at Master's level. Where the programming of local graduate schools allows for cooperation in research training CERES will facilitate and coordinate the development and exchange of training elements for the various CERES partners.

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<sup>13</sup> Exception is the University of Amsterdam, where the International School for Humanities and Social Sciences has an explicit role in drawing international students.

Quality, efficiency, and selectivity will profit substantially when the scientific expertise and the practical experience with training and supervision of the research school is closely linked to the Research Master programmes of the different member institutions. CERES even intends to explore the possibilities to develop combined research master trajectories. CERES has an advantage firstly because the structure for such a new form of cooperation is already established within the research school, and secondly because of the international character of our school.

(For an overview of Research Master programmes at the CERES locations see appendix 'Training')

#### PhD council

During the first years of CERES as a research school, a PhD training committee was active, that consisted of senior and PhD representatives of the various locations. Later management teams for the working programmes were installed, that more or less took over the task of the PhD committee. One or two PhD candidates and one of the senior members of the management team give specific attention to training issues. Also two PhD representatives are advisory members of the CERES Board. Recently a group of PhD candidates took the initiative to revitalise the PhD committee, now called 'PhD council'. This council consists of a 'senior' PhD candidate (3<sup>rd</sup> or 4<sup>th</sup> year) and a 'junior' PhD candidate (1<sup>st</sup> or 2<sup>nd</sup> year) of each working programme.

## 11. Overview of the results

### Results in number of publications

		2001	2002	2003	2004	2005	Total
Academic Publications	refereed journals (ABC)	97	101	133	100	96	527
	other journals (D)	88	80	86	100	124	478
	book chapters/edited volumes (ABCD)	363	353	404	384	359	1863
<b>Total</b>		<b>548</b>	<b>534</b>	<b>623</b>	<b>584</b>	<b>579</b>	<b>2868</b>
Monographs		27	16	13	13	11	80
PhD theses		31	33	46	21	30	161
Professional publications and products		164	172	217	173	130	856
External reports		87	71	102	173	75	508

### Results according to the CERES valuation system

WP	Input in fte (senior res) *)	CERES credits					All	ABCP/fte qualit. perform	All/fte quantit. perform	% single author ABCDE
		ABC	P	DE	R					
<b>Ceres norm</b>							<b>10</b>	<b>15</b>		
<b>WP1</b>										
1994-98	60.4	365	129	183.1	66.5	743.6	8.1	12.3	50%	
1999-02	51.1	484	127	188.4	91.3	890.7	11.9	17.4	42%	
2001-05	35.5	621	173	249.2	53.2	1096.4	22.3	30.8	40%	
<b>WP2</b>										
1994-98	31.6	324	143	190.8	41.5	699.3	14.7	22.1	66%	
1999-02	32.7	360	96	142.4	53.2	651.6	13.9	19.9	60%	
2001-05	29.6	494	55	149.0	46.5	744.2	18.5	25.1	62%	
<b>WP 3</b>										
1994-98	26.0	267	23	80.0	105.0	475.0	11.1	18.2	61%	
1999-02	30.6	348	53	165.6	126.7	693.3	13.1	22.6	61%	
2001-05	31.8	487	70	216.6	98.2	871.8	17.5	27.4	56%	
<b>WP 4</b>										
1994-98	11.4	377	32	46.0	93.0	548.0	35.8	48.0	52%	
1999-02	9.2	305	22	49.8	61.5	438.3	35.5	47.6	39%	

2001-05	11.7	341	23	70.0	26.3	460.3	31.1	39.3	51%
<b>WP 5</b>									
1994-98	53.3	621	117	338.3	115.5	1191.8	13.8	22.3	83%
1999-02	50.3	819	95	252.3	107.2	1273.5	18.1	25.3	59%
2001-05	62.5	1116	85	418.9	85.1	1705.0	19.2	27.2	60%
<b>WP 6</b>									
1994-98	2.3	19	-	29.1	4.0	52.1	8.2	22.6	65%
1999-02	7.9	65	24	70.5	14.0	173.5	11.2	21.9	60%
2001-05	8.4	131	24	87.1	4.3	246.4	18.4	29.3	53%
<b>WP 7</b>									
1994-98	38.6	260	38	164.0	8.0	470.0	7.7	12.1	90%
1999-02	33.0	326	56	162.5	9.1	553.6	11.5	16.7	67%
2001-05	38.45	580	75	370.7	4.5	1030.2	17.0	26.8	75%
<b>WP 8</b>									
1994-98	-	-	-	-	-	-	-	-	-
1999-02	16.9	79	30	105.5	12.0	226.5	6.4	13.4	43%
2001-05	36.5	473	23	255.4	33.3	784.7	13.6	21.5	41%
<b>Total</b>									
1994-98	223.6	2233	482	1031.3	433.5	4179.8	12.1	18.6	
1999-02	231.7	2786	503	1137.0	475.0	4901.0	14.1	21.1	
2001-05	254.45	4243	528	1816.9	351.4	6939.3	18.7	27.2	

\*) You will notice a slight difference in totals of fte's here and in the working programmes lists. This is because fte's of some of the researchers are not included here, in particular those, who have been member only a year or less and whose output data are not available.

If we look at CERES as a whole the research input between 1994-1998 and 1999-2002 had grown slightly (+4%). The input in the 2001-2005 period grew much faster (+12%) to a level of 254 fte research time for senior researchers, or 51 fte on an annual basis. Using the CERES measurement unit of 1 'credit' (see appendix for explanation) the total output of CERES credits had grown with +17% between 1994-1998 and 1999-2002 (so considerably more than the input growth), but the figures for 2001-2005 show a very high total output growth compared with 1999-2002 (+40%) and even +65% growth compared to the 1994-1998 period. Per full-time equivalent research time senior members of CERES improved the average quantity of their output with +46% if we compare 2001-2005 with 1994-1998, and the average quality with +54%.

In the table the output of PhD candidates is not included. An overview of the publications of PhD candidates is part of the Working programme publication sections. These show a remarkable growth of the journal and book output of PhD candidates in the last few years.

*(See for results of the Working Programmes, the Working Programme parts and for more information and a more comprehensive analysis of the figures the appendix 'Research Valuation')*

## 12. Analysis, perspectives and expectations

### Strengths

- CERES has a well-received PhD training programme of high quality, which attracts considerable numbers of national and international PhD candidates, and which has proved to be flexible enough to adapt to changing demands for PhD training.
- CERES brings the core researchers of our multidisciplinary field of global social transformation and international development studies together at the national level, which enlarges critical mass for all research groups.
- CERES' administrative hub within Utrecht University has recently moved from the Faculty of Social Sciences to the Faculty of Law, Economics and Governance. This strengthens the necessary intellectual and organizational connections with scholars working in related domains like human rights, institutional economics and governance.
- CERES members have a strong international profile. PhD candidates come from all parts of the globe and PhD alumni work in senior research and policy positions all over the world.

- CERES operates in a knowledge domain that produces highly relevant knowledge for understanding pressing issues regarding global development, e.g. the Millennium Development Goals, migration, identity and violence, and governance innovations. CERES delivers cutting edge research at the science-society interface, and is able to open up new opportunities for research funding and PhD training, and new linkages with the relevant policy and practitioners worlds (e.g. through DPRN).
- The multi-paradigmatic and multi-disciplinary character of CERES research groups makes the school an ideal research environment for contributing to complicated research themes addressing global social inequality and plurality.
- CERES has succeeded to develop its own performance valuation tool that has now been adopted by the core player in the European arena in our field and gets ever wider applications.

### **Weaknesses**

- With the classical domain of 'development studies' widening to include a much wider scope of issues, CERES linkages with scholars in relevant wider domains need to be strengthened, but at the same time the coherence of the School needs to be maintained, which is a difficult balancing act.
- Although CERES aspires to be a network involving all relevant researchers and PhD candidates in the Netherlands not all groups and scholars have joined the School. For instance, until now only a limited number of (political) economists and political and legal scientists dealing with international relations, conflict and peace, and governance issues are connected to CERES as full or affiliated members.
- The multi location composition of research units within our national research school sometimes hampers a dynamic development of joint inter-institutional activities.
- At CERES level it has proved to be difficult to realize co-ordination between the different research master's initiatives of participating institutions. By consequence the organization of CERES PhD training at national level is only loosely connected with research training at the master's level.
- Most PhD projects involve field research abroad under often difficult circumstances. The consequence often is that these projects take on average too much time to finalize.
- Research funding at university level is meagre, and under threat, particularly for the social sciences.
- CERES as a Research School thrives on a very limited budget. The financial dependence on insecure funding facilities for research schools is a reason for concern.

### **Opportunities**

- Recent developments in policy environments which are relevant for our fields of studies (e.g. Ministry of Foreign Affairs; smart mix initiatives, EU) support the formation of co-operative linkages with colleagues in other Schools and Institutes dealing with related issues, particularly in human rights, international relations, global history, and conflict studies, which constitutes a new and promising field for CERES.
- Increased attention for the complexity of global and societal issues will provide new opportunities for CERES, being a multidisciplinary research and training environment.
- There is ever more scope for Dutch-Flemish collaboration in research and PhD training, and for wider involvement of Flemish colleagues in CERES activities. Also the recent Graduate School Initiatives in Germany provide a lot of scope for intensive collaboration
- In our field of studies there is scope for much more joint initiatives in research and research training on European level. The international linkages of CERES participants and the contact with EADI as a partner, connected with regional research networks outside Europe (like CLACSO, CODESRIA, OSSREA and APISA) makes that CERES is well placed to build on the new opportunities at EU level.
- The growth of attention for major, long term societal development, governance and identity issues on national (for example the new NWO/WOTRO policy) and international level (for example the Millennium Development Goals), offers growing and new opportunities for the scientific involvement of CERES members and alumni.
- The Dutch funding agency NWO-WOTRO has recently opened specific thematic funding lines which are at the core of CERES, and for which the requested science-society contacts are well prepared within the larger CERES network environment.
- There are emerging funding possibilities from corporate and NGO sources, and for new types of science-society partnerships with partners beyond the existing ones.

## Threats

- The tendency in higher education institutions to focus more on the research profile of local research institutes can become a disincentive for academic interactions and exchanges within relevant larger inter-institutional configurations for knowledge generation and dissemination.
- Management policies implemented in academic institutions resulting in a constant increase of teaching loads and administrative pressures are becoming a structural threat to already underfinanced research time and research training facilities.
- If in the field of CERES research only few relevant research masters' trajectories are being developed it might become difficult to recruit young potentials from universities in the Netherlands for academic careers in this field.
- Rigid immigration laws and procedures are becoming a threat for the inflow of PhD candidates from precisely the more instable area's in the world where in terms of the MDG's the most pressing problems are located.

## Analysis, adjusted goals and adjusted strategies

During the next few years (until the end of the current re-accreditation period in 2009) the following adjustments and new initiatives are needed to sustain the current strengths of the School:

- At the level of Utrecht University: secure the continued support of the University's leadership (including basic funding), and get well grounded in the new host Faculty of Law, Economics and Governance, also by strengthening the ties with Human Rights researchers in that Faculty, and with conflict researchers elsewhere in Utrecht University.
- At the level of the participating Constituting and Associated member universities and institutes: continue to prove the added value of a national research school in our domain for research networking and PhD training, stimulate new and increase the linkages with existing Research Master's initiatives, and become more relevant as a broker with regard to funding opportunities and international networking. Adjust the PhD format to the growth of local Graduate School training facilities.
- At the level of the Dutch research community in our domain: make better use of the new membership arrangements within CERES and attract the remaining core scholars and their PhD candidates in our field; also: continue to stimulate young scholars to form cross-cutting 'think-tank' initiatives (next to the structure of Working Programmes); connect the various communication activities within CERES with the electronic d-groups movement among international development practitioners; stimulate better usage by the research and practitioners community in our domain of web-based inventories of expertise (like connecting-africa.nl and global-connections.nl); and stimulate experiments of web-based writing and publishing; actively support initiatives which intend to connect the scientific and practitioners communities in our field (like DPRN and thebrokeronline.eu).
- At the level of the surrounding domains: develop more intensive collaboration with scholars, policymakers and practitioners in fields like human rights, environment, institutional economics, conflict/governance, urban studies, and the history and politics of international relations; try to develop a smart mix initiative about "the Impact of the Netherlands Abroad"<sup>14</sup>, and try to develop a science-society interface around multiculturalism issues, like it was successfully done earlier with international development issues (DPRN);
- At the level of the Dutch social sciences as a whole: try to get the CERES performance valuation tool, and the journal and publishers rating accepted as the relevant tool for performance assessment; increase joint training initiatives with neighbouring research schools; and stimulate fruitful combinations of the national Research School infrastructure and local Graduate School initiatives, both at the level of (research) master's and at the level of PhD training.
- At the level of the Netherlands and Flanders: develop CERES into a Dutch-Flemish research school.
- At the level of Europe: further intensify the linkages with EADI, and strive for accreditation of Research Training and for CERES as a whole at the European level; also become a more relevant broker for international contacts and funding opportunities at the European level.

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<sup>14</sup> CERES wants to take an initiative for a joint 'smart mix' application (Dutch government funding for innovative science-society collaborations in niches for potential Dutch excellence) about "the impact of the Netherlands abroad", connecting the scientific community (CERES/DPRN and the School for Human Rights) with government circles (a.o. the Ministry of Foreign Affairs), non-governmental organizations (with Partos as their branch organization), and private business (with consultancy firm Berenschot as intermediary agency).

- At the level of the world: intensify the relationships with organizations like CLACSO, OSSREA, CODESRIA, and APISA, and use those contacts more profoundly for a CERES-wide internationalisation strategy.