



**Swiss Programme for Research
on Global Issues for Development**

**Swiss Programme for Research on Global Issues for
Development (r4d programme)**

Provision systems and financing mechanisms in the public health sector

Call for Proposals



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development
and Cooperation SDC



SWISS NATIONAL SCIENCE FOUNDATION

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1. Introduction and overarching goals

In light of the increasing challenges simultaneously adapting to global change, alleviating poverty and maintaining geopolitical and economic stability, research and innovation are decisive factors for sustainable global development in both poor and rich countries.

The Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation SNSF are offering a new funding scheme for development relevant research on global issues. The main goals of the “Swiss Programme for Research on Global Issues for Development” are the generation of new knowledge and the application of innovative, transnational research results in policy and practice. The reduction of poverty and global risks, as well as the provision of public goods and services such as health, climate stability, biodiversity and water, food security, human security and, market and financial stability within the normative and conceptual framework of global sustainable development, are central to the focus of the programme. Inter- and transdisciplinary research partnership projects with problem- and solution-orientated approaches will be funded. The implementation of research results into policy and practice is of high significance and considered an integral part of the research activities.

The programme consists of six modules. In the thematically open module, researchers are free to choose their own research topic and to submit bottom-up projects free of thematic specifications. The other five thematic modules address the following themes:

- _ Causes of and solutions to social conflicts in the context of weak public institutions or state fragility;
- _ Employment in the context of sustainable development;
- _ Sustainable management of ecosystems for the provision of ecosystem services;
- _ Innovation in agricultural and food systems for food security;
- _ Provision systems and financing mechanisms in the public health sector.

Detailed information on the “Swiss Programme for Research on Global Issues for Development” and its structure can be found on the following website: www.r4d.ch.

2. Fifth thematic call

This call document concerns the fifth thematic research module in the r4d programme.

A budget of CHF 14.1 million has been made available for the thematic research module “Provision systems and financing mechanisms in the public health sector”. The individual projects will have a running time of four to six years. Each project will be assessed after three years. The second research phase of one to three years will only be funded if the mid-term review of the project is positive.

The following sections provide orientation on the objectives and key questions of the thematic module.

2.1 Introduction

Health related issues are key in the current Millennium Development Goals (MDG) framework, with three out of eight goals directly referring to health conditions and with targets relating to determinants of health. Health will remain of eminent importance as a precondition for as well as an indicator and outcome of sustainable development. Over the past decade, significant progress was achieved with child and maternal mortality declining at unprecedented rates, and in the fight against AIDS, tuberculosis and malaria in many low and middle-income countries (LMIC). At the same time, much needs to be done until and beyond 2015 to sustain the achievements, to further improve the health status of people, and to ensure more equitable results across and within countries for universal health coverage. Health is central to poverty reduction. It is a global public good and a fundamental element of social security, peace and economic stability.

However, the achievements of the MDGs and their related public health targets are at risk due to rapidly increasing costs for delivering primary health care, weaknesses in health systems, the growing burden of non-communicable diseases, the emergence of new health threats, and rising global inequity.

The global health architecture has undergone fundamental changes in recent years. The numbers and types of actors working in development aid and disaster relief have increased. New actors include philanthropic foundations, the private sector, emerging bilateral donors, such as Brazil, India, China and South Africa, but also civil society groups which lobby for increased civil society participation and greater efficiency of the new global health architecture. The new set up encourages innovation and the availability of new resources but could also increase fragmentation. The activities of disease-specific funds, in particular, require better integration within health systems. The efficiency and effectiveness of development aid in health needs to improve further. Despite the tremendous influx of resources for attaining the health MDGs, many resource-limited countries continue to struggle to reach the goals set for 2015. More evidence and research is required to further investigate context-specific challenges and successes.

2.2 Topics and research questions of particular interest

All five thematic calls in the r4d programme focus on issues pertaining to the reduction of poverty and global risks as well as the provision of public goods. Proposed research on these issues must aim to produce findings that are relevant to several or many developing countries and world regions (up-scaling). Projects should give due consideration to the gender perspective if it is relevant to the research topic, question or approach.

The following three topics are of particular interest in this call:

Topic 1: Key steps toward inclusive social health protection (SHP) in developing countries

Governments often underinvest in health and over-rely on external resources. Insufficient infrastructure, equipment and technologies, and a global shortage in the health workforce are clear signs of a general underinvestment in healthcare. This results – in combination with poor management capacities – in a low coverage of quality health services and poor health outcomes. Missing social protection mechanisms

that prevent high out-of-pocket payments for healthcare contribute to an increasing inequity in access to quality health services. One avenue to overcome access deficits and risks associated with health expenditure is the creation and extension of sustainable systems of social health protection (SHP).

1. What models or mechanisms ensure inclusive and sustainable SHP? What are conducive political framework conditions for SHP reforms? What kind of technological and social innovations support the development of inclusive SHP?
2. Which mechanisms/innovations can improve the use of quality services by all sections of the population? Which mechanisms work efficiently for the inclusion of deprived and marginalised groups?
3. How to balance sources of financing for SHP in order to ensure a comprehensive service package? How to secure the resources required for inclusive schemes and for community initiatives? What roles do taxes, insurances, foreign funding, fair pricing of medical products and commodities, and cross subsidisation play?
4. What factors are decisive for improving the leadership and governance component of health systems? What makes country stakeholders reorient the health sector towards reducing health inequalities? Which decision making, priority setting and resource allocation processes contribute most to equitable health outcomes? How to ensure that the voice of the users (esp. deprived groups) fosters better governance? How to increase and sustain social accountability on the allocation and use of resources?

Topic 2: Sustaining health gains while addressing emerging demographic and epidemiological changes

The world's population has more than doubled in the last 50 years. According to UN Population Fund projections, the trend will persist with the most important population growth occurring among the poor and urban populations of developing countries. In addition, the world's population above 60 years of age is also growing. The prevalence of chronic diseases and complex combinations of different diseases, including non-communicable diseases (NCDs), will continue to increase in LMICs. Globally, NCDs are the most frequent cause of death; and the burden is rapidly increasing in Africa, where NCDs are projected to exceed communicable and nutritional diseases, as well as maternal and perinatal mortality. These trends heavily challenge the capacity of health systems to deliver adequate services.

1. What changes in models of service delivery provide better results in addressing the double burden of Communicable and Non-communicable diseases (including mental health) in low resource context? Which approaches are cost efficient and highly effective interventions in addressing these challenges and in which contexts?
2. Which mechanisms can be designed and implemented at global level to address the problem of access to and development of new drugs, vaccines and other health innovations for diseases which disproportionately affect people in developing countries? What are the measurements for the effectiveness and efficiency of multisectoral approaches?
3. Which lifestyle trends in various population groups are conducive to people developing risk factors that contribute to different NCDs?

Topic 3: Social determinants and equitable access to health

A variety of socio-economic factors influence the health status of individuals. These so-called social determinants of health include income and social status, gender, education, physical environment (i.e. safe housing and workplace, access to clean water and air, improved sanitation), and nutrition. The increasing inequity of social determinants of health and the fact that this issue does not get enough attention from decision makers is a challenge, as it calls for intersectoral collaboration between the health sector and others, such as the education and environment sectors.

1. What are the critical social determinants of access to quality health care and for living a healthy life? What are the successful strategies to mitigate social inequalities in health?
2. Which preventive and promotive measures stimulate healthy lifestyles and for whom (e.g. combined sector approaches)?
3. What is needed to improve the use of reproductive and sexual health services by the poor and deprived groups? What kind of technological, political and social innovations improve the access to and quality of Sexual Reproductive Health and Right (SRHR) services? Which models of integrated SRHR services work in urban/rural settings? How can unsafe abortions be reduced, early pregnancies prevented, access to age and gender-specific information on reproductive health/sexuality ensured?
4. How to address gender-based violence, in general and in the health sector specifically? What works, how and where? How to interlink cultural (e.g. masculinity), legal and political change factors?

2.3 Methodologies

Designing evidence-informed health systems policies and interventions requires data on the extent to which interventions worked elsewhere, at what costs and for which population groups. It also requires information on the reasons for their success or failure in different contexts. Health systems are complex systems and gaining insight into interventions and policies necessitates a broad variety of research methodologies. Examples include policy analysis, economic evaluations, pragmatic trials, theory-driven research and participatory action-research. To answer research questions in this module, applicants are encouraged to consider a wide variety of disciplinary and inter-disciplinary perspectives as well as the use of mixed methods.

3. Eligibility requirements, project outlines

3.1 General provision

If no specific rules are mentioned, the Funding Regulations of the Swiss National Science Foundation apply.

3.2 Eligibility

- _ All researchers working at research institutions in Switzerland.

- _ All researchers originating from a developing country and based at an institution in Africa, Asia and Latin America are eligible (according to the country list in annex 7).
- _ The scientific personnel must be employed at an institution that does not conduct research for commercial purposes. Subcontracting to commercial service providers is permissible, provided they are not co-applicants.

Switzerland

Developing Countries

- | | |
|--|--|
| <ul style="list-style-type: none"> _ Universities _ ETH & institutions of the ETH Domain _ Universities of applied sciences, universities of teacher education _ Swiss federal research institutions _ Other research institutions that do not conduct research for commercial purposes | <ul style="list-style-type: none"> _ Institutions of higher education, universities _ Public research institutions _ Other research institutions that do not conduct research for commercial purposes |
|--|--|

3.3 Research partnership projects

- _ Only “research partnership projects” are funded, consisting of at least one Swiss research group (responsible applicant) and at least two research groups from two different developing countries of group 1 (co-applicants). The participation of further groups from Switzerland and from countries of groups 1 and 2 is highly recommended.
- _ The responsible applicant must be employed at a Swiss research institution and must be able to show that the project will be based at a Swiss institution during the entire research phase of four to six years. The employment status of the responsible applicant will be a criterion in the evaluation of the pre-proposal and the full proposal. It is not mandatory for a higher education institution to provide an institutional guarantee.
- _ Further collaborators who have no role in the project lead and coordination can be mentioned as “national or international partners”.
- _ The following table gives an overview of the eligible developing countries in Africa, Asia and Latin America (see annex 7, country list based on the OECD-DAC list¹):

¹ OECD-DAC list:

<http://www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

Mandatory

Optional

Country group 1

Least developed countries, low income countries and lower middle income countries in Africa, Asia and Latin America.

Cuba as a SDC priority country.

Country group 2

BICS and upper middle income countries in Africa, Asia (without Turkey) and Latin America (without the Caribbean).

Applicants must describe the country's regional significance for the topic in the proposal.

The countries of Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan) and South Caucasus (Armenia, Azerbaijan, Georgia) are eligible to participate in the specific research programme SCOPES (Scientific co-operation between Eastern Europe and Switzerland). Therefore research groups from these countries do not qualify for country group 1, they are part of country group 2.

The so-called trilateral co-operation “North-South-South” may be important for dealing with “global issues”. Therefore, co-applicants from the BICS and upper middle income countries (country group 2), which have a regional importance with regard to global challenges, may optionally be integrated into research partnership projects.

The existing DACH Agreement between the SNSF, the Deutsche Forschungsgemeinschaft DFG and the Austrian Science Fund FWF (Money Follows Researcher) is not applicable to the projects of the Swiss Programme for Research on Global Issues for Development.

3.4 Duration

The running time of the research projects is four to six years. An initial amount will be awarded for the first three years. After this period, an interim assessment will be conducted. If the assessment is positive, the project may be extended for another one to three years. The research plan in the proposal submitted by the applicants has to cover the entire period of four to six years.

3.5 Funding

The following costs are covered in the projects:

– Salaries:

1. Doctoral candidates
2. Academics or senior researchers doing research in the project (employees with an academic degree from an institution of higher education [master, doctoral degree]). The salaries of Swiss applicants are not covered.
3. Technicians
4. Assistants
5. MSc students (only partners in developing countries)

6. Coordination costs

- _ Communication and implementation activities
- _ Equipment of enduring value (only in developing countries)
- _ Research funds (consumables, travel costs, room and board costs, field expenses, open access publication costs)
- _ The salaries of Swiss researchers comply with the currently valid SNSF rates. The salaries of Swiss applicants cannot be covered. For all researchers based in developing countries, the local prevailing salaries apply. Salaries and research funds may be used for research, co-ordination, communication and implementation.
- _ Overhead costs for Swiss research institutions are not eligible.
- _ Overhead costs for research institutions in countries of group 1 can be included into the project budget and must not exceed 10% of their total budget.
- _ The following two financial conditions apply to all research partnership projects:
 1. At least 50% of the academic personnel (in person months) per project resides in poor developing countries (group 1).
 2. At least 40% of the approved amount must go to the co-applicants and collaborators from country group 1.

Deviations from the above-mentioned rules are permissible in exceptional cases if adequate reasons can be given. At least one criterion, however, must be met under all circumstances.

- _ The financial scope of a project depends on the objectives and the methodical approach. The ideal scope is CHF 400,000 – 600,000 per year.
- _ 10% to 15% of the amount awarded to a project must be used for application and communication. The corresponding application and communication work must be described in detail in the proposal (see annex 3). Furthermore, it needs to be shown how the knowledge exchange with the relevant stakeholders in Switzerland and in the developing countries is carried out throughout the duration of the project. A Pathways to Impact, an Application and Communication Strategy, and a Results Framework must be integrated into the full proposal for this purpose (see annexe 2, 3, and 4-5).

3.6 Interdisciplinarity and KFPE principles

- _ Research partnership projects are interdisciplinary. In particular, interdisciplinary collaboration between the social, natural and engineering sciences is encouraged and will be assessed positively in the evaluation of the proposals.
- _ The applicants must be able to show that the individual teams within a project are co-operating closely and that the results of the project add significantly more value than individual research would be capable of doing.
- _ Applicants are requested to follow the guidelines for research partnerships with developing countries, namely the 11 revised principles of the Commission for Research Partnerships with Developing Countries (KFPE), which is electronically available in various languages on the KFPE website: <http://www.kfpe.ch/11-Principles>

3.7 “Thematic research modules” and “thematically open research”

- _ Project proposals cannot be submitted in both funding schemes, thematically open research and thematic research modules. Projects should preferably be submitted in one of the five thematic research modules. Projects that thematically fit two modules may only be submitted in one module.

3.8 Intellectual property rights und open access principle

- _ Every product created by the research shall be subject to the open access principle. Hence, third parties shall have a free and absolute right to use each product insofar as they do not have any commercial interests.
- _ Before filing an application for intellectual property rights to a research result (through trademark, design, patent, etc.), prior approval needs to be obtained from the SDC. The SNSF shall be informed accordingly.
- _ The SNSF undertakes to assert the above-mentioned open access principles by means of a corresponding statement in the ruling and to ensure that third parties do not obtain any intellectual property rights.

3.9 Reporting

An initial financial report has to be submitted after the first 12 months and subsequently after every following year. A comprehensive progress report and an updated fact sheet have to be submitted after the first 18 months. The progress reports are addressed to the main stakeholders (research community and development cooperation) and the fact sheet must be ready for online publication on www.r4d.ch. The requested output data on mySNF have also to be updated regularly.

4. Submission and selection procedure

4.1 Submission

Pre-proposals and full proposals must be submitted online via the *mySNF* portal. User-registration can be obtained via the *mySNF* website: www.mysnf.ch.

The call documents and the relevant provisions, regulations and guidelines for the submission of proposals via the *mySNF* portal can be downloaded from the r4d programme website www.r4d.ch and the SNSF. The evaluation procedure will be conducted in two stages (pre-proposals, full proposals). Both the pre-proposal and the full proposal must be submitted in English since they will be evaluated by internationally recognised experts.

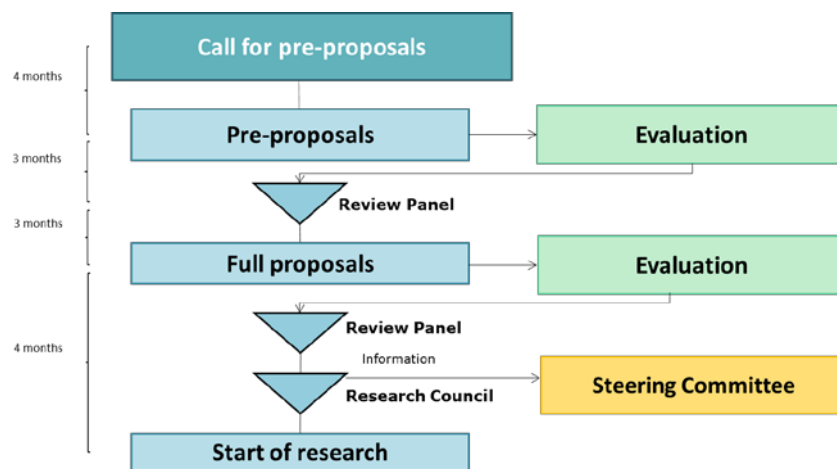
If you do not already have a *mySNF* account, you need to register before submitting a pre-proposal and proposal on www.mySNF.ch. Registration for a login for electronic

submission requires five working days. Please consider that the submission of proposals via the mySNF portal will take you at least one day.

4.2 Selection

Pre-proposals and full proposals are evaluated by the Review Panel according to a peer review procedure based on external written expertise. Responsible applicants may be invited to present their project proposals before the Review Panel. The decisions of the Review Panel for full proposals must be endorsed by the Research Council of the SNSF.

The Secretariat of Division Programmes will check that the pre-proposals and full proposals meet the formal criteria such as completeness, adequate formal presentation and submission within the deadlines. Pre-proposals and full proposals that do not meet these formal criteria will not be processed further.



4.3 Pre-proposals

The deadline for submission for pre-proposals is **16 October 2014**.

The pre-proposal should provide an outline of the planned research project and has to cover the **entire period of four to six years** with more details of the planned activities for the first three year period. Furthermore, information on the following points have to be included:

Data to be entered directly in the *mySNF* portal:

- _ Responsible applicant (Swiss applicant)
- _ Co-applicants (applicants from Switzerland and from countries of group 1 or 2)
- _ Basic data and abstract
- _ National and international collaborators (academic and non-academic institutions involved in the project)
- _ Estimation of financial support required for salaries and running costs for the entire period of four to six years (budget)

Documents to be uploaded in PDF format on the *mySNF* portal:

- _ Research plan (max. 5 pages)
 - State of research in the field / novelty of the project
 - Research hypotheses and objectives of the project
 - Methodology
 - Potential impact of the project and its relevance for development
 - Process of setting up the project

The project description must follow the template to be found on the *mySNF* portal. It should not be longer than five pages (excluding the cover page and the bibliography).

- _ CV and list of the ten most relevant publications in the project's field of study of the responsible applicant and the co-applicants (no more than two pages per person).
- _ Written confirmation by the co-applicants from developing countries that they will participate in the project (no legally binding commitment at the pre-proposal stage).

The Review Panel invites selected pre-proposals to be developed into full proposals.

4.4 Full proposals

Detailed full proposals are submitted online via the *mySNF* portal in accordance with standard SNSF rules and guidelines. The review panel may request further information. The full proposal has to cover the entire period of four to six years with more details of the planned research for the first three year period. One preparatory grant of approximately 5'500 CHF is available for the elaboration of each full proposal (e.g. for a joint workshop).

Full proposals must contain the following information:

Data to be entered directly in the *mySNF* portal:

- _ Responsible applicant (Swiss applicant)
- _ Co-applicants (applicants from Switzerland and from countries of group 1 or 2)
- _ Basic data and abstract
- _ National and international collaborators (academic and non-academic institutions involved in the project)
- _ Estimation of financial support required for salaries, running costs and communication and implementation (budget)

Documents to be uploaded in PDF format on the *mySNF* portal:

- _ Project description (max. 30 pages)
 - Research hypotheses and objectives of the project
 - State of research in the field / link to international and national policy debates

- Methodology
 - Timeframe and milestones
 - Organisation of research groups in research partnership projects
 - Pathways to impact and stakeholder involvement
 - Application and Communication Strategy
 - Results Framework
- _ A binding confirmation from the co-applicants in developing countries must be submitted together with the proposal.
 - _ CV and list of the ten most relevant publications in the project's field of study of the responsible applicant and co-applicants (no more than two pages per person).

The Research Council will make the final decisions on the proposals in **September 2015**. Hence, research work could begin in **October 2015** at the earliest. The research work must start in **March 2016** at the latest.

5. Evaluation criteria

The evaluation of pre-proposals and full proposals is based on the following criteria:

5.1 Scientific quality criteria

- _ Scientific significance, originality and topicality of the project
- _ Suitability of the methods chosen and feasibility
- _ Applicants' scientific track record, quality of the consortium, and track record in research in/with/about developing countries

5.2 Criteria of relevance for development

- _ Extent to which the intended research results are aimed at solving global problems
- _ Potential for transferring research results to policy-making or practice (only for full proposals)
- _ Quality of communication and implementation strategy for potential users / stakeholders (only for full proposals)
- _ Potential economic, environmental or societal impact of the project

5.3 Budget and governance

- _ Management scheme
- _ Cost-benefit ratio (cost efficiency)

_ Compliance with the 11 revised KFPE principles

5.4 Evaluation and selection

Pre-proposals and full proposals are reviewed by international experts. Based on these reviews and their own evaluation, the Review Panel will award two marks: a first mark for the “scientific quality” block, a second mark for the “relevance for development” block. The range of awardable marks is as follows:

A: Outstanding, AB: excellent, B: very good, BC: good, C: average, D: poor.

A low mark in one area cannot be compensated by a particularly high mark in the other area.

6. Contact persons and information

For questions concerning the submission and evaluation procedure for pre-proposals and full proposals, please contact the programme coordinator Dr. Claudia Rutte, r4d-health@snf.ch or 031 308 22 22.

For questions on financial matters (salaries and eligible costs), please contact the Head of Finances, Roman Sollberger, r4d-health@snf.ch or 031 308 22 22.

Technical help with mySNF and electronic submissions

Hotline:

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Tel. + 41 31 308 22 88 (English)

E-mail: mysnf.support@snf.ch

mySNF homepage: www.mysnf.ch

7. Organisation

7.1 Members of the Review Panel (as of 3.7.2014)

Dr. Abbas Bhuiya, International Centre for Diarrhoeal Disease Research, Bangladesh

Dr. Marjolein Dielemann, Royal Tropical Institute, Amsterdam, The Netherlands

Professor Dr. Tim Ensor, University of Leeds, United Kingdom

The panel will be completed with 4-5 additional experts; they will be announced on the r4d website in August 2014.

7.2 Representative of the SDC

Jacques Mader, SDC

7.3 Representative of the Research Council

Professor Dr. Dominique Foray, Chair of Economics and Management of Innovation, EPF Lausanne

7.4 Programme Coordinator SNSF

Dr. Claudia Rutte, Swiss National Science Foundation (SNSF), Berne

8. Time schedule

At present, the following schedule is envisaged for this research module:

Call for pre-proposals	3 July 2014
Submission of pre-proposals	16 October 2014
Invitation to submit full proposals	January 2015
Submission of full proposals	7 May 2015
Final decision on full proposals	September 2015
Start of research	October 2015 – March 2016

Annexe

Annex 1a: Template for Pre-proposals

Annex 1b: Template for Full Proposals

Annex 2: Guidelines; Pathways to Impact

Annex 3: Guidelines; Application and Communication Strategy

Annex 4: Guidelines; Results Framework

Annex 5: Short Version Results Framework

Annex 6: Results Framework of the r4d Programme

Annex 7: Country List

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Annex 1a: Template for pre-proposals

r4d thematic module: Provision systems and financing mechanisms in the public health sector

The project description must fulfil the following criteria for a successful submission:

- The project description is to be submitted in English,
- Pre-proposals must **not exceed five pages**, including the points 1-6 (excluding cover-page and bibliography),
- A minimum of point 10 font size and 1.5 line spacing must be used,
- In general, the research plan should **not** contain any **annexed documents**,
- Pre-proposals must be submitted using this form through mySNF (deadline: **16 October 2014**).

Please list five publications from third parties (not yours) considered relevant as stepping stones for the research envisaged:

- 1.
- 2.
- 3.
- 4.
- 5.

Please list the most important publications of your team (not more than ten):

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.

Please indicate to which of the following research topics your project belongs to (multiple topics are possible):

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Research topic 1: Key steps toward inclusive social health protection (SHP) in developing countries

Research topic 2: Sustaining health gains while addressing emerging demographic and epidemiological changes

Research topic 3: Social determinants and equitable access to health



1. State of knowledge in the field and novelty of the project	Set out the scientific background and basis of your project. Explain the need to perform research on the topic you propose, related to the current national and international development debates and policies. Please highlight the research gap your research will bridge and the novelty of the topic, approach or method you propose.
2. Research hypotheses and objectives of the project	Specify the research hypotheses and the concrete objectives that you aim to achieve during the lifetime of the project.
3. Methodology	<ul style="list-style-type: none"> - Methods by which the research goals are to be reached - Data situation / collection of data - Clear rationale for the country selection
4. Potential impact of the project and its relevance for development	Explain how results could contribute to solve global problems in developing countries or benefit the poor segments of the population, and how results could be implemented into policy or practice.
5. Process of setting up the project	Describe how and when the project partner and the relevant stakeholders are or will be involved in the setting up of the project.
6. Bibliography	The bibliography must be part of the document, but is not to be enclosed in the 5 page restriction.



Annex 1b: Template for Full Proposals

r4d thematic module: Provision systems and financing mechanisms in the public health sector

The Review Panel invites selected pre-proposals to be developed into full proposals.

The project description must fulfil the following criteria for a successful submission:

- The project description is to be submitted in English,
- Full Proposals must **not exceed thirty pages**, including the Results Framework, excluding bibliography
- A minimum of point 10 font size and 1.5 line spacing must be used,
- In general, the research plan should **not contain any annexed documents**,
- Full Proposals must be submitted using this form through mySNF (deadline: **7 May 2015**)

Responsible applicant

Name, First name

--

Further applicant(s)

Name, First name

--

Project title

--

--

Short title

1. **State of knowledge in the field and novelty of the project**

Set out the scientific background and basis of your project. Explain the need to perform research on the topic you propose, related to the current national and international development debates and policies. Please highlight the research gap your research will bridge and the novelty of the topic, approach or method you propose.

2. **Research hypotheses and objectives of the project**

Specify the research hypotheses and the concrete objectives that you aim to achieve during the lifetime of the project.

3. **Methodology**

- Methods by which the research goals are to be reached
- Data situation / collection of data
- Clear rationale for the country selection

4. **Timeframe and milestones**

Indicate a schedule for the work to be carried out within the project and indicate the most important milestones for the whole duration of the project of six years.

5. **Organisation of research groups**

Describe the management scheme for the project and point out the collaboration between the research teams and the different disciplines, as well as their contribution to the project. Please justify the participation of countries of group 2 with regard to your research objectives. Please comment briefly on the role of the individual PhD students and Postdocs.

6. **Pathways to impact**

Explain how results will be implemented into policy and/or practice by describing:

- a) the expected change scenarios
- b) the key stakeholders
- c) winners and loser.

Please also consider the guidelines in Annexe 2 of the Call; “Pathways to impact”.

7. **Strategy for Communication and Application**

Describe the overall communication strategy of the project, how research results will be communicated to and exchanged with different potential users / stakeholders and how they will be translated into policy and practice.

Please consider the guidelines in Annexe 3; “Application and Communication strategy”.

8. **Result Framework**

See Annexe 4 of the Call.

9. **Bibliography**

The bibliography must be part of the document, but is not included in the 30 page length limit.



Annex 2: Guidelines Pathways to Impact¹

What is 'pathways to impact' about?

Development impact is measured in real changes of people's knowledge, behaviours, and decisions, livelihoods and institutions. The pathway to impact describes how the research will/ seeks to contribute to a process that supports solving development relevant global problems and improving the lives of the poor through global sustainable (social, economic, *and* environmental) development. It should detail the activities which will help develop potential economic, societal, and environmental impacts.

Pathways to impact are not expected to predict impact. The purpose is to develop a theory of change which is grounded in a sound logic model thus, encouraging researchers to explore the potential contribution that their research can make to society by increasing the effectiveness of institutions, services, policy making and practice at the national, regional and global level, and the resources required to carry out appropriate and project specific activities.

Conceptualising impact

A project's *pathways to impact* need to be explicit in describing the logic model on how the impact might be achieved to build long-term sustainable benefits for the poor in the context of sustainable development. The design of the *pathways to impact* should address three inter-linked components:

- *Scenarios of change:*
State in simple terms what changes the research seeks to capture, explore and explain, and then hypothesize what those changes might mean for the issue at stake and for poverty alleviation.
 - ⇒ What is the underlying model for understanding changes within and between different components of human and natural systems?
 - ⇒ What changes does research seek to capture, explore and explain?
 - ⇒ What might these changes mean for the issue at stake and for the reduction of poverty and global risks in developing countries in the context of sustainable development?
 - ⇒ In what assumptions is the theory of change grounded?
- *Stakeholders in those change scenarios:*
In any complex system and in society there will be winners and losers as a result of changes, either as a direct or indirect result of human interventions or as a result of natural changes.
 - ⇒ Who are the different stakeholders that may benefit or lose within these established change scenarios?
 - ⇒ Who is directly or indirectly affected; or even potentially unintendedly affected, and how?
 - ⇒ What will be done to ensure that potential beneficiaries have the opportunity to engage with this research?
- *Enablers, or spoilers, of change:*
 - ⇒ Which are potential enablers/drivers or 'spoilers' of change which cause, facilitate or prevent change? (e.g. policies, practices, technologies, cultural norms etc.)

¹ NOTE: These guidelines builds on the work of the UK Research Council (Source: <http://www.rcuk.ac.uk/kei/Pages/home.aspx>) and the Ecosystem Services for poverty alleviation ESPA program (http://www.esi.ac.uk/espa/files/espa/ESPA_Impact_Framework.pdf) adapted to the specificities of the r4d programme.





Annex 3: Guidelines Application and Communication Strategy

The **application of the research** results into policy and practice and the **communication to stakeholders** are considered as an integral part of the research activities. Therefore, the research proposal must include a strategy for application and communication to stakeholders which is linked to the project's pathways to impact.

Application can be different in nature. Application can, for instance, imply optimising interventions at the systems level; policy change or prioritisation; translating evidence into effective policies; or translating policy into effective practice.

Application or getting research into practice and policy is a difficult endeavour. It takes place in a complex system of interactions between researchers and potential users. It is an iterative and on-going process and therefore implies a comprehensive understanding of the context in which research outcomes may be utilised, and an understanding of who will or might ultimately use the results. An **application strategy** needs to be developed explaining how the knowledge exchange with the relevant stakeholders at relevant level is to take place throughout the project cycle and ultimately how this knowledge is translated into policy and practice. Although not all research can or will be immediately applied, the strategy should describe in detail specific activities, research outputs, products, or potential deliverables that have great potential to be relevant and useful for practice and policy. It is crucial to identify the most appropriate format for outputs and deliverables in function of the main target groups.

Researchers will need to consider the scalability of their research findings. Researchers will be expected to demonstrate that their projects will have the potential to generate benefits that go beyond the scale or location at which they are operating either through extension to other locations or shifting to other scales. Thus, the focus should be on products and processes that are generic enough to be useful /relevant (also) beyond a specific context, and have a high potential for scaling-up (at different societal levels) and replication (in different comparable contexts).

From a users' perspective promising research outputs or deliverables could take the form of policy options, technical guides, curricular modules, check lists, handbooks, tool boxes, glossaries, and the like.

A proactive **communication strategy** will be essential for all projects. Researchers should consider a range of communication channels linked to their project's pathways to impact to ensure that their research makes a significant contribution to delivery against the overarching goals. Communication activities – such as workshops, the web, policy briefs, film, podcast, think pieces, success stories – provide tools or channels through which to influence, inform or build relationships with key stakeholders.

The following questions should be considered in your strategy for application and communication to stakeholders:

- Which are the interests and needs of different target groups?
- Which are the appropriate mechanisms and adequate activities to ensure an effective exchange and dissemination of knowledge/research results with the relevant key stakeholders?
- What will be done to ensure that potential beneficiaries have the opportunity to engage with this research?
- Which are suitable incentives for users to adopt the research results?





Annex 4: Guidelines for designing a results framework

What is a results framework?

The results framework approach is a systematic approach to present the logic of a strategy and to guide its subsequent management, monitoring and evaluation to ensure that intended results / objectives have the greatest opportunity of being achieved.

A results framework¹ is an explicit articulation (matrix, or summary) of results / objectives expected from a particular intervention – project (e.g. research project), programme, or development strategy. The results framework captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, immediate and intermediate outcomes, and impact.

Defining cause-effect linkages for an intervention (e.g. research project) lays the groundwork for a results framework. Thus, the development of a good results framework requires clarity with respect to the theory of change – the reasons why a project will lead to the outputs; why those outputs are likely to lead to the immediate or intermediate outcomes; and how those outcomes are (at least hypothetically) linked with longer-term outcomes or impact. The theory of change also requires knowing or estimating how long it will take to achieve each stage of the programme and how much of the outcome is likely to be achieved. Thus, defining cause-effect linkages for an intervention lays the groundwork for a results framework.



¹ Similar term: logical framework matrix (logframe)

What is a results framework used for?

A results framework is both a planning and management/monitoring tool, with additional benefits in terms of communication and reporting.

Planning. Using the results framework approach can help you identify appropriate objectives by ensuring that important questions are asked and answered at an early stage (e.g. “can objectives be measured? If not, are they appropriate? What will be sufficient to achieve the goal/objectives? What assumptions is the strategy relying on?”). It also provides a framework within which to work collaboratively with development partners in building shared ownership of objectives and approaches.

Management/Monitoring/Review. A results framework can fill the role of a performance framework for a project strategy. It provides a project-level framework to monitor progress towards the achievement of results and, if necessary, to adjust programs accordingly. Reviews and other more comprehensive project-level assessments should be more straightforward and effective as the results framework provides a rigorous structure through which a strategy’s performance can be tested.

Communication and reporting. In defining a programme’s causal relationships, a results framework acts as a vehicle for communicating about the resources, activities, and outcomes to project staff (e.g. research team) and other stakeholders. These frameworks can be an important tool in illustrating to the beneficiaries or community what a project is meant to achieve.

Learning from experience. Over time, the systematic use of results frameworks allows practitioners to assess what approaches or interventions contribute most effectively to achieving specific development objectives, a process that helps identify good practices for replication. A body of knowledge also forms regarding which indicators, measures, and data sources are best suited to monitoring progress in similar contexts.

References:

- World Bank. Independent Evaluation Group 2012. Designing a results framework for achieving results: a how-to guide.
- OECD DAC Definitions; United Nations Development Programme, Handbook on Planning, Monitoring and Evaluating for Development Results (<http://web.undp.org/evaluation/handbook/ch2-4.html>).
- SDC logframe structure
- AusGuidelines: Using the Results Framework approach (<http://www.ausaid.gov.au/ausguide/Documents/ausguideline2.2.pdf>)

The Results Framework in a Nutshell

Hierarchy of objectives Strategy of Intervention:	Key Indicators (incl. target values and baseline)	Sources & Means of Verification	Assumptions & Risks (External Factors)
<p><u>Definition:</u> The strategy of intervention defines the hierarchy of objectives and follows the logic of the results chain.</p>	<p><u>Definition:</u> Features which can be measured or at least described precisely in terms of quantity and quality respectively and which show a change in situation.</p> <p><u>Hints:</u></p> <ul style="list-style-type: none"> ➤ Indicators measure whether the results on each level (impact, outcome, output) are achieved. ➤ Indicators include targets and require baselines to assess progress. ➤ Indicators are time-bound ➤ The need to disaggregate indicators and baselines by other criteria (such as age, social and economic status etc.) depends on objectives and targeting. <p><i>Good indicators are:</i></p> <ul style="list-style-type: none"> • Relevant: The indicator covers a relevant aspect of the outcome. There is a plausible and valid link between the indicator and the objective. • Reliable: The indicator is precise and can be measured with minimal bias. If two persons use the same indicator independently from each other they will get the same results. • Realistic: The target values of the indicator are achievable in the defined time frame. 	<p><u>Definition:</u> Sources refer to relevant data/information on results and to the documents where this information is to be found. Means of verification refer to methods to collect these data/information.</p> <p><u>Hints:</u> The timely availability and quality of information on the achievement of results are important criteria when defining indicators. When having several indicators for the same result level, sources and means of verification should be clearly attributed to the specific indicators.</p>	<p><u>Definition:</u> Assumptions and risks are conditions which could affect the progress of the project, but which are not under direct control of project management. An <i>assumption</i> is a positive statement of a condition that must be met for the project's objectives to be achieved. A <i>risk</i> is a negative statement of a condition that might prevent the project's objectives from being achieved.</p> <p><u>Hints:</u> Information on risks as well as their management are part of the project document.</p>

Impact (goal)	Impact Indicators	Sources and Means of Verification	
<p><u>Definition:</u> The highest-level change that can be reasonably attributed to a research project, an organisation, policy or programme in a causal manner, and are the consequences of intermediate outcomes. The ultimate outcomes take the form of a sustainable change of state among beneficiaries.</p> <p><u>Scope of project management:</u> The achievement of the development objective lies outside the direct reach of the project and depends on the assumptions formulated at outcome level. However, outcomes of the project/program should represent a relevant contribution to it.</p>	<p><u>Hint:</u> Impact indicators are essentially used during evaluations and for project monitoring.</p>	<p><u>Hints:</u> On impact level, sources and means of verification are usually beyond the scope of project management. Information depends on documents of others, are based on national or international data bases or may result from joint evaluations.</p>	<p>No assumptions and risks are defined at this level</p>

Outcomes (Project objectives)	Outcome Indicators	Outcome Means of Verification	Outcome Assumptions & Risks
<p><u>Definition:</u> The short or medium term effects (=changes in quality and quantity) expected from the outputs of the project <u>Scope of project management:</u> The attainment of outcomes is primarily dependent on the project outputs, but depends also on factors beyond the project's control. Monitoring of outcomes is part of project management.</p> <p><u>Hints:</u> It is useful to distinguish between immediate and intermediate outcomes. The number of outcomes has to be limited to 2-3 outcomes, (in exceptional cases max. 5)</p>	<p><u>Definition:</u> Variable that allows the verification of changes at the outcome level or shows results relative to what was planned.</p> <p><u>Hints:</u> <i>Keep the number of outcome indicators limited: as few as possible, as many as necessary to assess intended changes.</i></p> <p><i>Outcome indicators are used for monitoring and evaluations.</i></p>		<p><u>Hints:</u> <i>To ensure a proper vertical logic, it is essential to attribute assumptions to the corresponding level of intervention. In this box the assumptions at outcome level which are relevant for achieving the intended impact need to be stated.</i></p>

Outputs: project deliveries per outcome and costs	Output Indicators	Output Means of Verification	Output Assumptions & Risks
<p><u>Definition:</u> Products, methods and services produced or competences and capacities established directly as a result of activities of the research project.</p> <p><u>Scope of project management:</u> Outputs are under the control / responsibility of project management.</p>	<p><u>Definition:</u> Quantitative or qualitative variable that allows the verification of changes at the output level or shows results relative to what was planned.</p> <p><u>Hint:</u> <i>Output indicators are used during monitoring and evaluation.</i></p>		<p><u>Hint:</u> <i>Formulate assumptions at output level which are relevant for achieving the project's objective(s).</i></p>



Annex 5: Short version of the Results framework

Hierarchy of objectives Strategy of Intervention	Key Indicators
Impact (Overarching Goal)	Impact Indicators
Outcomes	Outcome Indicators
Strategic Objectives	
Outputs (per outcome)	Output Indicators
For outcome 1:	
Output 1	
Output 2	
For outcome 2:	
Output 1	
Output 2	
For outcome 3:	
Output 1	
Output 2	





Annex 6: Results framework of the r4d programme

Hierarchy of objectives Strategy of Intervention		Key Indicators	Data Sources Means of Verification	
Impact (Overarching Goal)		Impact Indicators		<i>Assumptions:</i> Research and innovation are critical factors for reducing poverty and global risks through global sustainable development. A common SDC-SNSF long term and focused research program yields to better results in terms of scientific quality <i>and</i> development relevance and avoids duplication of research and dissipation of resources.
Research results of the five thematic programs and of the 'thematically open call' contribute to solving urgent global problems and securing global public goods in poor countries within the normative and conceptual framework of global sustainable development ¹ .		Newly identified and verified solution pathways (framework conditions, scientific evidences) to address urgent global problems and secure global public goods in poor countries	Evaluation International Advisory Board	
Outcomes		Outcome Indicators		External Factors (Assumptions & Risks!)
Strategic Objectives	Outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.	Diversity and feasibility (applicability) of the proposed scientific based solution pathways in relation with poverty and global risks reduction	Progress reports from the projects and synthetic reports from thematic programs Result frameworks Global synthesis of the Fund International Advisory Board	<i>Assumptions:</i> Call does receive high interest in the research community through massive dissemination. Effective project consortia are established. <i>Risks:</i> The quality of research proposals is low. The number of submitted proposals is low
	Outcome 2: National and international stakeholders are informed on the nature of the problems, trade-offs, and options for tackling and solving problems in a more systemic and holistic manner, and make use of the provided evidence and tools.	Number of publications and conferences addressed to national and international stakeholders Number and diversity of results and experiences out of the application and communication activities	Progress reports from the projects and synthetic reports from thematic programs Input from national and international stakeholders (eg interviews) Global synthesis of the Fund International Advisory Board	<i>Assumptions:</i> Research results are relevant and timely available. <i>Risks:</i> Dissemination does not reach target groups. Relevant results are not applied in practice and policy due to other priorities, funding constraints, and other factors beyond the sphere of influence of researchers.

¹ United Nations Conference on Environment and Development (UNCED). (1992). The Rio Declaration on Environment and Development. New York: United Nations. Report of the World Commission on Environment and Development (Brundtland report, <http://www.un-documents.net/wced-ocf.htm>)
For other key documents: http://www.un.org/esa/dsd/dsd/dsd_milestones.shtml



	Outcome 3: Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in poor countries are increased.	Number of scientific publications involving authors from international consortia including groups from developing countries Number of co-authored articles in peer reviewed journals including researchers from developing countries Active network of researchers	Output data from projects, including list of scientific publications announced in the financed projects Global synthesis of the Fund International Advisory Board	<i>Assumption:</i> Willingness to tackle global issues in an integrative, holistic, interdisciplinary manner. <i>Risks:</i> Research is carried out in isolation. Lack of social and intercultural competencies.
Outputs (per outcome)		Output Indicators		
For outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.				
Output 1	New, innovative concepts, methods, methodologies, techniques, technologies, products, tools, or approaches are identified, developed, validated, and applied.	Research results Solutions pathways Number of products for scaling-up and/or replication Scientific evidences	Reports from the projects and synthetic reports from thematic programs Direct products and publications out of the projects	<i>Assumption:</i> Research results are innovative and tangible for stakeholders Willingness to transnational scientific collaboration and interaction with stakeholders Efficient and effective coordination within the project consortia <i>Risks:</i> Not all research can or will be (immediately) applied. Lack of integrative collaboration within a project consortium
Output 2	An active scientific network on global issues for development exists.	Number of researchers and research groups International distribution of the groups Number of triangular North-South-South collaborations	SNSF project database	
For outcome 2: National and international stakeholders are informed on the nature of the problems, trade-offs, and options for tackling and solving problems in a more systemic and holistic manner, and make use of the provided evidence and tools.				
Output 1	Research results are effectively exchanged with enablers, or drivers, of change, and applied.	Number of concrete application examples out of the projects Number of presentations from projects partners where the research results are discussed Number of dissemination of research results in policy briefs and policy fora. Reference to relevant international debate	Scientific publications Project specific communication and implementation strategy	<i>Assumption:</i> Tools to support tackling and solving problems are available. Willingness of stakeholders to take into account scientific evidence and act and decide based on evidence. The communication and dissemination strategy is appropriate and realistic. Research projects ' include pathways to impact (scenarios of change, stakeholder in those change scenarios, enablers, or drivers, of change) <i>Risks:</i> Results are not tangible enough for policy makers and stakeholders Lack of interaction between research, policy and practice. The quality and adequacy of the communication and
Output 2	Results of research are brought into relevant channels of international debate and regional and international policy dialogue.		Reports from the projects and synthetic reports from thematic programs Communication online (fund website)	
Output 3	Awareness on tackling global issues through systemic and interdisciplinary approaches has been raised		Direct products and publications out of the projects Monitoring of regional and international policy dialogue	

				implementation strategy is low.
For outcome 3: Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in poor countries are increased.				
Output 1	Transnational ('North-South' / 'North-South-South') research partnerships are effective.	Number of co-authored scientific publications Number of promoted researchers	Composition of the project consortia Reports from the projects and synthetic reports from thematic programs	<i>Assumption:</i> Researchers and research consortia comply with the KFPE principles The value added of interdisciplinary collaboration is recognized by researchers <i>Risks:</i> The division of work and the benefit sharing favors Swiss research community Lack of incentives Researchers have no or little interest in interdisciplinary collaboration due to lack of incentives
Output 2	Interdisciplinary collaboration between social, natural, and engineering sciences is strengthened.	Number of research groups from developing countries participating in a consortium		
Output 3	The capacities to identify and tackle new issues with a potential global impact for developing countries have been strengthened.			



Annex 7: Country list¹

Country Group 1 (Mandatory)*			Country Group 2 (Optional)
Least developed	Low income	Middle income	BICS and upper middle income countries
Afghanistan	Kenya	Belize	Applicants must briefly describe the country's regional significance for the topic in the proposal.
Angola	Korea Dem. Rep	Bolivia	
Bangladesh	South Sudan	Cameroon	
Benin	Zimbabwe	Cape Verde	Algeria
Bhutan		Congo Rep.	Argentina
Burkina Faso		Côte d'Ivoire	Armenia
Burundi		Egypt	Azerbaijan
Cambodia		El Salvador	Botswana
Central African Rep		Ghana	Brazil
Chad		Guatemala	Chile
Comoros		Guyana	China
Congo, Dem. Rep		Honduras	Colombia
Djibouti		Indonesia	Costa Rica
Equatorial Guinea		Iraq	Ecuador
Eritrea		Mongolia	Gabon
Ethiopia		Morocco	Georgia
Gambia		Nicaragua	India
Guinea		Nigeria	Iran
Guinea-Bissau		Pakistan	Jordan
Haiti		Papua New Guinea	Kazakhstan
Laos		Paraguay	Kyrgyz Rep.
Lesotho		Philippines	Lebanon
Liberia		Sri Lanka	Lybia
Madagascar		Swaziland	Malaysia
Malawi		Syria	Mauritius
Mali		Vietnam	Mexico
Mauritania		West Bank and	Namibia
Mozambique		Gaza Strip	Panama
Myanmar			Peru
Nepal			Seychelles
Niger			South Africa
Rwanda			St. Helena
Sao Tome and Principe			Suriname
Senegal			Tajikistan
Sierra Leone			Thailand
Somalia			Tunisia
Sudan			Uruguay
Tanzania			Uzbekistan
Togo			Venezuela
Uganda			
Yemen			
Zambia			
*Including Cuba, a priority country of SDC			

¹ The country list is based on the current OECD DAC List of ODA recipients.