Swiss Programme for Research
on Global Issues for Development

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Swiss National Science Foundation
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Call for proposals

Third thematically open call in the r4d programme

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

FNSNF
SWISS NATIONAL SCIENCE FOUNDATION

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1. Introduction of the r4d programme

All countries increasingly face challenges such as poverty, instability and global changes. Research and innovation are both decisive factors in meeting these challenges and working towards sustainable development.

In 2012, the Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF) launched 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" (r4d programme) are the generation of new knowledge and the application of innovative, transnational research results in policy and practice for addressing global issues and reducing poverty in African, Asian and Latin American countries.

The r4d programme consists of six modules, one thematically open module and five thematic modules. In the thematically open module, researchers submit bottom-up projects free of thematic specifications. The 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.

In 2016, the r4d Steering Committee decided to launch the third thematically open call focusing on the 2030 Agenda for Sustainable Development and the 17 Sustainable Development Goals.[1] A budget of CHF 5.5 million has been made available for the third thematically open call. The individual projects will have a running time of max. four years.

Detailed information on the "Swiss Programme for Research on Global Issues for Development" and its structure is available on the r4d programme website: www.r4d.ch.

2. General framework of the 3rd thematically open call

The implementation of the 2030 Agenda for Sustainable Development with the 17 Sustainable Development Goals (SDGs)[2] will play an important role in reducing poverty and global risks and providing global public goods. The concept of *sustainable development* serves as the normative and conceptual framework of the r4d programme since its inception in 2012. Sustainable development is understood as a "development that meets the needs of the present without compromising the ability of future generations to meet their own needs"[3], or, a development that balances social, economic and environmental objectives.

[1] http://www.un.org/sustainabledevelopment/sustainable-development-goals/

[2] http://www.un.org/sustainabledevelopment/development-agenda/

[3] World Commission on Environment and Development's report our Common Future. Oxford university press, 1987. http://www.un-documents.net/wced-ocf.htm

The third thematically open call of the r4d programme supports research on global issues in the context of the 2030 Agenda for Sustainable Development. Global issues are understood as issues that have common causes and require common solutions that go beyond national borders. Examples are employment, social conflicts, food security, ecosystems and public health. While global issues affect all regions of the world, poor countries and population groups are most at risk of their consequences. Solutions to those issues need not only international and national actions, but also stronger institutional and individual capacities. These global issues should be examined with a particular focus on the nexus and trade-offs of the sustainable development goals. Accordingly, the research questions of the projects in the third thematically open call should investigate synergies and dilemmas that exist in the implementation of the 2030 Agenda for Sustainable Development and produce transformative knowledge that will suggest development pathways to reduced poverty and increased sustainability. In doing so, projects should aim to address the interaction(s) between the sustainable development goals as well as between the targets that have been defined for each goal.

Inter- and transdisciplinary research partnership projects with problem- and solution-orientated approaches will be funded. The involvement of non-academic stakeholders in the research process is of high significance and the co-creation of knowledge is considered an integral part of the research projects. Proposed research must aim at producing findings that are relevant to several or many developing countries and world regions (up-scaling). The requirement for setting-up international research partnership projects in the context of the r4d programme involves a collaboration with researchers in a minimum of one least developed or low and middle income country (group 1, see Table 2 'Eligible countries'). The inclusion of emerging countries (group 2) in the research consortia is possible and with reference to the 2030 Agenda for Sustainable Development a particular asset.

The projects have to be relevant to international cooperation and policy dialogue. Research approaches that support evidence-based decision-making and evidence-based policy are particularly encouraged. Although the direct implementation of the achieved result is not expected within the duration of the research project, the projects have to demonstrate a potential for implementation and show a pathway to impact (see annex 2). The transformative nature and innovative character of the chosen topic have to be shown in the application as well as their contributions to at least two of the three dimensions of sustainable development (social, economic and ecological). Finally, projects should give due consideration to the gender perspective if it is relevant to the research topic, question or approach.

Projects which were funded through a previous thematically open call will not be funded except if they open new paths within the explicit framework of this third thematically open call.

3. Eligibility requirements, project outlines

3.1 General provision

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

3.2 Eligibility

- All researchers working at research institutions in Switzerland are eligible, except responsible grantees of an ongoing r4d project within a thematic module or in the thematically open research module.
- 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 Table 2).
- 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.

Table 1 gives an overview of the eligible institutional affiliation of applicants.

Table 1: Eligible institutions

Switzerland	**Developing Countries**
• Universities • ETH and 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.	• 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. Such projects consist of at least one Swiss research group and at least one research group from one developing country of group 1. The participation of further groups from Switzerland and from developing countries is highly recommended.
- The so-called trilateral co-operation "North-South-South" may be important for dealing with global issues. Therefore, research partners from the BICS and upper middle income countries (group 2), which have a regional importance with regard to global issues, may optionally be integrated into research partnership projects.

Table 2 gives an overview of the eligible developing countries in Africa, Asia and Latin America (country list based on the OECD-DAC list[4]):

[4] OECD-DAC list:
http://www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf

Table 2: Eligible countries

Country group 1: Mandatory	**Country group 2: Optional**
Country group 1 includes the countries in the OECD-DAC list classified as: • Least developed countries • Other low income countries • Lower middle income countries and territories • Cuba as a SDC priority country	Country group 2 includes the following countries: • In the OECD-DAC list classified as upper middle income countries in Africa, Asia (without Turkey) and Latin America (without the Caribbean) • BICS: Brazil, India, China, South Africa and other emerging countries. Applicants must briefly describe the country's significance for the topic in the proposal.

3.4 Project management

- The responsible applicant must be employed at a Swiss research institution.
- The responsible applicant must be able to show that the project will be based at a Swiss institution during the entire research phase (the Money Follows Researcher procedure is and will not be applicable for r4d projects). The employment status of the main applicant will be a criterion in the evaluation of the pre-proposals and full proposals. It is not mandatory for a higher education institution to provide an institutional guarantee.
- The project must be developed with and co-led by at least one partner from a country of group 1.

3.5 Duration

The running time of the research projects is normally four years.

3.6 Funding

The following costs are covered in the projects:

- Salaries:

    1. Doctoral candidates
    2. Academics or senior researchers doing research and coordination 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 country group 1)

- Communication and application activities (e.g. workshops, conferences, video)
- Equipment of enduring value (only in country group 1)
- Research funds (e.g. consumables, travel costs, room and board costs, field expenses, open access publication costs)
- 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. Overhead costs for Swiss and country group 2 research institutions are not eligible.

The salaries of Swiss researchers comply with the currently valid SNSF rates. For researchers based in partner countries, the local prevailing salaries apply.

The following three financial conditions apply to all research partnership projects:

1. At least 50% of the academic personnel (in person months) per project resides in developing countries (group 1).
2. At least 40% of the approved amount must go to the partners from country group 1.
3. 10% to 15% of the amount awarded to a project must be used for application and communication.

The budget template (see Annex 7) enables an overview on the financial conditions and must be submitted in the full proposal. Furthermore, it needs to be shown how the knowledge exchange with the relevant stakeholders in Switzerland and in the partner countries is to take place throughout the duration of the project. A Results Framework, a Pathways to Impact and an Application and Communication Strategy must be submitted for this purpose in the full proposal (see Annexes 2, 3 and 4).

Deviations from the above-mentioned financial conditions are permissible in exceptional cases if adequate reasons can be given.

The financial scope of a project depends on the objectives and the methodical approach. The maximum amount per project is CHF 600,000.

3.7 Inter- and transdisciplinary transnational research partnerships

- The r4d programme only funds inter- and transdisciplinary research partnership projects. In particular, interdisciplinary collaboration between the social, natural and engineering sciences is encouraged.
- The applicants must be able to show that the individual teams within a project are cooperating 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

3.8 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

Financial reports are due every 12 months, a progress report and an updated factsheet have to be submitted after 18 months according to the reporting template of the r4d programme. A final report is due after the end of the project. Output data on *my*SNF must be updated regularly and as long as outputs emerge from the funded project.

4. Submission and selection procedure

4.1 Submission

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

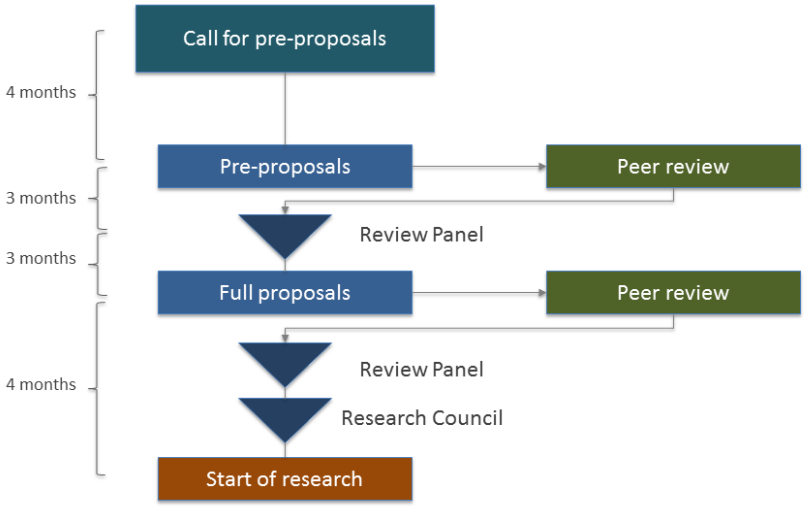
The call documents and the relevant provisions, regulations and guidelines for the submission of proposals via the *my*SNF portal can be downloaded from the website of the r4d programme www.r4d.ch and from the SNSF website www.snf.ch. The evaluation procedure will be conducted in two stages (pre-proposals,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

If you do not already have a *my*SNF account, you need to register before submitting a proposal on www.mysnf.ch. Registration for a login for electronic submission requires five working days.

It is recommended to plan in ample time to prepare the submission of a pre-proposal/full proposal in mySNF. The closing time on the day of submission is **17.00h**.

4.2 Selection

The selection process is structured according to the figure below. The indications of time between each step are approximates.



Pre-proposals and full proposals will be evaluated by the Review Panel according to a peer review procedure based on external written expertise. The decisions of the Review Panel must be endorsed by the Research Council of the SNSF.

The Division InterCo of the SNSF secretariat will verify that the 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 of the pre-proposals is **12 June 2017, at 17.00h**.

The pre-proposal should provide an outline of the planned research project and has to cover the entire research period. Furthermore, information on the following points have to be included:

Data to be entered directly in the *my*SNF portal:

- Responsible applicant (Swiss applicant)
- Co-applicants (only from countries of group 1 and/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 research (budget)

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

- Research plan (max. 6 pages)
  - State of research in the field/link to international and national policy debates
  - 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 research plan must follow the template to be found on the *my*SNF portal (see also Annex 1a). It must not be longer than six 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 (maximum 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 **beginning of October 2017**.

4.4 Full proposals

The deadline for the submission of the full proposals is **12 January 2018, at 17.00h**.

Invited teams are eligible to apply for a preparatory grant of maximally 5,500 CHF to support the elaboration of each full proposal (e.g. for a joint workshop).

Detailed full proposals are submitted online via the mySNF portal in accordance with standard SNSF rules and guidelines. The recommendations of the review panel have to be addressed in a cover letter. The full proposal has to cover the entire research period.

Full proposals must contain the following information:

Data to be entered directly in the *my*SNF portal:

- Responsible applicant (Swiss applicant)
- Co-applicants (only from countries of group 1 and/or 2)
- Basic data and abstract
- National and international collaborators (academic and non-academic institutions involved in the project)
- Financial support required for salaries and running costs for the entire research period (budget)

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

- Research Plan (max. 20 pages, excluding the cover page and the bibliography)
  - State of research in the field/link to international and national policy debates
  - Research hypotheses and objectives of the project
  - Methodology
  - Timeframe and milestones
  - Organisation of research groups in research partnership project
  - Pathways to impact and stakeholder involvement
  - Application and Communication Strategy
  - Results Framework

  The research plan must follow the template on the *my*SNF portal (see also Annex 1b).
- A binding confirmation from the co-applicants in developing countries.
- CV and list of the ten most relevant publications in the project's field of study of the responsible applicant and co-applicants (maximum two pages per person).
- A budget providing an overview of the budget allocation between Switzerland/country group 2 and country group 1, salaries, and amount for communication and application. The budget template is available on the *my*SNF portal and in Annex 7.

The Research Council will make the final decisions on the proposals in **April 2018**. Hence, research work could begin in **June 2018** at the earliest. At the latest, research work must start in **December 2018**.

5. Evaluation criteria

The third thematically open research call of the r4d programme only funds inter- and transdisciplinary research partnership projects which investigate interactions within the 2030 Agenda for Sustainable Development and contribute to at least two of three dimensions of sustainable development (social, economic and ecological).

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, risk of bias, and feasibility of the project
- Applicants' scientific track record and quality of the consortium (including track record in research in/with/about developing countries)

5.2 Criteria of relevance for development

- Ability of the research project to bring novel and innovative perspectives, approaches, methodology and/or knowledge that will accelerate transformations towards sustainable development.
- Capacity of the project to take into account relevant local, national and international debates and policies.
- Likelihood that the results of the research will support evidence-based decision-making and policy.
- Relevance of the multi-sectoral interaction(s) (nexus, trade-off) of the 2030 Agenda for Sustainable Development investigated and extent to which it integrates the concept of sustainable development.
- Significance of the involvement of non-academic stakeholders and of different academic disciplines in the research process.
- Quality of the knowledge management, application and communication strategy.

5.3 Budget and governance

- Management scheme with due consideration of the role of each partner
- Cost-benefit ratio (efficiency)
- Compliance with the 11 revised KFPE principles[5]

5.4 Evaluation and selection

Pre-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.

Projects not responding to the inclusion criteria rated D in either of the two areas will not be supported and not be invited to submit a full proposal. The evaluation of the full proposal in a second stage will focus on the scientific and development criteria and involve a second round of peer reviews.

[5] http://www.kfpe.ch/11-Principles

6. Contact

6.1 Contact persons at SNSF

For questions concerning the submission and evaluation procedure for pre-proposals and full proposals, please contact the scientific coordinator Dr. Stephanie Hoppeler (stephanie.hoppeler@snf.ch, +41 (0)31 308 21 75), or r4d-opencall@snf.ch, +41 (0)31 308 22 22, or Dr. Claudia Rutte/Dr. Claudia Zingerli, SNSF Programmes Division (support/deputy function).

For questions on financial matters (salaries and eligible costs), please contact the Head of Finances r4d programme, Roman Sollberger (roman.sollberger@snf.ch, 031 308 2105), r4d@snf.ch, or +41 (0)31 308 22 22.

6.2 Technical help with mySNF and electronic submissions

Hotline:
Tel. + 41 31 308 22 88 (English)
Tel. + 41 31 308 22 99 (Français)
Tel. + 41 31 308 22 00 (Deutsch)

E-mail: mysnf.support@snf.ch

*my*SNF homepage: www.mysnf.ch

7. Schedule

The following schedule is envisaged for the third thematically open call in the r4d programme:

Call for proposals	27 March 2017
Submission of pre-proposals	12 June 2017
Invitations to submit full proposals	9 October 2017
Submission of full proposals	12 January 2018
Final decision on full proposals	April/May 2018
Start of research	June-December 2018
End of research	June-December 2022

Annex

Annex 1a: Template Pre-proposal
Annex 1b: Template Proposal
Annex 2: Guidelines Pathways to Impact
Annex 3: Guidelines Application and Communication Strategy
Annex 4: Guidelines Results Framework
Annex 5: Template Short version of a Results Framework
Annex 6: Results Framework of the r4d Programme
Annex 7: Budget template

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Annex 1a: Template for pre-proposal research plan

r4d programme: Third thematically open call

The pre-proposal must fulfil the following criteria for a successful submission:

- The research plan is submitted in English,
- The research plan must **not exceed six pages** (excluding cover-page and bibliography), including points 1-6
- A minimum of point 10 font size and 1.5 line spacing must be used,
- Annexed documents are not accepted,
- The research plan must be submitted using this form through mySNF (deadline: **12 June 2017, at 17.00h.**

Cover page

Responsible applicant
Name, First name

Further applicant(s)
Name, First name

Project title

Short title

Abstract (narrative)

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 (no more than ten):
1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

□ **(Part of) this research project was funded by a previous r4d programme thematically open call**

If yes, explain why this proposal is innovative and how it brings an added value to the research project already financed in the frame of the thematically open research module of the r4d programme:

Research plan

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 *local* situation and 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. Explain why the issue looked at is of global importance and which nexus/trade-offs of the Agenda 2030 for Sustainable Development will be addressed.

3. Methodology

Define the following:

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

4. Potential impact of the project and its relevance for development

Explain, through a short context analysis at local, national and international level, how the project (findings) will contribute to the achievement of the r4d programme objectives (Annex 6) and of the SDGs. Detail which multi-sectoral interactions within the 2030 Agenda will be looked at through the research project. Furthermore, explain how results could be used for policy making and/or practice.

Guiding questions include:

- To which extent will the research project bring novel and innovative perspectives, approaches, methodology and/or knowledge that will accelerate transformations towards sustainable development?
- How and to which extent will this research contribute to sustainable transformations for the benefit of the poor segments of the population taking into account relevant local, national and international debates and policies?
- To what extent will the results of the research support evidence-based decision-making and policy?
- Which multi-sectoral interaction(s) (nexus, trade-off) of the 2030 Agenda for Sustainable Development is/are investigated through the research project and how is the concept of of sustainable development integrated?
- When, how and why (relevance) are different academic disciplines and non-academic stakeholders involved in the research process?
- Which knowledge management, communication and application endeavours are foreseen in order to facilitate the utilisation of the research findings for policy making and/or practice?

5. Process of setting up the project

Describe how, when and why the project partners and the relevant (non-academic) stakeholders are or will be involved in the setting up of the project.

6. Bibliography

The bibliography must be part of the document, but does not count towards the 6-page restriction.

Swiss Programme for Research on Global Issues for Development

Annex 1b: Template for full proposal research plan

r4d programme: Third thematically open call

The submission of full proposals is upon invitation by the Review Panel only.

The research plan must fulfil the following criteria for a successful submission:

- The research plan is to be submitted in English,
- The research plan must **not exceed twenty pages**, excluding the cover page and the bibliography
- A minimum of point 10 font size and 1.5 line spacing must be used,
- Annexed documents are not accepted,
- The research plan must be submitted using this form through mySNF (deadline: **12 January 2018**)

Cover page

Responsible applicant
Name, First name

Further applicant(s)
Name, First name

Project title

Short title

Research plan

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 *local* situation and 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. Explain why the issue looked at is of global importance and which nexus/trade-offs of the Agenda 2030 for Sustainable Development will be addressed.

3. Methodology

Define the following:

- methods by which the research goals are to be reached
- academic disciplines involved
- data situation/collection of data
- clear rationale for the country selection

4. Potential impact of the project and its relevance for development

Explain, through a short context analysis at local, national and international level, how the project (findings) will contribute to the achievement of the r4d programme objectives (Annex 6) and of the SDGs. Detail which multi-sectoral interactions within the 2030 Agenda will be looked at through the research project. Furthermore, explain how results could be used for policy making and/or practice.

Guiding questions include:

- To which extent will the research project bring novel and innovative perspectives, approaches, methodology and/or knowledge that will accelerate transformations towards sustainable development?
- How and to which extent will this research contribute to sustainable transformations for the benefit of the poor segments of the population taking into account relevant local, national and international debates and policies?
- To what extent will the results of the research support evidence-based decision-making and policy?
- Which multi-sectoral interaction(s) (nexus, trade-off) of the 2030 Agenda for Sustainable Development is/are investigated through the research project and how is the concept of of sustainable development integrated?
- When, how and why (relevance) are different academic disciplines and non-academic stakeholders involved in the research process?
- Which knowledge management, communication and application endeavours are foreseen in order to facilitate the utilisation of the research findings for policy making and/or practice?

5. Timeframe and milestones

Provide a schedule for the work to be carried out within the project and indicate the most important milestones for all persons involved for the entire duration of the project.

6. 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. Justify the participation of countries of group 2 with regard to your research objectives. Comment briefly on the role of the individual PhD students and Postdocs.

7. Pathways to impact

Please consider Annex 2: "Guidelines Pathways to Impact".
Explain how results will be implemented into policy and/or practice by describing:

- the expected change scenarios
- the key stakeholders, and
- winners and losers.

8. Strategy for Application and Communication

Please consider Annex 3: "Guidelines Application and Communication Strategy".
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.

9. Results Framework

Please consider Annex 4: "Guidelines Results Framework".

10. Bibliography

The bibliography must be part of the document, but does not count towards the 20-page restriction.

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Annex 2: Guidelines Pathways to Impact[1]

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 benfits 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 build 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 priorisation; 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 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 framework[1] 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)
Definition: **The strategy of intervention defines the hierarchy of objectives and follows the logic of the results chain.**	Definition: **Features which can be measured or at least described precisely in terms of quantity and quality respectively and which show a change in situation.** *Hints:* ➢ 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. *Good indicators are:* • **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.	Definition: **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.** *Hints:* 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.	Definition: **Assumptions and risks are conditions which could affect the progress of the project, but which are not under direct control of project management.** An *assumption* is a ***positive*** statement of a condition that must be met for the project's objectives to be achieved. A *risk* is a ***negative*** statement of a condition that might prevent the project's objectives from being achieved. *Hints:* *Information on risks as well as their management are part of the project document.*

Impact (goal)	Impact Indicators	Sources and Means of Verification	
Definition: **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.** Scope of project management: 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.	*Hint:* *Impact indicators are essentially used during evaluations and for project monitoring.*	*Hints:* *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.*	No assumptions and risks are defined at this level

Outcomes (Project objectives)	**Outcome Indicators**	**Outcome** **Means of Verification**	**Outcome** **Assumptions & Risks**
Definition: **The short or medium term effects (=changes in quality and quantity) expected from the outputs of the project** Scope of project management: 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. Hints: 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)	Definition: **Variable that allows the verification of changes at the outcome level or shows results relative to what was planned.** *Hints:* *Keep the number of outcome indicators limited: as few as possible, as many as necessary to assess intended changes.* *Outcome indicators are used for monitoring and evaluations.*		*Hints:* *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.*

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

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		

Swiss Programme for Research on Global Issues for Development

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**		
Research results of the five thematic modules and the thematically open module contribute to solving urgent global problems and securing global public goods in Africa, Asia and South America within the normative and conceptual framework of global sustainable development[1].		Evidence that newly identified and verified solution pathways addressing urgent global problems and global public goods benefit first and foremost poor people in Africa, Asia and South America. Evidence that policies at the international or regional level take into account or take up r4d research findings.	External evaluation Stakeholder survey Module reports incrementally building up on project reports Syntheses	
Outcomes		**Outcome Indicators**		**External Factors (Assumptions & Risks[i])**
Strategic Objectives	Outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.	Evidence that relevant, use-inspired knowledge feeds into policy debates and is shared with key stakeholders who apply it. Research based recommendations are taken into account / taken up by international or regional organizations or / and other relevant stakeholders.	Module reports incrementally building up on project reports Syntheses	*Assumptions:* Call does receive high interest in the research community High quality of submitted research proposals
	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.	Evidence that relevant, use-inspired, systemic knowledge about trade-offs and options for tackling and solving problems feeds into policy debates and is shared with stakeholders who apply it. Research based recommendations are taken into account / taken up by international organizations or / and other relevant stakeholders.	Module reports incrementally building up on project reports Syntheses Survey (stakeholder interviews)	*Assumptions:* The issues addressed are on the mid- and longer term international policy agenda. *Risks*: 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 Africa, Asia, and South America are increased.	Competence level of inter- and transdisciplinary research is enhanced. Level and intensity of different stakeholder exchanges in the research process.	Module reports incrementally building up on project reports Syntheses	*Assumption:* Social and intercultural competencies are available
Outputs (per outcome)		**Output Indicators**		
For outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.				
Output 11	New, innovative concepts, methods, methodologies, techniques, technologies, products, tools, or approaches are identified, developed, validated, and applied.	Number of scientific peer-reviewed publications (together with some quality indicators) Number of presentations at international scientific conferences outside of the r4d programme Number of products for scaling-up and/or replication Number of technological, social and political tools made available	Module reports incrementally building up on project reports Syntheses	*Assumption*: Willingness to transnational scientific collaboration and interaction with relevant stakeholders throughout the research process is confirmed
Output 12	An active scientific network on global issues for development is enhanced	Number and quality of research project teams Number of triangular North-South-South collaborations	Module reports incrementally building up on project reports Syntheses	
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 21	Research results are effectively exchanged with stakeholders and applied	Number of concrete application examples from the projects Number of presentations by projects partners in which the research results are discussed Number policy briefs and policy fora Reference to relevant international debates	Survey Module reports incrementally building up on project reports Syntheses Project specific communication and implementation strategy	*Assumption*: Willingness of stakeholders to take into account scientific evidence and act and decide based on evidence. *Risks*: Lack of interaction between research, policy and practice.
Output 22	Results of research are brought into relevant channels of international debate and regional and international policy dialogue.			
Output 23	Awareness on tackling global issues through systemic and interdisciplinary approaches has been raised			
For outcome 3: Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in Africa, Asia, and South America are increased.				
Output 31	Transnational research partnerships between researchers from Switzerland and Africa, Asia and/or Latin America are effective.	Number of co-authored scientific publications (peer reviewed articles) with authors from Switzerland and authors from Africa, Asia, and/or Latin America.	Module reports incrementally building up on project reports Syntheses	*Risks*: The division of work and the benefit sharing favors only Swiss research community

		Degree of compliance with the 11 KFPE partnership principles.		Researchers have no or little interest or incentives in interdisciplinary collaboration due to lack of incentives
Output 32	Interdisciplinary collaboration between social, natural, and engineering sciences is strengthened.	Number of co-authored scientific publications with authors from social and natural sciences.		
Output 33	The capacities to identify and tackle new issues with a potential global impact for developing countries are strengthened.	Number of promoted researchers (gender disaggregated) Number of completed BSc, MSc, and PhDs with projects (gender disaggregated; in Switzerland / partner countries) Number of involved Postdocs within projects in Switzerland and in partner countries Number of participants in r4d Skills events		

Annex 7: Budget Template for requested funding of 4 years

Swiss partners & partners from country group 2

Salaries	Occupation [%]		in CHF				Sum [CHF]		
	research or coordination	communication & implementation	year 1	year 2	year 3	year 4	research & coordination	communication & implementation	Total
Academic							0	0	0
Doctoral student							0	0	0
Technician							0	0	0
Auxilliary personnel							0	0	0
Social security contribution			0	0	0	0	0	0	0
Total [%]	0%	0%							0%
Total [CHF]	0	0	0	0	0	0			0

Research funds	Usage for (%)		in CHF				
	research or coordination	communication & implementation	year 1	year 2	year 3	year 4	Total
Research funds							0
Communications and implementation activities		100%					0
Total [CHF]	0	0	0	0	0	0	0

Partners from country group 1

Salaries	Occupation for [%]		in CHF				Sum [in CHF]		
	research or coordination	communication & implementation	year 1	year 2	year 3	year 4	research & coordination	communication & implementation	Total
Academics							0	0	0
Doctoral student							0	0	0
Technician							0	0	0
Auxilliary personnel							0	0	0
Total [%]	0%	0%							
Total [CHF]	0	0	0	0	0	0			0

Research funds & equipment	Usage for		in CHF				
	research or coordination	communication & implementation	year 1	year 2	year 3	year 4	Total
Research funds							0
Equipment of enduring values							0
Communications and implementation activities		100%					0
Total [CHF]	0	0	0	0	0	0	0

Total requested funding	0
Research personnel from Switzerland & country group 2 [%]	#DIV/0!
Research personnel from country group 1 [%] (min. 50 % of total person month)	#DIV/0!
Requested funding for partners from Switzerland and country group 2 [%] (max. 60% of total budget)	#DIV/0!
Requested funding for partners from country group 1 [%] (min. 40% of total budget)	#DIV/0!
Requested funding for communication & implementation [%] (min. 10-15% of total budget)	#DIV/0!